



**CYFARFOD BWRDD CYHOEDDUS**

15 Gorffennaf 2021

Cyfarfod rhithwir

09:30 – 13:00

| <b>Sesiwn gyhoeddus</b>       |     |   | <b>Tudalen</b> |
|-------------------------------|-----|---|----------------|
| 09:30                         | 1.  | Croeso a sylwadau agoriadol gan y Cadeirydd   | Llafar         |
| 09:35                         | 2.  | Ymddiheuriadau a Datgan Buddiannau  | Llafar         |
| 09:40                         | 3.  | <a href="#">Cofnodion cyfarfod Bwrdd 29 Ebrill 2021</a><br>I'w cymeradwyo   | SCW/21/17 3    |
| 09:45                         | 4.  | <a href="#">Log gweithredu</a> a materion yn codi   | SCW/21/18 26   |
| 09:50                         | 5.  | Diweddariad gan Gadeiryddion y Pwyllgorau<br>I'w nodi a derbyn  | Llafar         |
| 10:05                         | 6.  | Gosod cyd-destun a negeseuon allweddol gan y Prif<br>Weithredwr a'r Cyfarwyddwyr<br>I nodi a derbyn   | Llafar         |
| <b>Ar gyfer penderfyniad:</b> |     |   |                |
| 10:20                         | 7.  | <a href="#">Adroddiad Blynyddol Drafft a Chyfrifon 2020-21,</a><br><a href="#">adroddiad archwilio cyfrifon</a><br><a href="#">Atodiad 1</a><br><a href="#">Atodiad 2</a><br>Ystyried a chymeradwyo | SCW/21/19 31   |
| <b>10:50 – 11:00 Egwyl</b>    |     |   |                |
| 11:00                         | 8.  | <a href="#">Adroddiad sicrwydd Cadeirydd y Pwyllgor Archwilio a</a><br><a href="#">Risg i'r Bwrdd</a><br><a href="#">Atodiad 2</a><br>Ystyried a chymeradwyo  | SCW/21/20 126  |
| 11:10                         | 9.  | <a href="#">Adolygiad cyflog cyfartal 2021</a><br>Ystyried a chymeradwyo  | SCW/21/21 152  |
| 11:20                         | 10. | <a href="#">Cynllun Dirprwyo</a><br>Ystyried a chymeradwyo  | SCW/21/22 166  |

**11:30 – 11:40 Egwyl**

11:40 11. [Cynllun Busnes: Adroddiad cynnydd chwarter 1](#) SCW/21/23 173  
Ystyried a chymeradwyo

12:15 12. Cynllun Strategol amlinellol 2022-2027  
Ystyried a chymeradwyo Cyflwyniad

**I'w drafod:**

12:50 13. Effeithiolrwydd y cyfarfod  
I'w drafod Llafar

**Dyddiad cyfarfod nesaf:**

**Dydd Iau 21 Hydref 2021**



## Gofal Cymdeithasol Cymru Social Care Wales

### CYFARFOD CYHOEDDUS O'R BWRDD

29 Ebrill 2021

Cyfarfod Zoom Rhithwir

09:30 - 13:00

#### Yn bresennol:

#### Aelodau'r Bwrdd:

Mick Giannasi  
Abigail Harris  
Carl Cooper  
Damian Bridgeman  
Donna Hutton  
Emma Britton  
Jane Moore  
Jo Kember  
Kate Hawkins  
Maria Battle  
Peter Max  
Rhian Watcyn Jones  
Simon Burch  
Trystan Pritchard

#### Swyddogion Gofal Cymdeithasol Cymru:

Sue Evans (Prif Swyddog Gweithredol)  
Andrew Lycett (Cyfarwyddwr Cyllid, Strategaeth a Gwasanaethau Corfforaethol)  
David Pritchard (Cyfarwyddwr Rheoleiddio)  
Sarah McCarty (Cyfarwyddwr Gwella a Datblygu)  
Geraint Rowlands (Cyfarwyddwr Cynorthwyol Cyllid a TGCh)  
Kate Salter (Cyfarwyddwr Cynorthwyol Gwasanaethau Corfforaethol)  
Rhianon Jones (Rheolwr Adnoddau Dynol a Lles)  
Llinos Bradbury (Uwch Swyddog Llywodraethu – cofnodion)

#### Yn bresennol:

Aled Jones, Cymen (cyfieithu ar y pryd)  
Natalie Price

#### Sesiwn gyhoeddus:

##### 1. Croeso a Sylwadau Agoriadol gan y Cadeirydd

- i. Croesawodd y Cadeirydd bawb i'r cyfarfod a dywedodd mai cyfarfod cyhoeddus rhithwir o'r Bwrdd oedd hwn gyda chyfieithu ar y pryd ar gael. Anogodd y Cadeirydd y rhai a oedd yn gallu cyfrannu yn Gymraeg i wneud hynny.
- ii. Hysbysodd y Cadeirydd aelodau'r Bwrdd y byddai'r adran ar fodloni effeithiolrwydd yn cael ei chynnal ychydig yn wahanol, fel yng nghyfarfod mis Ionawr. Ar gyfer y cyfarfod hwn, anogir aelodau i roi eu hadborth mewn Jamboard lle gofynnwyd tri chwestiwn, a bydd y sylwadau'n cael eu casglu ar ddiwedd y cyfarfod.

##### 2. Ymddiheuriadau a datgan buddiannau

- i. Nodwyd ymddiheuriadau gan Grace Quantock.

- ii. Datganodd CC fuddiant fel Cadeirydd y Bartneriaeth Adnoddau a Chymunedau y cyfeirir ati yng Nghynllun Busnes 2021-22 ar yr agenda.

### 3. Cofnodion cyfarfod y Bwrdd ar 28 Ionawr 2021

- i. Cafodd cofnodion cyfarfodydd 28 Ionawr 2021 eu gwirio am eu cywirdeb a'u **cymeradwyo** gan y Bwrdd.

### 4. Cofnod gweithredu a materion yn codi

- i. Tynnwyd sylw'r aelodau at y log gweithredu parhaus sy'n rhoi'r wybodaeth ddiweddaraf am y cynnydd a wnaed yn erbyn camau gweithredu sy'n weddill ers y cyfarfod diwethaf.
- ii. Gofynnodd JM a oedd yr adroddiad gwaddol gan Grŵp Cynghori'r Gweinidog ar Blant a Phobl Ifanc Agored i Niwed wedi'i gynhyrchu ac ar gael. Cadarnhaodd SMC fod yr adroddiad gwaddol wedi'i gynhyrchu a'i drafod mewn cyfarfod o'r Grŵp Cynghori; mae'r fersiwn derfynol yn cael ei chyfieithu a'i dylunio ar hyn o bryd a bydd yn cael ei rhannu gydag aelodau'r Grŵp Cynghori i'w rhaedru unwaith y bydd yn barod.
- iii. Rhoddodd y Cadeirydd y wybodaeth ddiweddaraf i'r Bwrdd am y camau a gymerwyd mewn perthynas â gwahodd y tîm Cofrestru i gyfarfod o'r Bwrdd i ddiolch iddynt am eu gwaith ond na ddigwyddodd oherwydd COVID-19. Arweiniodd hyn wedyn at raglen strwythuredig o gynyddu gwelededd ac ymgysylltiad y Bwrdd â staff tra'n gweithio o bell. Dros y 6 mis diwethaf mae'r Cadeirydd, gyda chefnogaeth aelodau'r Bwrdd, wedi cyfarfod ag oddeutu 80% o'r sefydliad drwy eu cyfarfodydd adrannol. Roedd y cyfarfodydd yn gyfle i gael sgwrs ddwy ffordd i 'brofi tymheredd' y sefydliad. Mae'n amlwg o'r sgysiau y gall y Bwrdd fod yn dawel eu meddwl bod gan y sefydliad weithlu ymroddedig ac ymroddgar, gyda lefelau morâl ac ymgysylltiad uchel. Mae'r staff wedi gwerthfawrogi'r gefnogaeth weladwy gan y Tîm Rheoli Gweithredol, sy'n gyson â chanlyniadau'r arolwg staff a gynhaliwyd yn ddiweddar. Paratowyd papur briffio manylach a chaiff ei lanlwytho i'r porth yn ystod y dyddiau nesaf. Dylid ystyried ailadrodd y broses dros y 12 mis nesaf, ond mewn fformat ychydig yn wahanol.
- iv. Gofynnodd SB a oedd trafodaethau'n ymwneud â chamau gweithredu recriwtio a chydarddoldeb Grwpiau Du, Asiaidd ac Ethnig Leiafrifol yn mynd rhagddynt, gan fod hyn wedi bod yn gam gweithredu ers y cyfarfod ym mis Hydref. Ymddiheurodd RJ am yr oedi wrth ddatblygu'r camau hyn a chadarnhaodd fod negeseuon e-bost i drefnu cyfarfod wedi'u hanfon at EB a DB yr wythnos hon i helpu i gefnogi recriwtio i'r sefydliad sy'n digwydd yn fuan.
- v. Gofynnodd y Cadeirydd am i'r camau gweithredu gael cyfeirnod wrth symud ymlaen i helpu i adnabod camau gweithredu yn y dyfodol. **GWEITHREDU**
- vi. Nid oedd unrhyw sylwadau neu gwestiynau pellach ar y log gweithredu.

## 5. Y wybodaeth ddiweddaraf gan Gadeiryddion Pwyllgorau

- i. Fel Cadeirydd y Pwyllgor Archwilio a Risg, darparodd RWJ grynodedb o'r hyn a drafodwyd yng nghyfarfod mis Mawrth y Pwyllgor ac yn arbennig, nododd: -
  - adroddiad archwilio mewnol cadarnhaol iawn lle darparwyd sicrwydd sylweddol neu gymedrol mewn nifer o feysydd.
  - y gwaith craffu a ddarparwyd mewn perthynas â phroses ail-achredu ISO neu'r System Rheoli Diogelwch Gwybodaeth (ISMS) a fyddai'n cael ei thrafod yn ddiweddarach yn yr agenda.
  - trafodaeth gynhyrchiol mewn perthynas â gweithio o bell a'r ffordd orau o weithredu model gweithio cyfunol yn y dyfodol yn seiliedig ar ddysgu o arferion da.
- ii. Fel Cadeirydd y Pwyllgor Gwella, tynnodd PM sylw at ddwy eitem allweddol: -
  - ymchwiliad at wraidd y mater a gynhaliwyd i'r adolygiad interim o'r Strategaeth Ymchwil Gofal Cymdeithasol.
  - cyflwyniad gan y Cyfarwyddwr Cynorthwyol Rheoleiddio a amlinellodd y cynnig i bersonau cofrestredig a'r agenda rheoleiddio ar gyfer gwella (clywyd yr un cyflwyniad yng nghyfarfod y Pwyllgor Rheoleiddio a Safonau hefyd).
- iii. Roedd y cyflwyniad yn amlygu (i) y cyfle tymor hwy i wella ymarfer o'r gofrestr, (ii) ystyriaethau ar gyfer DPP yn y dyfodol a fydd yn symud i ffwrdd oddi wrth bwyslais ar gyfrif oriau i ddarparu cyfleoedd i bobl fyfyrto ar eu dysgu a (iii) casglu themâu o Addasrwydd i Ymarfer (AiY) i'w rhannu â'r sector.
- iv. Fel Cadeirydd y Pwyllgor Rheoleiddio a Safonau, soniodd SB am ansawdd y trafodaethau strategol a gweithredol a gynhaliwyd yn ystod y cyfarfod. Yn benodol, tynnodd sylw at y cyflwyniad difyr a gafwyd gan Sarah Harris o Kingsley Napley yn nodi canfyddiadau interim yr adolygiad o'r broses AiY. Amlygodd y cyflwyniad amrywiaeth o gyfleoedd sy'n dod i'r amlwg i wella effeithlonrwydd, yn enwedig mewn perthynas â throthwyon a rheoli risg. Roedd hefyd wedi dweud bod y staff wedi cymryd rhan lawn yn y broses a bod ymrwymiad gwirioneddol i'r broses ac i'r cysyniad o welliant parhaus. Trafodir yr adroddiad llawn ac ymateb rheolwyr yng nghyfarfod y Pwyllgor ym mis Mehefin.
- v. Yn dilyn cais gan y Pwyllgor am y wybodaeth ddiweddaraf am COVID-19, cyflwynodd David Pritchard y wybodaeth ddiweddaraf i'r Pwyllgor o safbwynt rheoleiddiol. Hefyd, rhoddodd SMC y wybodaeth ddiweddaraf am bwysau'r gaeaf o safbwynt y sector, lle mae'r galw'n debygol o barhau ymhell i mewn i'r haf. Myfyriodd hefyd ar y newidiadau cadarnhaol i ymarfer sydd wedi deillio o weithio drwy'r pandemig.
- vi. Ychwanegodd y Cadeirydd ei fyfyrnodau ar gyfarfodydd y Pwyllgor hefyd ar ôl iddo arsylwi ar y tri. Yn benodol, soniodd am y synergedd cynyddol rhwng y Pwyllgorau a gwerth y rhyngweithio â rhanddeiliaid allanol a oedd yn bresennol. Ychwanegodd SE hefyd fod ymestyn aelodaeth y Pwyllgorau wedi helpu i gryfhau'r trafodaethau yn ogystal ag adlewyrchu aeddfedrwydd y sefydliad, y Bwrdd a'r Pwyllgorau. Teimlai fod y Pwyllgorau'n gweithio'n dda, gan alluogi'r Bwrdd i ddirprwyo gwaith, lle gellir trafod a chraffu'n ddyfnach.

vii. Nid oedd unrhyw sylwadau neu gwestiynau pellach ynghylch y diweddariadau.

## **6. Gosod y cyd-destun a negeseuon allweddol gan y Prif Weithredwr a'r Cyfarwyddwyr**

- i. Dywedodd y Cadeirydd fod yr eitem hon wedi'i symud yn nes at ddechrau'r agenda, yn dilyn adborth yng nghyfarfod y Bwrdd ym mis Ionawr, pan ddywedodd yr aelodau ei bod hi'n gallu bod yn anodd cael cyd-destun eitemau'r agenda nes bod y Prif Weithredwr wedi rhoi ei diweddariad.
- ii. O ran yr agenda ar gyfer cyfarfod heddiw a'r cyd-destun, dywedodd SE fod yr etholiadau ar gyfer Senedd Cymru ar 6 Mai a bod gofal cymdeithasol yn uchel ar y rhestr blaenoriaethau ym manifestos y prif bleidiau. Bydd y briff rhanddeiliaid a thystiolaeth a baratowyd y llynedd yn cael ei adnewyddu a'i rannu gyda holl aelodau'r Senedd. Bydd y Llywodraeth newydd hefyd yn datblygu ei hymateb i'r Papur Gwyn ar Ailgydbwyso Gofal a Chymorth yn dilyn yr ymgynghoriad diweddar, gyda gwaith newydd posibl i Ofal Cymdeithasol Cymru unwaith y bydd y llywodraeth a'r Cabinet newydd wedi'u ffurfio a rhaglen waith wedi'i chytuno. Bydd SE a'r Cadeirydd yn cyfarfod â CLILC ac ADSS Cymru yn fuan ar ôl yr etholiadau i gyd-drafod blaenoriaethau'r llywodraeth newydd a'r hyn y mae'n ei olygu i'r sector.
- iii. Dywedodd SE wrth y Bwrdd fod Llywodraeth Cymru wedi cadarnhau y bydd y dyddiad ar gyfer cofrestru gweithwyr cartrefi gofal i oedolion yn cael ei ohirio tan fis Hydref 2022. O ystyried hyn, mae'r capasiti staffio ychwanegol sydd ei angen i ateb y galw cynyddol yn cael ei fireinio. Bydd yr oedi yn arwain at golli incwm o £500k drwy ffioedd cofrestru hefyd.
- iv. Dywedodd SE fod diweddariad chwarter pedwar ar Gynllun Busnes 2020-21 yn rhoi cyfle i fyfyrion ar flwyddyn heriol pan mae'r sefydliad wedi cyflawni'r disgwyliadau a nodwyd yn y llythyr cylch gwaith ac wedi addasu'n dda i gefnogi'r sector yn ystod y pandemig. Llongyfarchodd SE y Cyfarwyddwyr a'u timau am eu cyflawniadau.
- v. Tynnodd SE sylw at rai o'r eitemau allweddol a oedd ar yr agenda a darparodd rywfaint o gyd-destun ar gyfer y trafodaethau a ddilynodd: -
  - mae'r Cynllun Busnes ar gyfer 2021-22 wedi'i osod yng nghyd-destun adferiad i'r sector, gan symud tuag at ganlyniadau a thargedau. Fodd bynnag, dylid nodi y bydd rhai o'r amcanion strategol yn cymryd sawl blwyddyn i'w cyflawni ac felly mae'n bwysig cael targedau a cherrig milltir ystyrlon fel rhan o'r Cynllun Busnes ar gyfer 2021-22.
  - bydd dogfen ymgynghori'r Cynllun Cydraddoldeb Strategol yn llywio cynllun gweithredu strategol newydd ar gydraddoldeb, tra hefyd yn cysylltu â Chynllun Gweithredu Cydraddoldeb Hiliol Llywodraeth Cymru.
  - mae'r eitem ar y newidiadau i reolau'r Radd Gwaith Cymdeithasol yn cysylltu â'r gwaith ar reoleiddio ar gyfer gwella a Strategaeth y Gweithlu. O dan Strategaeth y Gweithlu mae cynlluniau gweithlu ar gyfer cynllun gweithlu'r gweithiwr cymdeithasol cymwysedig, iechyd meddwl a gofal cartref.
  - mae'r papur ISMS yn rhoi'r wybodaeth ddiweddaraf, yn dilyn trafodaethau ym Mhwyllgor Archwilio a Risg mis Mawrth ac fel rhan o'r gwaith i gryfhau trefniadau

Llywodraethu, ar ddatblygu Fframwaith Sicrwydd y Bwrdd a newidiadau i aelodaeth y Bwrdd sydd ar y gweill.

- vi. Manteisiodd SE ar y cyfle hefyd i roi'r wybodaeth ddiweddaraf am nifer o ddatblygiadau eraill, sef: -
- disgwylir y bydd Llywodraeth Cymru yn sefydlu cynlluniau adfer COVID-19 ar gyfer y sector gofal cymdeithasol ac mae'r Cyfarwyddwyr yn cymryd rhan weithredol yn y cyfarfodydd. Bydd hyn yn gofyn am ystywythder a rhywfaint o hyblygrwydd yn y cynllun busnes, y mae'r Bwrdd wedi bod yn gefnogol iddo o'r blaen.
  - Mae lles staff Gofal Cymdeithasol Cymru yn flaenoriaeth o hyd gyda chymorth y Grŵp Iechyd a Lles, y Cyngor Partneriaeth Staff a chyfarfodydd tîm. Mae'r arolwg staff diweddar wedi dangos y byddai'r rhan fwyaf o aelodau staff yn hoffi gweld model hybrid o weithio yn y dyfodol. Ers hynny, mae'r Tîm Arweinyddiaeth wedi cyfarfod i ystyried yr adborth o safbwynt angen y busnes, ystyried arfer gorau a'r hyn y mae meysydd gwasanaeth a busnesau eraill yn ei wneud. Yr ethos presennol yw ceisio sicrhau'r hyblygrwydd mwyaf posibl gyda chyn lleied o darfu â phosibl wrth edrych a oes angen unrhyw newidiadau i gontractau staff ac ati, cyn i unrhyw ddychweliad graddol i'r swyddfa ddechrau.
  - mae'r broses CDP staff newydd, sy'n canolbwyntio ar gefnogi staff i gyflawni eu hamcanion eu hunain ac ar les, yn cael ei chyflwyno a'i gweithredu. Mae'r profiad COVID-19 wedi caniatáu i ddysgu a datblygu fynd yn eu blaen mewn ffordd hyblyg a chefnogol.
- vii. Diolchodd y Cadeirydd i SE am y diweddiariad a oedd yn ddefnyddiol o ran gosod cyddestun y cyfarfod a gofynnodd i'r aelodau am unrhyw gwestiynau neu sylwadau.
- viii. Gofynnodd PM sut y byddai tegwch a chydraddoldeb yn cael eu cyflawni o fewn y sefydliad os bydd newid i weithio'n hyblyg gan fod astudiaethau diweddar wedi dangos y bod gweithio gartref yn llawn amser yn gallu effeithio ar gyfleoedd i gael dyrchafiad, cynnydd a gwelededd. Dywedodd fod angen cymryd amser i ddylunio'r ffordd o weithio yn y dyfodol ac ymgysylltu hefyd â staff i leihau unrhyw risgiau posibl. Dywedodd SE fod amrywiaeth o dystiolaeth ryngwladol wedi'i chasglu i'w hystyried a bod y materion hynny'n cael eu cydnabod. Fodd bynnag, cydnabu hefyd y bydd sicrhau cydraddoldeb a thegwch yn golygu gorfod bod yn fwy gwyladwrus a gofyn am sgysiau ychwanegol gyda phob aelod o staff. Mae modd dangos hyn hyd yma ond mae angen i hyn fod yn broses barhaus.
- ix. Gofynnodd MB a fyddai modd rhannu unrhyw dystiolaeth, ymchwil ac arfer gorau a gesglir ynglŷn â sut mae'r cydbwysedd rhwng gweithio gartref, gweithio o'r swyddfa a gweithio mewn canolfan yn effeithio ar les staff gan fod hyn yn rhywbeth y mae pob cyflogwr yn ei ystyried ar hyn o bryd. Dywedodd SE y byddai'n meddwl am y ffordd orau o gyflawni hyn.
- x. Gofynnodd DB a allai sefydliadau eraill ddefnyddio ein swyddfa i weithio yn y dyfodol i feithrin gweithio mewn partneriaeth. Cadarnhaodd SE fod hyn yn rhywbeth sy'n cael ei ystyried. Ychwanegodd y Cadeirydd hefyd fod Llywodraeth Cymru yn mabwysiadu dull strategol ehangach mewn perthynas â gweithio mewn canolfannau a'i bod yn bwriadu datblygu dull gweithredu ar gyfer y sector cyhoeddus.

xi. Gofynnodd CC faint o ymgysylltu a fu rhwng Gofal Cymdeithasol Cymru a'r Byrddau Gwasanaethau Cyhoeddus a'r Byrddau Partneriaeth Rhanbarthol i ddefnyddio'r data a'r wybodaeth sydd gan y sefydliadau tra bo'r Byrddau Gwasanaethau Cyhoeddus a'r Byrddau Partneriaeth Rhanbarthol yn cynnal yr asesiadau o anghenion y boblogaeth a lles. Dywedodd SE yn fuan ar ôl ei sefydlu fod Gofal Cymdeithasol Cymru wedi dechrau gweithio gyda'r Byrddau Partneriaeth Rhanbarthol a Llywodraeth Cymru ar y fethodoleg ar gyfer yr asesiad o anghenion y boblogaeth ac wedi defnyddio'r data'n fewnol i lywio'r darlun data cenedlaethol. Ychwanegodd SMC fod gan Gofal Cymdeithasol Cymru sedd yn y Bwrdd Partneriaeth Rhanbarthol mewn rhai ardaloedd ac felly bod cysylltiad uniongyrchol. Fodd bynnag, mae pob Bwrdd Partneriaeth Rhanbarthol yn gweithio ychydig yn wahanol, gyda threfniadau llywodraethu amrywiol, ac nid yw'r cysylltiadau mor uniongyrchol, yn aml drwy is-grwpiau'r gweithlu. Mae gwaith ar y porth data wedi'i rannu â'r Byrddau Partneriaeth Rhanbarthol a bydd hyn yn cael ei fireinio yn ystod 2021-22. Dywedodd SMC y byddai'n trefnu i swyddogion ysgrifennu at arweinwyr y Byrddau Partneriaeth Rhanbarthol i'w hatgoffa o fanteision posibl y porth data a'r cymorth sydd ar gael gan Gofal Cymdeithasol Cymru.

### **GWEITHREDU**

- xii. Adleisiodd AH yr angen i fod yn hyblyg wrth ystyried Cynllun Busnes 2021-22 i ganiatáu hyblygrwydd i ymateb i'r rhaglen sy'n dod i'r amlwg ar gyfer Llywodraeth Cymru a'r Papur Gwyn. Pwysleisiodd AH hefyd fregusrwydd y sector gan fod nifer o sefydliadau'n cael eu cefnogi ar hyn o bryd gan grantiau COVID-19 ac efallai y byddant mewn trafferthion unwaith y bydd y grantiau'n dod i ben, sy'n rhywbeth y mae'r Papur Gwyn yn ceisio mynd i'r afael ag ef. Gan gyfeirio at sgysiau cynharach ar Fyrddau Partneriaeth Rhanbarthol a'r angen i ledaenu arloesedd ac arferion da, nododd AH fod Bwrdd Powys wedi sefydlu Academi ar gyfer hyfforddi a recriwtio staff iechyd a gofal.
- xiii. Dywedodd SE wrth y Bwrdd fod sesiwn wedi'i chynnal ar 28 Ebrill gyda Supporting Adult Social Care Innovation (SASCI). Rhaglen yn Lloegr yw hon, ond rydym yn edrych ar gyfleoedd i gefnogi'r rhaglen yng Nghymru. Mae cysylltiadau hefyd â gweithgareddau 'mabwysiadu a lledaenu' Comisiwn Bevan yn ogystal ag academi dysgu dwys newydd sy'n canolbwyntio ar gefnogi mabwysiadu 'beth sy'n gweithio' yn eang ac yn gyflym.
- xiv. Cyfeiriodd SE at y Llythyr Cylch Gwaith sy'n ei gwneud yn glir am y tro cyntaf mai Gofal Cymdeithasol Cymru yw'r asiantaeth arweiniol ar gyfer gwella gwasanaethau yng Nghymru. Mae hyn yn ddefnyddiol, o ystyried bod sefydliadau eraill hefyd yn defnyddio eu gallu a'u hadnoddau i gefnogi iechyd a gofal cymdeithasol ond mae'n golygu bod yn rhaid i ni weithio'n dda gyda phartneriaid i osgoi dyblygu a chytuno ar flaenoriaethau ar gyfer gweithredu.
- xv. O ran cadw mewn cysylltiad â'r Byrddau Partneriaeth Rhanbarthol, dywedodd SE fod nifer o ffyrdd o wneud hyn drwy is-grwpiau'r gweithlu, lle ceir ymgysylltiad gweithredol â'r rheolwyr dysgu a datblygu sy'n bwydo i mewn i grwpiau cynllunio'r Byrddau Partneriaeth. Fel y soniodd SMC yn gynharach, byddai'n ddefnyddiol ysgrifennu at y Byrddau Partneriaeth eto a chynnig cyfarfod â'r Byrddau lle nad yw Gofal Cymdeithasol Cymru yn aelod o'r Bwrdd ar hyn o bryd. Byddai hyn yn amserol yng ngoleuni datblygiad y cynllun strategol newydd.



- xvi. Awgrymodd y Cadeirydd ei fod ef ac SE yn trafod y materion y tu allan i'r cyfarfod er mwyn ystyried sut y gall y sefydliad ymgysylltu'n well â'r Byrddau Partneriaeth Rhanbarthol i archwilio'r cyfleoedd i gryfhau'r bartneriaeth. **GWEITHREDU**

## 7. Cynllun Busnes 2021-22

- i. Cyflwynodd SE Gynllun Busnes 2021-22 sydd wedi'i lunio ar ôl derbyn y Llythyr Cylch Gwaith a'r dyraniad cyllideb. Dywedodd fod y cynllun busnes yn uchelgeisiol, a bydd angen rhywfaint o hyblygrwydd i addasu a newid yn ystod y flwyddyn mewn ymateb i ddatblygiadau, yn enwedig mewn ymateb i raglen lywodraethu Llywodraeth Cymru a'r Papur Gwyn. Ar ôl ei gymeradwyo, bydd angen cyflwyno'r Cynllun i Lywodraeth Cymru, yn amodol ar unrhyw newidiadau a drafodir ac y cytunir arnynt yn ystod y cyfarfod,
- ii. Nododd SE y prif feysydd yn y Cynllun Busnes.
- iii. O ran pethau i'w cyflawni, mae'r cynllun yn canolbwyntio ar: -
- gynnal ac addasu ein gweithgareddau craidd yn sgil COVID-19,
  - cefnogi adferiad,
  - cynyddu cynaliadwyedd y sector.
- iv. Mae'r cynllun yn canolbwyntio'r pethau hynny i'w cyflawni ar anghenion pedwar grŵp, sef: -
- y gweithlu gofal cymdeithasol a blynyddoedd cynnar
  - rheolwyr, arweinwyr a pherchnogion
  - arweinwyr strategol, rhanddeiliaid a phartneriaid
  - ein sefydliad ein hunain.
- v. Dywedodd SE fod y cynllun hefyd yn amlinellu'r trefniadau llywodraethu corfforaethol sy'n sail i gyflawni'r cynllun ac yn nodi'r dyraniadau ariannol y mae'n seiliedig arnynt. O ran cyllid, mae rhywfaint o ansicrwydd o hyd ynghylch natur gylchol dyraniad cyllideb 2021-22 wrth symud ymlaen ac mae adran wedi'i chynnwys ar y cefndir ariannol a'r tybiaethau i adlewyrchu hyn. O ran llywodraethu corfforaethol, mae rhai gweithgareddau'n addas ar gyfer cerrig milltir a thargedau tra bod gan eraill, mewn perthynas ag amcanion gwella a datblygu yn bennaf, amserlenni estynedig sy'n canolbwyntio ar ganlyniadau tymor hwy.
- iv. Diolchodd y Cadeirydd i SE am ei throsolwg a gofynnodd am sylwadau a chwestiynau. Gofynnodd i'r Aelodau ganolbwyntio ar sylwedd y cynllun ac awgrymodd y dylid e-bostio unrhyw bwyntiau ar fanylion neu faterion gramadegol at swyddogion y tu allan i'r cyfarfod. Dywedodd hefyd, ar ddiwedd y drafodaeth, y byddai'n cynnig y dylai cynrychiolwyr y Bwrdd ddirprwyo'r gymeradwyaeth derfynol i'r Cynllun Busnes i'r Cadeirydd a'r Prif Swyddog Gweithredol fel y gellid ymgorffori unrhyw beth sy'n deillio o'r drafodaeth yn y cynllun cyn iddo gael ei anfon i Lywodraeth Cymru.

- v. Dywedodd KH ei bod yn hapus i gefnogi'r Cynllun Busnes. Teimlai fod gosod y cyddestun ar ddechrau'r ddogfen yn ddarbwyllol iawn. Roedd yn dangos agosrwydd y sefydliad at waith y sector dros y flwyddyn ddiwethaf, tra hefyd yn cydnabod yr anghydraddoldeb a fydd yn llywio gwaith yn y dyfodol. Gan gyfeirio at faes blaenoriaeth pedwar, a myfyrio ar drafodaethau blaenorol, gofynnodd KH a ellir cyfeirio at y sefydliad yn dod yn 'wyrdd' ac yn effeithlon o ran ynni, efallai drwy gyhoeddi adroddiad cynaliadwyedd neu ddatganiad amgylcheddol blynyddol.
- vi. Dywedodd SE fod y sgwrs ynglŷn â ffyrdd newydd o weithio wedi cynnwys ystyried y budd i'r hinsawdd yn sgil llai o deithio, ond gellir ystyried yn awr sut y gellir cryfhau hyn o fewn y Cynllun Busnes. Dywedodd AL fod yr enillion amgylcheddol a gyflawnwyd hyd yma wedi bod yn ganlyniad i'r pandemig yn hytrach nag o ganlyniad i ddull strwythuredig ond cytunodd y gellid ychwanegu datganiad at y Cynllun Busnes nawr ac y gellid rhoi rhywfaint o ystyriaeth i ddull mwy strwythuredig, fel bod yn garbon niwtral erbyn 2030 fel rhan o'r Cynllun Strategol newydd.
- vii. Dywedodd PM fod y Cynllun a lefel yr uchelgais ynddo yn galonogol. Yn benodol, tynnodd sylw at ddau ymadrodd: 'bydd popeth a wnawn yn gwneud gwahaniaeth i ansawdd uchel cymorth a gofal' a 'cael sgysiau ystyrion [...â phartneriaid] ac adlewyrchu safbwyntiau cyn y gwneir penderfyniadau'. Teimlai fod y rhain yn ystyriaethau pwysig yr oedd angen eu hadlewyrchu'n llawn yn y ffordd y mae'r Bwrdd a'r sefydliad yn gweithio.
- viii. Yn ogystal, cododd PM nifer o faterion y byddai'n croesawu ymateb iddynt. Yn gyntaf, roedd yn pryderu nad oes cyfeiriad o fewn y cynllun at gomisiynu nac at gyflog a thelerau ac amodau'r gweithlu. Teimlai fod y ddau fater hyn yn hollbwysig i gynaliadwyedd y sector yn y dyfodol a gallai'r ffaith nad oeddent yn cael eu hadlewyrchu olygu na fyddai'r cynllun yn cael ei ystyried yn berthnasol i'r rhai sy'n gweithio yn y sector. Yn ail, teimlai nad oedd y cynllun yn cyfeirio'n ddigonol at reoleiddio ar gyfer gwella, sy'n egwyddor allweddol i'r sefydliad. Yn drydydd, nid oedd diffiniad o'r term arweinwyr strategol felly roedd yn anodd gwybod at bwy yr oedd yn cyfeirio. Yn olaf, roedd yn meddwl tybed a ellid datblygu 'cynllun ar dudalen' pwrpasol dros y flwyddyn ar gyfer pob grŵp rhanddeiliaid.
- vix. Ymatebodd SE i sylwadau PM, gan ddweud yn gyntaf fod comisiynu a thelerau ac amodau gwasanaeth yn rhywbeth sydd y tu hwnt i reolaeth y sefydliad. Fodd bynnag, mae gan y sefydliad ddylanwad sylweddol drwy ei gyfraniad gweithredol at y Fforwm Gwaith Teg ac fel aelod o'r Bwrdd Comisiynu Cenedlaethol. Dywedodd y byddai'n ystyried sut y gellid adlewyrchu hyn yn well yn y cynllun presennol. O ran diffinio arweinwyr strategol, byddai'n anodd datblygu rhestr gan fod partneriaid newydd yn cael eu datblygu drwy'r amser ond awgrymodd y gallai'r Bwrdd edrych ar hyn yn fanylach yn ystod y sesiwn ar ymgysylltu â rhanddeiliaid sydd wedi'i chynnwys yn rhaglen Datblygu'r Bwrdd. Cytunodd hefyd i edrych ar sut y gellid cryfhau cyfeiriadau at 'reoleiddio ar gyfer gwella' ac ystyried gwerth datblygu 'cynllun ar dudalen' ar gyfer y tair prif gynulleidfa.
- x. Diolchodd PM i SE am ei hymatebion. Cytunodd efallai na fyddai'n ymarferol rhestru sefydliadau penodol fel arweinwyr strategol ond credai ei bod yn bwysig diffinio pa fath o sefydliad sy'n cael ei gynnwys yn y term. Ychwanegodd SMC fod 'arweinwyr

strategol' yn cael eu diffinio fel y rhai sy'n edrych ar draws ardal neu gymuned yn hytrach nag un darparwr gwasanaeth.

- xi. Dywedodd CC ei fod yn cefnogi'r Cynllun Busnes a'i fod yn ddiolchgar am y gwaith a wnaed i gynhyrchu'r ddogfen. Fodd bynnag, roedd yn ei chael hi'n anodd gweld sut roedd cyfraniadau aelodau yn ystod sesiwn ddatblygu ddiweddar y Bwrdd wedi dylanwadu ar gynnwys y cynllun a chredai y gallai fod yn ddefnyddiol gweld fersiwn gyda newidiadau wedi'u marcio neu eu huwcholeuo yn dangos unrhyw newidiadau yn y dyfodol.
- xii. Cyfeiriodd CC hefyd at y defnydd o'r gair 'cwsmer' yn y Cynllun a gofynnodd ai dyna sut roeddem yn gweld y bobl rydym yn gweithio gyda nhw. Iddo ef, mae'r term 'cwsmer' yn awgrymu perthynas drafodol. I'r rhan fwyaf o sefydliadau neu gyrff y mae Gofal Cymdeithasol Cymru yn gweithio gyda nhw, nid oes perthynas drafodol. Yn hytrach, mae'n berthynas gydweithredol neu bartneriaeth. Am y rheswm hwnnw, tybed ai cwsmer yw'r gair cywir i'w ddefnyddio? Dywedodd CC hefyd, er bod y cynllun yn rhestru grwpiau, sefydliadau a chymdeithasau y mae'r sefydliad yn gweithio gyda nhw, nid yw fel pe bai'n cynnwys unrhyw un sy'n cynrychioli gofalwyr di-dâl, er iddo nodi bod CGGC wedi'i chynnwys.
- xiii. Wrth ymateb i sylwadau CC, dywedodd SE o ran rôl y sefydliad yn cefnogi gofalwyr di-dâl, ei bod yn bwysig nad ydym yn 'sathru ar draed' eraill sy'n gweithio yn y maes hwn a'i bod, mewn tirwedd gymhleth, yn anodd rhestru sefydliadau i sicrhau nad oes unrhyw un yn cael ei hepgor. Ar y sail honno, mae CGGC wedi'i chynnwys fel sefydliad ymbarél ar gyfer pob grŵp gwirfoddol yng Nghymru. Gan gyfeirio at y defnydd o'r term 'cwsmer', mae hyn yn adlewyrchu uchelgais y sefydliad i ganolbwyntio mwy ar anghenion y rhai rydym yn gweithio gyda nhw a bod yn fwy ymatebol iddynt. Nid yw'n cael ei ddefnyddio i awgrymu trafodiad ariannol; yn hytrach mae'n dangos ein bod ni, fel corff cyhoeddus, am ddiwallu ac ymateb i anghenion y bobl rydym yn delio â nhw. Wedi dweud hynny, byddai'n gweithio gyda'r tîm i ystyried a oes gair gwell i'w ddefnyddio. Mewn perthynas â chwestiwn CC am ddylanwad y Bwrdd ar y drafft terfynol, fe'i sicrhodd fod y drafodaeth yn y sesiwn ddatblygu wedi llywio datblygiad pellach y drafft terfynol ond derbyniodd y gallai rhoi fersiwn gyda'r newidiadau wedi'u marcio ar y porth fod wedi bod yn ddefnyddiol i ddangos hynny.
- xiv. Dywedodd CC ei fod yn hapus gyda'r ymatebion ond pwysleisiodd fod gofalwyr di-dâl yn rhan bwysig o ddarpariaeth gofal. Cydnabu fod CGGC yn gorff ymbarél ar gyfer y trydydd sector ond pwysleisiodd eto fod gofalwyr di-dâl yn agwedd bwysig ar ofal sy'n cael ei anghofio weithiau, a dyna pam yr oedd yn teimlo bod angen tynnu sylw ati'n benodol.
- xv. Ategodd EB sylwadau CC ar y defnydd o'r gair cwsmer. Dywedodd hefyd fod buddiannau pobl ifanc yn ganolog i'r cynllun ond nad oes manylion yn y cynllun ynglŷn â sut y bydd eu barn yn cael ei hadlewyrchu sy'n gwneud i'r cynllun ymddangos braidd yn arwynebol yn hyn o beth. Roedd hefyd yn meddwl o safbwynt ehangach am ein perthynas â Chomisiynydd Cenedlaethau'r Dyfodol gan nad oes cyfeiriad ati yn y Cynllun ar hyn o bryd.
- xvi. Dywedodd SE fod cynnwys lleisiau pobl ifanc hefyd yn faes lle'r ydym yn gweithio gydag eraill yn hytrach nag arwain yn uniongyrchol, er ei bod yn egwyddor bwysig o

ran y ffordd y mae'r sefydliad yn gweithio. Tynnodd SE sylw at nifer o enghreifftiau diweddar lle'r oedd pobl ifanc wedi cyfrannu'n weithredol at ddatblygu mentrau, gan gynnwys y gynhadledd gofal preswyl i blant a datblygu grŵp cyfeirio arbenigol sy'n gweithio ochr yn ochr â Chomisiynydd Plant Cymru.

- xvii. Dywedodd EB ei bod yn ymwybodol o'r gwaith sy'n cael ei wneud. Fodd bynnag, nid oedd yn teimlo bod hyn yn ddigon amlwg yn y ddogfen i'r cyhoedd ac roedd yn credu bod y sefydliad yn gallu bod yn rhy dadedog wrth hyrwyddo ei waith ar adegau. Mewn ymateb, myfyriodd SE ar y sylwadau blaenorol gan CC a PM a chytunodd fod angen ailfeddwl unwaith y cytunir ar y cynllun ynghylch sut i hyrwyddo gwaith y sefydliadau fel ffordd o ennyn diddordeb eraill.
- xviii. Ychwanegodd PM fod Comisiynydd Cenedlaethau'r Dyfodol wedi bod yn gwneud rhywfaint o fentora o chwith gyda phobl ifanc, gan roi cyfle iddynt fentora pobl mewn rolau arwain. Gofynnodd a yw hyn yn rhywbeth y gellid ei gynnwys yn ein gwaith? Dywedodd MB hefyd fod Bwrdd Iechyd Prifysgol Hywel Dda wedi cyflwyno mentora o chwith ar gyfer y Bwrdd gyda grwpiau o bobl ifanc, staff rheng flaen a staff BAME. Teimlai fod hyn yn ffordd wych o glywed am brofiadau pobl go iawn a chael eu dylanwadu ganddynt a meddyliodd tybed a oedd yn rhywbeth y dylai'r Bwrdd ei ystyried.
- xix. Diolchodd y Cadeirydd i'r Bwrdd am eu sylwadau a'u cyfraniadau a rhoddodd grynodedeb o'r trafodaethau a oedd wedi'u cynnal. Credai y byddai'n deg dweud bod cefnogaeth eang i Gynllun Busnes 2021-22. Yn benodol, teimlai'r aelodau fod y cyddestun wedi'i nodi'n dda a bod yr uchelgais yn y cynllun yn briodol er eu bod yn cydnabod bod angen rhywfaint o hyblygrwydd er mwyn gallu addasu wrth i'r llywodraeth newydd gael ei ffurfio ac wrth i'w chynlluniau ddod i'r amlwg.
- xx. Gwnaed nifer o awgrymiadau defnyddiol y bydd swyddogion yn eu hystyried ac yn eu hymgorffori mewn fersiwn derfynol i'w chyflwyno i Lywodraeth Cymru. Gellid crynhoi'r prif faterion i'w hystyried fel a ganlyn: -
- mae angen datganiad cliriach o'n huchelgeisiau i ddatblygu sefydliad gwyrddach yn y cynllun a fydd yn cael ei ddatblygu a'i adeiladu arno ymhellach yn y Cynllun Strategol.
  - byddai'r sector yn chwilio am ymateb ynghylch comisiynu a thelerau ac amodau a dylid nodi'r materion hyn yn gliriach yn y cynllun.
  - dylai'r cynllun fod yn fwy clir ynglŷn â'r hyn a olygir gan y term arweinydd strategol.
  - dylid ystyried sut y gellid dod â'r cynllun yn fyw a sut y gellir hyrwyddo'r gwaith y mae'r sefydliad yn ei wneud wrth symud ymlaen.
  - cafwyd safbwyntiau cymysg am y defnydd o'r gair 'cwsmer' ac er eu bod yn cydnabod ei bod yn anodd dod o hyd i ddewis arall addas, roedd rhai o'r farn bod angen rhoi sylw i sut y gellid mynd i'r afael â hyn.
  - roedd angen ystyried sut y gellid cydnabod cyfraniad gofalwyr di-dâl yn well yn ogystal â chynnwys lleisiau pobl ifanc a dylid cario'r materion hyn ymlaen i'r Cynllun Strategol hefyd.
- xxi. Tynnodd y Cadeirydd sylw at ddau fater ehangach a ddaeth i'r amlwg o'r trafodaethau hefyd. Yn gyntaf, mae angen darparu llwybrau archwilio clir yn y dyfodol, naill ai drwy farcio newidiadau neu restr o welliannau i ddangos sut yr oedd cyfraniadau aelodau

wedi dylanwadu ar ddrafftiau diweddarach o ddogfennau allweddol. Yn ail, cafwyd rhai cyfraniadau defnyddiol yn tynnu sylw at fanteision posibl mentora o chwith y byddai'r Cadeirydd a'r Prif Swyddog Gweithredol yn eu hystyried y tu allan i'r cyfarfod, yn bosibl drwy Grŵp Cydlynu'r Cadeiryddion. **GWEITHREDU**

- xxii. Yn amodol ar yr ystyriaethau hynny, cymeradwyodd y Bwrdd Gynllun Busnes 2021-22 mewn egwyddor a **dirprwyodd** y gymeradwyaeth derfynol i'r Cadeirydd a'r Prif Weithredwr.

## 8. Dogfen ymgynghori'r Cynllun Cydraddoldeb Strategol

- i. Cyflwynodd AA yr adroddiad i'r Bwrdd a phwysleisiodd fod y papur yn ceisio cymeradwyaeth i gynnal ymgynghoriad ffurfiol ar Gynllun Cydraddoldeb Strategol y sefydliad, yn amodol ar y risgiau a nodwyd yn y papur. Wrth wneud hynny, tynnodd sylw at nifer o faterion y dylai aelodau eu hystyried wrth ddod i benderfyniad, fel a ganlyn: -
- mae'r wybodaeth yn yr adroddiad yn seiliedig ar dystiolaeth ac wedi'i llywio gan adroddiadau penodol i Gymru sydd wedi amlygu'r anghydraddoldebau a brofir gan unigolion a chymunedau yn ystod y pandemig presennol.
  - ar ran Gofal Cymdeithasol Cymru, mae Diverse Cymru wedi ymgysylltu â phobl â nodweddion gwarchoddedig i brofi'r amcanion cydraddoldeb ac amrywiaeth arfaethedig. Roedd yr adborth a ddarparwyd yn dangos bod pobl yn teimlo bod y ffocws ar y meysydd cywir.
  - mae'r papur yn nodi nifer o'r ymgynghoriadau a'r ymchwiliadau arwyddocaol sy'n digwydd ar hyn o bryd, a bydd angen cynnwys y rhain yn y fersiwn derfynol o'r Cynllun Cydraddoldeb Strategol unwaith y cyhoeddir y canfyddiadau a'r casgliadau, sef: -
    - ymgynghoriad presennol Llywodraeth Cymru ar eu Cynllun Gweithredu Cydraddoldeb Hiliol sy'n rhoi rôl arweiniol i Ofal Cymdeithasol Cymru mewn perthynas â'r sector gofal cymdeithasol.
    - yr ymchwiliad gan y Comisiwn Cydraddoldeb a Hawliau Dynol i brofiad gweithwyr iechyd a gofal cymdeithasol ar gyflogau isel yn ystod y pandemig a gyhoeddir yn fuan.
    - cynllun gweithredu LGBTQ+ Llywodraeth Cymru, sy'n cael ei ddatblygu ar hyn o bryd ac a fydd hefyd yn cynnwys camau gweithredu ar gyfer Gofal Cymdeithasol Cymru.
  - mae dogfen ymgynghori Gofal Cymdeithasol Cymru wedi'i chadw ar lefel uchel iawn i sicrhau pan fydd canlyniad yr ymgynghoriadau a'r ymchwiliadau eraill hynny yn glir, y gellir cynnwys unrhyw gamau gweithredu yn y cynllun.
  - mae'r ddogfen yn mynd y tu hwnt i gydraddoldeb ac amrywiaeth gyda neges glir am wrth-wahaniaethu a'r rôl arweiniol a fydd gan Gofal Cymdeithasol Cymru, yn y sectorau gofal cymdeithasol a'r blynyddoedd cynnar a'r sector cyhoeddus ehangach yng Nghymru.
- ii. Diolchodd y Cadeirydd i'r AA am ei drosolwg clir a chryno o'r papur a gofynnodd am sylwadau neu gwestiynau ar y papur.

- iii. Pan fydd yr ymgysylltu'n digwydd, gofynnodd DB nad yw hyn yn cael ei wneud gyda'r un grŵp o bobl gan fod angen ymgysylltu â'r rhai anos eu cyrraedd mewn cymunedau a gwrando arnynt. Ychwanegodd y Cadeirydd hefyd y byddai'n ddefnyddiol cael dealltwriaeth o bwy y mae disgwyl iddynt ymateb i'r ymgynghoriad.
- iv. Dywedodd AA fod y gofyniad i ymgysylltu â'r rhai sydd â nodweddion gwarchoddedig yn ddyletswydd o fewn y ddeddfwriaeth cydraddoldeb ac mae hynny wedi'i wneud. Y cam nesaf fydd cysylltu â dinasyddion, pobl sy'n defnyddio gwasanaethau a'r sector gofal cymdeithasol. Mae angen hefyd ceisio barn y sector cyhoeddus ehangach gan fod yr amcanion cydraddoldeb yn effeithio ar arweinwyr, cyflogwyr, y gweithlu a phobl sy'n defnyddio gwasanaethau. Cadarnhaodd AA y bydd cynllun cyhoeddi a chyfathrebu i gyd-fynd â'r ymgynghoriad a byddai cyfle i unigolion neu sefydliadau sydd â diddordeb gael trafodaeth uniongyrchol gydag AA i roi adborth.
- v. Ychwanegodd JM y bydd hi'n bwysig ystyried pa fecanweithiau ymgynghori sy'n cael eu defnyddio er mwyn osgoi ymddangos yn symbolaidd a sicrhau bod grwpiau anos eu cyrraedd yn cael eu cynnwys. Awgrymodd hefyd fod gwaith y sefydliad mewn perthynas â'r Gofrestr ac Addasrwydd i Ymarfer wedi'u cynnwys yn benodol yn yr adran 'Yr Hyn a Wnawn'. Mae hwn yn weithgaredd craidd i'r sefydliad, ac nid oes sôn amdano.
- vi. Gofynnodd PM a fyddai'n ddefnyddiol casglu gwybodaeth am y math o sefydliad sy'n ymateb yn hytrach na'r enw yn unig. Gan fyfyrto ar y sgwrs gynharach ar Genedlaethau'r Dyfodol a'r amgylchedd, gofynnodd a ddylid ychwanegu tlodi a'r Gymraeg fel rhan o'r ymgynghoriad hefyd.
- vii. Diolchodd SB i'r AA am yr eglurder yn yr adroddiad a'i naws hyderus; teimlai fod hyn yn bwysig wrth drafod materion mor sensitif. Roedd yn falch o weld grwpiau heb gynrychiolaeth ddigonol ac ymylol yn cael eu hadlewyrchu yn ogystal â'r mater o dâl i fenywod mewn gweithlu sy'n cynnwys menywod yn bennaf. Awgrymodd SB y gallai fod yn ddefnyddiol cael straeon unigol i ddangos sut y gellir rhoi'r camau gweithredu yn y cynllun ar waith fel ffordd o ddod â'r strategaeth yn fyw.
- viii. Ychwanegodd TP sylw cyffredinol. Mae'r ddyletswydd cydraddoldeb ac amrywiaeth wedi'i rhoi ar sefydliadau ers sawl blwyddyn bellach ac er y cafwyd rhywfaint o welliannau o ran strategaethau ac asesiadau effaith, mae yna deimlad bellach ei bod yn un ddyletswydd arall ar restr hir ohonynt i sefydliadau'r sector cyhoeddus. Mae'r cyfeiriad at y sefydliad fel arweinydd yn y maes hwn yn galonogol yn ogystal â'r datganiad clir bod y sefydliad yn symud o gydraddoldeb i wrth-wahaniaethu. Fodd bynnag, teimlai nad oedd hyn yn cael ei gyfleu cystal ag y gallai yn y ddogfen ei hun. Cyfeiriodd TP at eitem ar y newyddion dim ond y bore hwnnw ar y cyfraddau sy'n manteisio ar y brechiad COVID-19 a sut roeddent yn amrywio yn dibynnu ar gefndir a thlodi. Mae hyn yn dangos bod y rhain yn faterion gwirioneddol a chyfredol. Roedd TP hefyd yn falch o weld cyfeiriad at gynhwysiant digidol o ganlyniad i effaith COVID-19.
- ix. Diolchodd AA i'r aelodau am eu sylwadau a'u cwestiynau a dywedodd y byddai'n cryfhau'r ddogfen fel yr awgrymwyd. Roedd gwrthdlodi a'r Gymraeg wedi'u cynnwys mewn fersiynau blaenorol a byddant yn cael eu cynnwys drachefn yn dilyn sylwadau'r aelodau.

- x. Gofynnodd y Cadeirydd i AA egluro beth fyddai'r camau nesaf. Dywedodd AA mai'r bwriad oedd cynnal ymgynghoriad ffurfiol am gyfnod o 12 wythnos o 1 Mehefin i 17 Awst. Bydd y Cynllun Cydraddoldeb Strategol yn cael ei ddrafftio wedyn i ystyried ymgynghoriad cyfredol Llywodraeth Cymru, canlyniad ymchwiliad y Comisiwn Cydraddoldeb a Hawliau Dynol ac unrhyw gynlluniau gweithredu eraill y mae Llywodraeth Cymru am iddynt gael eu hystyried. Bydd y cynllun wedyn yn dod yn ôl i'r Bwrdd ym mis Hydref gydag amcanion, camau gweithredu a metrigau clir.
- xi. Gofynnodd JK a fyddai newid yn y Llywodraeth yn effeithio ar yr amserlenni ar gyfer datblygu'r Cynllun Cydraddoldeb Strategol, a doedd AA ddim yn credu y byddai. Mae'r rhain yn faterion bywyd go iawn cyfredol y bydd angen mynd i'r afael â nhw ta waeth am unrhyw newidiadau posibl.
- xii. Diolchodd y Cadeirydd i'r aelodau am eu cwestiynau a sylwadau a rhoddodd grynodedeb o'r drafodaeth. Roedd yn amlwg bod llawer iawn o gefnogaeth i'r papur a llawer o werthfawrogiad o'r gwaith a wnaed.
- xii. Diolchodd y Cadeirydd i AA am ysgwyddo cyfrifoldeb dros y mater hwn a soniodd am werth cael rhywun â'i wybodaeth, ei ddealltwriaeth a'i ymrwymiad personol i fwrw ymlaen â'r gwaith pwysig hwn ar ran y Bwrdd a'r sefydliad. Roedd yn cael ei werthfawrogi'n fawr.
- xiii. Cytunodd y Bwrdd ar y ddogfen ymgynghori mewn egwyddor a **dirprwywyd** y gymeradwyaeth derfynol i'r Cadeirydd a'r Prif Weithredwr yn amodol ar ystyriaeth o'r materion a drafodwyd yn ystod y cyfarfod.
- xiv. Awgrymodd y Cadeirydd hefyd y gellid cynnwys trafodaeth am y cynllun a chanlyniadau'r ymgynghoriad yn rhaglen Sesiwn Ddatblygu'r Bwrdd.

## **9. Newidiadau i 'Y Fframwaith ar gyfer y Radd mewn Gwaith Cymdeithasol yng Nghymru 2018' (Rheolau'r Radd Gwaith Cymdeithasol)**

- i. Rhoddodd HD drosolwg o'r papur i'r Bwrdd a thynnodd sylw at y newidiadau arfaethedig y byddai'r rheolau diwygiedig yn eu cyflwyno pe baent yn cael eu cymeradwyo. Mae'r tabl yn yr adroddiad yn nodi'r newidiadau penodol a gynigir. Dywedodd HD y byddai'n hapus i ateb unrhyw gwestiynau ar y newidiadau arfaethedig hynny.
- ii. Ar y cyfan, roedd y newidiadau'n rhai gweinyddol ac wedi'u cynllunio i ddiogelu'r radd yn y tymor byr i ganolig. I bob pwrpas, byddai'r Rheolau diwygiedig yn rhoi'r cyfle i ymateb mewn ffordd hyblyg i argyfwng fel pandemig arall.
- iii. Gofynnwyd i'r Bwrdd nodi bod safonau addysg lefel gradd i weithwyr cymdeithasol wedi'u cynnal dros y flwyddyn ddiwethaf fel cefndir i'r newidiadau, er gwaethaf yr hyblygrwydd cynyddol a roddwyd i Sefydliadau Addysg Uwch (SAU) a myfyrwyr i ymateb i effaith COVID-19.
- iv. Ychwanegodd HD hefyd fod y Cynllun Busnes eleni yn cynnwys cynnig i gomisiynu ymchwil ar effaith COVID-19 ar weithwyr cymdeithasol sydd newydd gymhwyso ac i

adolygu'r ffordd y caiff nifer y lleoliadau eu neilltuo i gyrsiau. Gall hyn nodi newidiadau tymor hwy sydd eu hangen i'r Rheolau yn y dyfodol.

- v. Diolchodd y Cadeirydd i HD am ei drosolwg a gofynnodd i'r Aelodau am eu cwestiynau neu eu sylwadau.
- vi. Dywedodd EB ei bod yn cytuno â'r newidiadau sy'n gwneud synnwyr yng ngoleuni'r amgylchiadau presennol.
- vii. Ychwanegodd AH at sylwadau HD mewn perthynas â'r adolygiad o brofiad go iawn pobl yn ystod y pandemig. Dywedodd y byddai'n ddoeth oedi a myfyrio ar yr ymatebion hynny ar ôl iddynt ddod i law. Er y bydd yr ymateb cychwynnol wedi cael effaith ar bobl ar unwaith, y cyfle gwirioneddol yw defnyddio'r wybodaeth i nodi'r hyn sydd ei angen ar bobl o ran gofal a chymorth ar ôl COVID-19 ac, yn benodol, sut y gellir galluogi hynny'n ddigidol. Mae'n bwysig caniatáu amser i'r sefyllfa setlo er mwyn gallu deall yr hyn sydd ei angen mewn gwirionedd ac yna creu'r cydbwysedd cywir rhwng gofal ymarferol a'r hyn y gellir ei ddarparu'n ddigidol. Bydd hynny wedyn yn golygu bod modd nodi'r effaith ar hyfforddiant a dysgu i'r gweithlu.
- viii. Cytunodd HD â sylwadau AH ac ychwanegodd y bydd SCIE yn ymgymryd ag elfen gwmpasu'r ymchwil a fydd wedyn yn llywio'r dull tymor canolig i hirdymor. Ychwanegodd EB er bod pobl yn sôn am ddod allan o'r pandemig, mae angen cydnabod nad yw'r effaith ar waith cymdeithasol wedi dechrau eto.
- ix. Mae KH yn cefnogi'r newidiadau arfaethedig a dywedodd fod parhad wedi'i gynnal drwy gydol y flwyddyn a bod yr asesiad o ymarfer wedi parhau mewn ffordd effeithiol yn ystod amgylchiadau anodd. Teimlai fod y gostyngiad yn y gofyniad am brofiad yn newid pwysig a fyddai'n gwella cynhwysiant ac yn lleihau anghydraddoldebau posibl. Roedd hefyd yn cefnogi'r egwyddor o barhad a chynnal niferoedd sy'n dod drwy'r radd gwaith cymdeithasol yn y dyfodol.
- x. Diolchodd HD i KH am ei sylwadau ac am dynnu sylw at y pethau cadarnhaol sydd wedi deillio o'r anawsterau a brofwyd dros y flwyddyn ddiwethaf. Mae cael profiad o ddysgu o bell yn eu hastudiaethau academiaidd a dysgu ymarfer yn debygol o fod yn fuddiol i ddysgwyr a'u paratoi ar gyfer yr heriau gwaith sydd o'u blaenau.
- xi. Gofynnodd y Cadeirydd sut y penderfynwyd ar y gofyniad ymarfer o 360 awr. Dywedodd HD fod y nifer yn y rheolau presennol yn hanesyddol ac nad oedd ei wreiddiau'n gwbl glir. Fodd bynnag, o ran newidiadau i nifer yr oriau, roedd y ffigur hwn yn seiliedig ar ymgynghoriad â phartneriaid yn y sector a deimlai fod y lefel uwch wedi bod yn rhwystr o'r blaen. Mae 360 awr tua 10 wythnos o brofiad ar 36 awr yr wythnos ac erbyn hynny dylai fod gan unigolion syniad da a yw hon yn yrfa y maent yn dymuno ei dilyn ai peidio.
- xii. Gofynnodd y Cadeirydd am y penderfyniad i beidio ag ymgynghori'n ffurfiol a gofynnodd am sicrwydd bod hwn yn benderfyniad priodol. Sicrhaodd HD y Bwrdd fod ymgysylltu eisoes wedi'i wneud â phartneriaid allweddol ar y newidiadau hyn. Mae saith partneriaeth ledled Cymru ac mae pob un ohonynt yn gweithio fymryn yn wahanol i'w gilydd. Fodd bynnag, mae'r newidiadau arfaethedig yn cael eu derbyn fel



dull cymesur a hyblyg sy'n diogelu lles myfyrwyr ac mae pob un o'r partneriaethau wedi cytuno y gallant weithio oddi mewn i'r newidiadau.

- xiii. Gofynnodd y Cadeirydd pa fesurau diogelu sydd ar waith i sicrhau bod yr hyblygrwydd yn y Rheolau yn cael ei ddefnyddio'n gyfrifol ac yn gymesur yn y dyfodol. Dywedodd HD fod amryw o fesurau diogelu ar waith i sicrhau bod unrhyw newidiadau i'r Rheolau sy'n cael eu gweithredu yn briodol. Er enghraifft, bydd y broses Sicrhau Ansawdd yn sicrhau nad oes unrhyw wyro oddi wrth ddisgwyliadau a bod y Safonau Galwedigaethol Cenedlaethol a ddisgwyilir gan fyfyrwyr yn golygu bod yn rhaid i fyfyrwyr ddangos lefel o ymarfer i gyflawni cwblhad academaidd. Ceir adborth rheolaidd gan SAU a fforymau myfyrwyr a all roi adborth uniongyrchol i Lywodraeth Cymru os ydynt yn teimlo nad yw'r rhaglenni a ddarperir yn addas ar gyfer eu hanghenion.
- x. **Cymeradwyodd** y Bwrdd y Newidiadau i 'Y Fframwaith ar gyfer y Radd Gwaith Cymdeithasol yng Nghymru 2018' (Rheolau'r Radd Gwaith Cymdeithasol).

## 10. Diweddariad ar y System Rheoli Diogelwch Gwybodaeth

- i. Rhoddodd AL drosolwg o'r papur i'r Bwrdd. Roedd y Pwyllgor Archwilio a Risg eisoes wedi craffu ar gefndir y papur.
- ii. Esboniodd AL fod y sefydliad wedi ennill achrediad ISO27001 mewn perthynas â'i Systemau Rheoli Diogelwch Gwybodaeth (ISMS) yn y gorffennol. Fodd bynnag, roedd y dystysgrif achredu i fod i gael ei hadnewyddu ym mis Ebrill 2021. Ym mis Chwefror 2021, cynhaliwyd archwiliad allanol i baratoi ar gyfer y broses ail-ardystio ffurfiol, a nododd hyn bum enghraifft o bwys o ddiffyg cydymffurfiaeth a fyddai wedi atal y dystysgrif rhag cael ei hadnewyddu. Aethpwyd i'r afael â'r diffygion hyn ar unwaith a chynhaliwyd ymweld arall ar 12 Ebrill. Cadarnhaodd hyn fod yr holl enghreifftiau o bwys o ddiffyg cydymffurfiaeth wedi cael sylw a chafodd y dystysgrif achredu ei dyfarnu.
- iii. Mewn ymateb i'r sefyllfa sy'n dod i'r amlwg, cafodd y Grŵp Llywodraethu Gwybodaeth ei ailgynnull ac mae wedi cyfarfod ddwywaith i adolygu'r rhaglen waith ac i nodi gweithgareddau pellach y mae angen eu cyflawni dros y tri mis nesaf. Roedd un cam gweithredu heb ei gyflawni o'r enghreifftiau o bwys o ddiffyg cydymffurfiaeth, sef tendro am wasanaeth archwilio mewnol ISO arbenigol tair blynedd. Dywedodd AL y byddai hyn yn digwydd ym mis Medi 2021 gan fod archwilwyr wedi'u penodi ar sail tymor byr i gefnogi'r ail-ardystio. Fodd bynnag, nid oedd yn atal yr ardystiad rhag cael ei ddyfarnu.
- iv. Cafodd y Pwyllgor Archwilio a Risg wybod am y mater gwreiddiol wrth iddo ddod i'r amlwg a bydd yn derbyn yr adroddiadau archwilio perthnasol yn ogystal â chrynodeb o'r cynllun gweithredu yn ei gyfarfod nesaf. Disgwyilir yr archwiliad interim nesaf gan y Sefydliad Safonau Prydeinig (BSI) ym mis Gorffennaf 2021 sy'n rhoi'r ffocws i fwrw ati gyda'r camau gweithredu a nodwyd fel rhan o'r cynllun gweithredu.
- v. Dywedodd AL fod dwy ystyriaeth tymor hwy wedi dod i'r amlwg o'r materion, un ohonynt oedd y dylid ychwanegu seibergadernid yn ffurfiol at Gylch Gorchwyl y

Pwyllgor Archwilio a Risg wrth symud ymlaen a'r llall oedd bod Grŵp Cydlynu'r Cadeiryddion (CCG) yn cynghori'r Cadeirydd ar opsiynau yn y dyfodol i sicrhau bod seibergadernid a gwybodaeth am systemau gwybodaeth yn rhan o set sgiliau gyffredinol y Bwrdd.

- vi. Mae'r Cadeirydd yn diolch i AL am y trosolwg ac yn gofyn am gwestiynau neu sylwadau gan yr Aelodau.
- vii. Diolchodd TP i AL am yr adroddiad ac, fel aelodau eraill o'r Bwrdd, cafodd ei syfrdanu i ddechrau gan y diffyg cydymffurfio a oedd wedi dod i'r amlwg drwy'r archwiliad allanol diweddar. Fodd bynnag, roedd bellach yn teimlo'n sicr bod y sefyllfa dan reolaeth a bod rhaglen waith ar y gweill i gefnogi'r gwelliannau angenrheidiol. Teimlai TP fod hyn yn adlewyrchu'r bylchau a'r wybodaeth ar lefel Bwrdd yn y maes hwn yn ogystal â mynediad at sgiliau arbenigol i gefnogi'r Bwrdd pan fo angen.
- viii. Nododd DB fod canolfannau seiber ledled Cymru sydd wedi'u sefydlu gan y llywodraeth y gellid eu defnyddio, yn ogystal â chysylltiadau ag adnoddau GCHQ sydd ar gael. Diolchodd y Cadeirydd i DB am ei sylwadau a'i sicrhau bod y rheini'n adnoddau sydd eisoes yn cael eu defnyddio a bod hyn yn cael ei drafod yn rheolaidd ar lefel Llywodraeth Cymru.
- ix. Cadarnhaodd AL fod gwasanaethau gan y Ganolfan Seiberddiogelwch Genedlaethol yn cael eu defnyddio. Mae hefyd yn gobeithio gwneud cysylltiadau â'r Academi Seiber Genedlaethol ym Mhrifysgol Casnewydd sydd â chysylltiadau â'r Ganolfan Seiberddiogelwch Genedlaethol ac a allai ddarparu cyfleoedd i'r Bwrdd.
- x. Diolchodd y Cadeirydd i AL a'i dîm am fod yn agored a thryloyw wrth ddelio â'r mater hwn ac am y camau prydlon ac effeithiol a wnaeth fynd i'r afael â'r broblem, sicrhau nad oedd enw da'r sefydliad yn cael ergyd ac, yn bwysicaf oll, nodi dysgu pellach y mae angen rhoi sylw iddo yn y dyfodol. Teimlai fod hynny, mewn amgylchiadau anffafriol, yn dangos cryfderau'r sefydliad.
- xi. O ran yr argymhelliad i'r CCG gynghori'r Cadeirydd ar opsiynau ar gyfer sicrhau bod gwybodaeth am seibergadernid a systemau gwybodaeth yn rhan o set sgiliau gyffredinol y Bwrdd, teimlai'r Cadeirydd y dylai hynny fod yn benderfyniad gan y Bwrdd oni bai bod y Bwrdd yn penderfynu dirprwyo'r penderfyniad i'r CCG. Roedd yn gwbl briodol i'r CCG ystyried yr opsiynau. Fodd bynnag, dylai'r mater ddod yn ôl i'r Bwrdd yn y pen draw i gael ei ystyried a'i benderfynu.
- xii. Pwysleisiodd y Cadeirydd fod camau gweithredu tymor byr a thymor canolig a thymor hwy yn deillio o'r sefyllfa hon y mae angen eu hystyried o safbwynt llywodraethu corfforaethol. Yn y tymor byr, mae angen uwchsgilio holl aelodau'r Bwrdd yn eu gwybodaeth am seiberddiogelwch a diogelwch gwybodaeth ac mae hyn yn cael sylw wrth gynllunio rhaglen ddatblygu'r Bwrdd. Yn y tymor canolig, mae angen i ni ddod â dealltwriaeth ychwanegol i'r Bwrdd, efallai drwy recriwtio cyfetholydd sy'n eistedd ar y Pwyllgor Archwilio a Risg i gyflwyno'r dealltwriaeth a chyngor arbenigol sydd eu hangen i gyflawni swyddogaeth oruchwylio'r Pwyllgor. Yn y tymor hwy, efallai y bydd angen i ni ystyried adlewyrchu'r gofyniad i gynyddu gwybodaeth am faterion TGCh a seiberddiogelwch yn aelodaeth y Bwrdd.

- xiii. Dywedodd y Cadeirydd ei fod yn trafod y materion hyn gyda'r Prif Swyddog Gweithredol ac eraill ar hyn o bryd ac y bydd yn cyflwyno'r cynigion pan fyddant yn barod. Yn y cyfamser, mae Llywodraeth Cymru hefyd yn darparu seminarau i Brif Swyddogion Gweithredol, Cadeiryddion ac unigolion cyfrifol i gynyddu eu hymwybyddiaeth o'u cyfrifoldebau o ran llywodraethu gwybodaeth a seiberddiogelwch ac roedd ef, SE ac AL i gyd wedi ymrwymo i fynychu seminarau. Bydd grwpiau cyfnewid gwybodaeth yn cael eu datblygu hefyd fel rhan o'r broses PADR ddiwygiedig ac roedd DB a GQ wedi mynegi diddordeb mewn datblygu mwy o wybodaeth yn y maes hwn.
- xiv. Roedd JK yn cytuno â'r Cadeirydd bod hwn yn fater sy'n gyfrifoldeb i'r Bwrdd ac yn cael ei rannu yn y Bwrdd yn hytrach nag yn CCG.
- xv. Cymeradwyodd y Bwrdd y dylid ychwanegu'r gwaith o oruchwylio seibergadernid at gyfrifoldebau'r Pwyllgor Archwilio a Risg ac y dylid diwygio ei gylich gorchwyl i adlewyrchu hyn.
- xvi. Cytunwyd hefyd y byddai'r CCG yn cael cais i ddatblygu cynigion yn y tymor byr, canolig a hir i wella gallu'r Bwrdd i ddarparu llywodraethu corfforaethol effeithiol ynghylch llywodraethu gwybodaeth a seiberddiogelwch ac y dylid trafod hynny mewn diwrnod datblygu'r Bwrdd yn y dyfodol fel atodiad i'r rhaglen waith cryfhau llywodraethu. **GWEITHREDU**

## 11. Cynllun Busnes: Adroddiad cynnydd Chwarter 4

- i. Rhoddodd KS drosolwg o adroddiad perfformiad diwedd blwyddyn 2020-21 sy'n cydgrynhoi materion a adroddwyd yn ystod y flwyddyn. Dywedodd wrth yr aelodau mai dyma'r tro olaf yn ôl pob tebyg y byddent yn ei weld yn cael ei gyflwyno yn y fformat hwn gan fod y fframwaith adrodd ar gyfer Cynllun Busnes 2021-22 yn cael ei ddiwygio mewn ymateb i adborth.
- ii. Mae'r adroddiad yn adlewyrchu perfformiad a chyflawniadau yn erbyn y Cynllun Busnes ar gyfer 2020-21. Mae'r Cynllun Busnes wedi ei gwneud yn ofynnol i hyblygrwydd gael ei ddangos drwy gydol y flwyddyn er mwyn sicrhau ein bod, fel sefydliad, wedi bod yn ymateb i anghenion y sector drwy gydol y pandemig. Mae'r adroddiad yn manylu ar nifer o weithgareddau a fydd yn cael eu cario drosodd i Gynllun Busnes 2021-22 lle nad oedd y gwaith wedi gallu symud ymlaen oherwydd yr angen i ymgysylltu â'r sector. Yn ogystal â chraffu ar y perfformiad, gofynnwyd i aelodau'r Bwrdd ystyried pa uchafbwyntiau yr hoffent eu cynnwys yn y sylwebaeth perfformiad sy'n rhan o'r adroddiad blynyddol statudol a'r cyfrifon. Gofynnodd KS am unrhyw gwestiynau neu sylwadau gan yr aelodau.
- iii. Cyfeiriodd CC at sgysiau yng nghyfarfodydd blaenorol y Bwrdd yn ceisio pennu pam y gall y darlun sy'n cael ei gyfleu gan y mesurau a'r targedau amrywio ychydig weithiau i'r casgliadau cyffredinol o fewn y sylwebaeth perfformiad. Gofynnodd pa mor hyderus y gallai'r Bwrdd fod na fydd y targedau a'r metrigau sy'n cael eu datblygu ar gyfer cynllun 2021-22 yn creu'r un problemau. Dywedodd KS y bydd trafodaethau pellach yn cael eu cynnal yn sesiwn ddatblygu nesaf y Bwrdd ar dargedau a

mesurau'r Cynllun Busnes sydd hefyd yn bwydo i mewn i'r Cynllun Strategol a dangosyddion perfformiad cysylltiedig.

- iv. Ymatebodd CC, gan bwysleisio bod y gwaith o gyflawni'r cynllun busnes presennol eisoes wedi dechrau a bod y Bwrdd, yn gynharach yn y cyfarfod, wedi cytuno fwy neu lai ar y Cynllun Busnes newydd sy'n cynnwys targedau a mesurau ar gyfer y flwyddyn. Felly, roedd yn meddwl tybed sut byddai trafodaethau pellach yn dylanwadu ar y fframwaith perfformiad o fewn y Cynllun Busnes presennol ar gyfer 2021-22. Dywedodd KS nad yw'r mesurau a'r targedau yn y Cynllun Busnes presennol yn cydfynd â'r cynllun strategol ac felly bod angen gwaith i'w cysoni.
- v. Cyfeiriodd SB at ymateb y Bwrdd i themâu a thueddiadau sy'n deillio o wrandawiadau AiY. Mae'r Aelodau'n cael crynodeb o ganlyniadau'r gwrandawiadau hynny fel mater o drefn ac fe'u trafodwyd o bryd i'w gilydd yn y Pwyllgor, ond meddyliodd tybed a oedd hyn yn rhywbeth byddai'r Bwrdd am edrych arno mewn ffordd fwy strwythuredig. Dywedodd SE fod hyn yn cysylltu â thrafodaethau cynharach ar reoleiddio ar gyfer gwella a bod sgwrs eisoes wedi'i chynnal gydag AGC ar sut y gellir defnyddio'r wybodaeth a gesglir gan y ddau sefydliad yn well i geisio gwella ymarfer ac yn y pen draw, lleihau'r potensial i'r materion AiY godi eto.
- vi. Ychwanegodd EB fod y mater o themâu a thueddiadau o wrandawiadau AiY hefyd wedi'i ddwyn i'w sylw gan gydweithwyr sy'n ymarferwyr a theimlai fod hyn yn rhywbeth yr oedd angen ei fonitro a'i ddeall.
- vii. Cefnogodd JK bwynt EB, gan ddweud ar ôl profi diffyg ymgysylltu mewn rôl arall, fod angen i'r Bwrdd gael sicrwydd ynghylch dadansoddi data, y dysgu o hyn a sut roedd y dysgu'n cael ei raedru wedyn i sefydliadau eraill.
- viii. Dywedodd DB y gellid gofyn i AGC ymgysylltu'n rheolaidd â'r Bwrdd i gael y trafodaethau ar ddeallusrwydd meddal. Dywedodd y Cadeirydd fod y sgwrs hon yn digwydd ar lefel Pwyllgor, yn enwedig lle mae AGC yn cyfrannu at y Pwyllgor Rheoleiddio a Safonau. Pe bai'r aelodau'n teimlo bod angen mwy o wybodaeth, gallai Cadeirydd y Pwyllgor ystyried pa wybodaeth fyddai'n ddefnyddiol ei rhannu gyda'r Bwrdd llawn.
- ix. Dywedodd DP fod cynnig yng Nghynllun Busnes 2021-22 a fydd yn comisiynu adolygiad o sut y defnyddir y wybodaeth sy'n deillio o weithgarwch rheoleiddiol ac mae Cymru'n arwain ar y gwaith hwn ar draws pedair gwlad y DU. Yn ogystal ag edrych ar yr hyn sydd ei angen ar y sefydliad, bydd hefyd yn edrych ar yr hyn mae ein rhanddeiliaid ei eisiau gennym ni. Mae sgwrs eisoes wedi'i chynnal gyda'r Bwrdd Diogelu Cenedlaethol Annibynnol ar yr hyn y mae angen iddynt ei weld o ddata AiY a bydd canlyniadau'r gwaith ehangach yn dod yn ôl i'r Pwyllgor a'r Bwrdd yn ôl yr angen.
- x. Diolchodd y Cadeirydd i'r Aelodau am eu cyfraniadau ond nododd fod amser yn brin a bod angen symud ymlaen i weddill yr agenda. Dywedodd fod y drafodaeth ynglŷn â'r eitem hon wedi canolbwyntio mwy ar y ffordd yr adroddir am berfformiad yn hytrach na manylion y canlyniadau ac amrywiannau a adroddir yn niweddariad y cynllun busnes. Pwysleisiodd hyn yr angen, wrth symud ymlaen, am fframwaith rheoli perfformiad integredig sy'n nodi'n glir pa wybodaeth sydd ei hangen ar bob lefel o'r

sefydliad, h.y., yr hyn sydd ei angen ar y Bwrdd i gyflawni ei rôl oruchwylio a chraffu, yr hyn sydd ei angen ar Bwyllgorau er mwyn craffu ar y manylion a'r hyn sydd ei angen ar swyddogion i'w galluogi i reoli'r busnes a gweithrediadau o ddydd i ddydd.

- xi. Gofynnodd KS i'r Aelodau anfon unrhyw fyfyrddodau pellach ac unrhyw beth y byddent am ei weld o ran ffocws ar gyfer y sylwadau ar berfformiad ar gyfer yr adroddiad blynyddol a chyfrifon ati hi yn uniongyrchol i'w cynnwys yn y fersiwn ddrafft a fydd yn cael ei hystyried yn y lle cyntaf gan y Pwyllgor Archwilio a Risg cyn dod gerbron y Bwrdd. **GWEITHREDU**
- xii. Rhoddodd GR drosolwg o'r cyllid fel ag yr oedd ar ddiwedd y flwyddyn. Roedd yr incwm yn ôl y disgwyl. Roedd tanwariant o £239,000 ar y gyllideb grantiau o ganlyniad i'r nifer is o fwrsariaethau myfyrwyr a ddyrannwyd. Mae hynny yn sgil y cyllid PLOF yn ogystal â rhai lleoliadau'n cael eu gohirio i'r flwyddyn ariannol newydd oherwydd COVID-19; mae hyn wedi'i adlewyrchu yn y gyllideb ar gyfer 2021-22.
- xiii. Mae tanwariant o £164,000 yn elfen Rheoleiddio'r Gweithlu'r gyllideb, gyda thanwariant o £61,000 yn y gyllideb gwrandawiadau yn sgil gohirio gwrandawiad 5 diwrnod a oedd wedi'i drefnu o fewn y gyllideb.
- xiv. Roedd tanwariant o £116,000 yn y gyllideb Gwella a Datblygu gyda thanwariant o £130,000 yn y gyllideb prosiectau oherwydd penderfyniad yn chwarter 4 i ohirio rhai prosiectau a cherrig milltir tan y flwyddyn ariannol newydd.
- xv. Roedd gorwariant o £119,000 yn y gyllideb cyflogau, oherwydd costau absenoldeb mamolaeth ychwanegol yn ogystal â chyfandaliad i'r cynllun pensiwn yn dilyn cymeradwyaeth gan yr isadran Nawdd sydd wedi arwain at elfen o'r gorwariant.
- xvi. Mae addasiad cyflog gwyliau yn cael ei wneud hefyd, sy'n fwy eleni oherwydd bod staff yn cario nifer ychwanegol o ddiwrnodau ymlaen yn dilyn penderfyniad i fod yn fwy hyblyg ar geisiadau i gario gwyliau ymlaen eleni ac mae wedi arwain at addasiad cyfrifyddu sy'n cyfrannu at orwariant yn y gyllideb cyflogau.
- xvii. Mae Cyllideb y Blynyddoedd Cynnar yn cyd-fynd yn fras â'r gyllideb. Cafwyd gorwariant o £89,000 yn y gyllideb Strategaeth a Chymorth Busnes oherwydd costau gofynion hygyrchedd gwefannau.
- xviii. Yn gyffredinol, ar ddiwedd y flwyddyn, mae tanwariant o £426,000 yn y gyllideb gyda £10,000 yn llai o incwm wedi'i dderbyn na'r hyn a ragwelwyd. Gadawodd hyn danwariant net cyffredinol o £416,000 a oedd o fewn y lwfans cario arian parod ymlaen o 2% gyda balans arian parod o £387,000. Felly, mae'r tanwariant £416,000 wedi'i gario ymlaen i'r flwyddyn ariannol newydd a fydd yn ariannu prosiectau a lleoliadau a ohiriwyd o 2020-21.
- xix. Diolchodd y Cadeirydd i GR am ei bapur cyllid a hefyd i RJ am ei hadroddiad diwedd blwyddyn ar Adnoddau Dynol a gofynnodd i'r aelodau am unrhyw gwestiynau neu sylwadau ar y naill bapur neu'r llall. Ni chafwyd unrhyw gwestiynau na sylwadau .
- xx. Cytunodd yr Aelodau eu bod wedi **craffu** ar y cynnydd yn erbyn Cynllun Busnes 2020-21 a'i **gymeradwyo** ar y cam diwedd blwyddyn.

## 12. Adroddiad Effeithiolrwydd y Bwrdd

- i. Myfyriodd y Cadeirydd ar y trafodaethau a gafwyd yn y tri chyfarfod Pwyllgor ym mis Mawrth mewn perthynas â chanlyniadau eu hadroddiadau effeithiolrwydd. Y consensws cyffredinol oedd er bod y casgliadau'n gadarnhaol ar y cyfan, roedd nifer yr ymatebion a'r diffyg naratif neu adborth y gellid ei weithredu yn awgrymu bod angen edrych eto ar y broses. Yn benodol, barnwyd bod y cwestiynau o bosib yn llai perthnasol nawr na phan gawsant eu datblygu pedair blynedd yn ôl, pan sefydlwyd y sefydliad.
- ii. O ran yr ymarfer lefel Bwrdd, dim ond un ar ddeg o ymatebion a gafwyd o bymtheg posibl, a gallai hyn fod yn arwydd nad yw aelodau'n gweld y broses fel un mor ddiddorol ag y dylai fod o bosib. Roedd y Cadeirydd o'r farn bod yr arwyddion cyffredinol yn ddefnyddiol o ran ei bod yn ymddangos bod pobl yn fodlon ar y cyfan â'r ffordd y mae'r Bwrdd yn gweithio, ond nid yw'r sylwadau naratif yn rhoi fawr o ddealltwriaeth o pam wnaeth yr aelodau asesu fel y gwnaethant a phrin oedd y cyfleoedd i nodi camau gweithredu ar gyfer gwella yn y dyfodol. O ganlyniad, o'i gymryd gyda thrafodaethau'r Pwyllgor, roedd y Cadeirydd wedi cytuno â'r Prif Swyddog Gweithredol y byddwn yn edrych ar ffyrdd amgen o gynnal yr adolygiadau effeithiolrwydd yn y dyfodol.
- iii. Er bod y cyfleoedd dysgu yn gyfyngedig, tynnodd y Cadeirydd sylw at y prif themâu yn yr ymatebion yn ei farn ef: -
  - roedd rhai aelodau'n awyddus i ddeall mwy am yr hyn a ddisgwyliid ganddynt yn eu rôl fel llysgenhadon i'r sefydliad.
  - teimlai nifer o aelodau fod y cyfarfod atebolrwydd gyda Gweinidogion yn rhy strwythuredig ac y byddai'n croesawu cyfle ar wahân, mwy anffurfiol i gyfnewid safbwyntiau dwy ffordd.
  - roedd llai o foddhad â hyd cyfarfodydd nag agweddau eraill ar drefniadau gweithio'r Bwrdd.
  - bu gostyngiad bach yn nifer yr aelodau a oedd yn fodlon bod eu hanghenion hyfforddi fel aelod yn cael sylw digonol.
  - er bod aelodau wedi codi pryderon o'r blaen am ba mor hawdd oedd Porth y Bwrdd i'w ddefnyddio, ni chafodd hyn ei adlewyrchu yn yr adborth a ddarparwyd.
- iv. Gofynnodd y Cadeirydd i'r aelodau a oedd ganddynt unrhyw sylwadau neu gwestiynau mewn perthynas â chanfyddiadau arolwg effeithiolrwydd y Bwrdd. Dywedodd JK fod rôl aelodau'r Bwrdd fel llysgenhadon yn un sydd wedi'i chodi'n gyson ers ffurfio'r Bwrdd a gofynnodd sut y byddai hyn yn cael sylw. Dywedodd y Cadeirydd y bydd sesiwn yn cael ei chynnwys fel opsiwn yn rhaglen Datblygu'r Bwrdd ar gyfer 2021-22 a fydd yn cael ei thrafod yn sesiwn ddatblygu mis Mai a bydd y Bwrdd yn gallu penderfynu ar amseriad y sesiwn.
- v. Mewn ymateb i'r adborth a oedd yn dangos awydd am fwy o hyfforddiant, bydd rhaglen Datblygu'r Bwrdd hefyd yn cynnwys cydbwysedd tecach rhwng eitemau busnes, eitemau gwybodaeth a mewnbynnau hyfforddi. Roedd nifer o themâu posibl ar gyfer hyfforddiant wedi deillio o'r cylch diweddar o drafodaethau PADR un-i-un, gan gynnwys llywodraethu gwybodaeth, cydraddoldeb ac amrywiaeth ac ymwybyddiaeth ariannol a fydd yn cael eu cynnwys yn yr amserlen i'w hystyried.

- vi. Mewn perthynas â'r awydd am sgwrs lai ffurfiol gyda Gweinidogion, dywedodd y Cadeirydd fod hwn yn awgrym a oedd wedi codi nifer o weithiau yn ystod y trafodaethau PADR un-i-un hefyd. Roedd y Cadeirydd a'r Prif Swyddog Gweithredol wedi trafod hyn ac wedi cytuno y byddent yn codi'r mater drwy eu cyfarfodydd rheolaidd â swyddogion Llywodraeth Cymru ar ôl ffurfio'r llywodraeth newydd.
- vii. O ran hyd cyfarfodydd, cydnabu'r Cadeirydd y farn bod cyfarfodydd yn rhy hir ond cyfeiriodd at y dadansoddiad diweddar sy'n dangos bod llai o amser yn cael ei dreulio mewn cyfarfodydd ers dechrau cynnal cyfarfodydd o bell. Fodd bynnag, pe bai Aelodau'n credu bod ffyrdd o leihau hyd cyfarfodydd ymhellach, byddai'n falch o'u hystyried.
- viii. Dywedodd DB fod gormod o bethau'n cael eu cynnwys ar agenda sy'n gofyn am drafodaethau manwl weithiau. Dywedodd y Cadeirydd fod rhai sefydliadau yn cyflwyno 'eitemau caniatâd' ar ddechrau cyfarfodydd sy'n eitemau nad ydynt yn ddadleuol neu er gwybodaeth yn unig ac sy'n cael eu delio â nhw'n weddol gyflym, gan ganiatáu mwy o amser ar gyfer materion arwyddocaol. Os oedd awydd am hyn, roedd yn rhywbeth y gellid ei ystyried.
- ix. Mewn perthynas â'r adborth bod aelodau'n fodlon ar y cyfan â phorth y Bwrdd, dywedodd y Cadeirydd fod Bev Moore yn adolygu'r porth ar hyn o bryd ac y dylid anfon unrhyw awgrymiadau ar gyfer gwelliannau ati hi'n uniongyrchol.
- x. Ni chafwyd unrhyw gwestiynau na sylwadau pellach a chytunodd yr aelodau fod y Bwrdd yn ystyried ac yn trafod canlyniadau'r adroddiad.
- xi. Ychwanegodd y Cadeirydd os oedd yna faterion yr oedd cydweithwyr am eu codi ond nad oeddent yn teimlo y gallent wneud hynny mewn lleoliad cyhoeddus, roedd croeso iddynt gysylltu ag ef y tu allan i'r cyfarfod.

### **13. Effeithiolrwydd cyfarfodydd**

- i. Gofynnwyd i'r Aelodau gyfrannu eu barn at Jamboard er mwyn gwerthuso effeithiolrwydd y cyfarfod. Gofynnwyd tri chwestiwn, fel a ganlyn: -
  - (i) oedd un peth a aeth yn arbennig o dda yn ystod y cyfarfod heddiw?
  - (ii) oedd un peth y gallem ni fod wedi'i wneud yn wahanol neu'n well yn eich barn chi?
  - (iii) oes unrhyw beth yr hoffech ei weld yn cael mwy o sylw nad oedd yn gam gweithredu sy'n deillio o'r cyfarfod?
- ii. Dangoswyd yr ymatebion ar y sgrin wrth iddynt gael eu cyflwyno ac o ystyried lefel y manylder, cynigiodd y Cadeirydd y dylai'r rhain CCG gymryd y nodiadau a'u trafod i nodi unrhyw gamau a oedd yn angenrheidiol o ganlyniad. Ymrwymodd i sicrhau bod adborth yn cael ei ddarparu drwy'r Porth mewn perthynas ag unrhyw gamau a fyddai'n codi.

- iii. Ni chafwyd unrhyw sylwadau na chwestiynau pellach ac felly diolchodd y Cadeirydd i bawb am eu cyfraniadau yn ystod y cyfarfod a chyhoeddodd fod y cyfarfod wedi dod i ben.

**Dyddiad y cyfarfod nesaf:**

**Dydd Iau 15 Gorffennaf 2021.**

**Camau Gweithredu**

| <b>Rhif y cam gweithredu</b> | <b>Eitem</b>  | <b>Gweithredu</b>  | <b>Pwy</b>                            |
|------------------------------|---|--|---------------------------------------|
| 01/21/SCW                    | Eitem 4 - Cofnod gweithredu a materion yn codi  | Y camau gweithredu i gael cyfeirnod wrth symud ymlaen i helpu i adnabod camau gweithredu yn y dyfodol  | Llinos Bradbury                       |
| 02/21/SCW                    | Eitem 6 - Gosod y cyd-destun a negeseuon allweddol gan y Prif Weithredwr a'r Cyfarwyddwyr | Ysgrifennu at y Byrddau Partneriaeth Rhanbarthol i'w hatgoffa am y porth data a'r cymorth sydd ar gael gan Gofal Cymdeithasol Cymru  | Sarah McCarty                         |
| 03/21/SCW                    | Eitem 6 - Gosod y cyd-destun a negeseuon allweddol gan y Prif Weithredwr a'r Cyfarwyddwyr | Trafodaeth bellach am waith ymgysylltu Gofal Cymdeithasol Cymru a sut i ymgysylltu'n well â'r Byrddau Partneriaeth Rhanbarthol ac archwilio manteision partneriaeth gryfach. | Mick Giannasi a Sue Evans             |
| 04/21/SCW                    | Eitem 7 - Cynllun Busnes 2021-22  | Archwilio manteision posibl mentora o chwith.  | Cadeirydd a Phrif Swyddog Gweithredol |
| 05/21/SCW                    | Eitem 10 - Diweddariad ar y System Rheoli Diogelwch Gwybodaeth                            | CCG i ddatblygu cynigion yn y tymor byr, canolig a hir i drafod ymhellach ar ddiwrnod datblygu'r Bwrdd yn y dyfodol fel atodiad i'r rhaglen                                  | Aelodau Grŵp Cydlynu'r Cadeiryddion   |



|           |  |  |                      |
|-----------|--|--|----------------------|
|           |  | waith cryfhau llywodraethu.  |                      |
| 06/21/SCW | Eitem 11 - Cynllun Busnes:<br>Adroddiad cynnydd Chwarter 4 | Yr Aelodau i anfon unrhyw fyfyrddodau a ffocws ar gyfer y sylwadau ar berfformiad ar gyfer yr adroddiad blynyddol a chyfrifon at Kate Salter yn uniongyrchol i'w cynnwys yn y fersiwn ddrafft a fydd yn cael ei hystyried yn y lle cyntaf gan y Pwyllgor Archwilio a Risg cyn y Bwrdd. | Holl aelodau'r Bwrdd |

## Gweithrediadau cyfarfodydd Bwrdd Gorfal Cymdeithasol Cymru

### Log gweithredu 2021-22

| Rhif gweithred | Dyddiad cyfarfod | Eitem   | Gweithred   | Gweithred gan   | Dyddiad targed | Canlyniad / diweddariad   | Statws cyfredol | Dyddiad cwblhau |
|----------------|------------------|---|---|-----------------|----------------|---|-----------------|-----------------|
| 01/21/SCW      | 29.04.21         | Eitem 4 - Log gweithredu a materion yn codi   | Gweithredoedd i gael cyfeirnod wrth symud ymlaen i helpu i nodi gweithredoedd yn y dyfodol              | Llinos Bradbury | Gorffennaf     | Roedd y cyfeirnod wedi'i gynnwys wrth symud ymlaen  | Caewyd          | Gorffennaf 2021 |
| 02/21/SCW      | 29.04.21         | Eitem 6 - Gosod cyd-destun a negeseuon allweddol gan y Prif Weithredwr a'r Cyfarwyddwyr | Ysgrifennu at RPBs i'w hatgoffa o'r porth data a'r gefnogaeth sydd ar gael gan Gofal Cymdeithasol Cymru | Sarah McCarty   | Gorffennaf     | Rydym yn gallu cymryd agwedd fwy rhagweithiol ac rydym nawr yn archwilio gyda phartneriaid i gyflwyno gweithdai thematig ar y pynciau yn yr Asesiadau Anghenion Poblogaeth ar gyfer cynllunwyr rhanbarthol ac unigolion eraill sydd â diddordeb. Byddwn hefyd yn defnyddio'r gweithdai hyn fel rhan o'n gwaith gyda Grant Thornton ar ailddatblygu'r porth data. Mae hyn yn ein | Caewyd          | Gorffennaf 2021 |

|           |          |   |   |                           |              |  |        |  |
|-----------|----------|---|---|---------------------------|--------------|--|--------|--|
|           |          |   |   |                           |              | galluogi i ddarparu rhywfaint o gefnogaeth ragweithiol ar y data a'r ymchwil sydd ar gael, wrth lywio'r ffordd orau i'r porth ddiwallu anghenion y sector yn y dyfodol. Mae Sarah hefyd yn cynnal gweithdy yn nigwyddiad cynllunio haf GIG Cymru lle byddwn hefyd yn rhannu'r gefnogaeth sydd ar gael. |        |  |
| 03/21/SCW | 29.04.21 | Eitem 6 - Gosod cyd-destun a negeseuon allweddol gan y Prif Weithredwr a'r Cyfarwyddwyr | Trafod ymhellach gwaith ymgysylltu Gofal Cymdeithasol Cymru a sut i ymgysylltu'n well â'r RPBs ac archwilio buddion partneriaeth gryfach. | Mick Giannasi & Sue Evans | Rhagfyr 2021 | Cytunwyd i ddefnyddio'r Cynllun Strategol fel canolbwynt ar gyfer deialog RPB yn 21/22.<br><br>Efallai y bydd trafodaeth bellach pan welwn ymateb Llywodraeth Cymru o ymgynghoriad y Papur Gwyn.   | Agored |  |
| 04/21/SCW | 29.04.21 | Eitem 7 – Cynllun Busnes 2021-22  | Archwiliwch fanteision posibl mentora.  | Mick Giannasi & Sue Evans | Gorffennaf   | Sesiwn wybodaeth wedi'i chynnal gyda Bwrdd Iechyd Hywel  | Agored |  |

|           |          |   |   |                                     |                     |  |        |                   |
|-----------|----------|---|---|-------------------------------------|---------------------|--|--------|-------------------|
|           |          |   |   |                                     |                     | Dda ar 21 Mehefin, trafodaethau i'w cynnal ar y potensial i'w ddefnyddio o fewn Gofal Cymdeithasol Cymru |        |                   |
| 05/21/SCW | 29.04.21 | Eitem 10 - Diweddariad System Rheoli Diogelwch Gwybodaeth | GCC i ddatblygu cynigion yn y tymor byr, canolig a hir i drafod ymhellach mewn diwrnod datblygu Bwrdd yn y dyfodol fel ychwanegiad at y rhaglen waith cryfhau llywodraethu.   | Aelodau'r Grŵp Cydlynu Cadeiryddion | Gorffennaf          | I'w drafod yng nghyfarfod 29 CCG   | Agored |                   |
| 06/21/SCW | 29.04.21 | Eitem 11 - Cynllun Busnes: Adroddiad cynnydd Chwarter 4   | Eitem 11 - Cynllun Busnes: Adroddiad cynnydd chwarter 4 Aelodau i anfon unrhyw fyfyrddodau a ffocws ar gyfer y sylwebaeth berfformiad ar gyfer yr adroddiad blynyddol a chyfrifon yn uniongyrchol at Kate Salter i'w gynnwys yn y | Aelodau Bwrdd                       | Cyn gynted a phosib | Trafodwyd adroddiad blynyddol a chyfrifon yn y Pwyllgor Archwilio a Risg ar 7 Gorffennaf                 | Caewyd | 7 Gorffennaf 2021 |

|  |          |  |  |   |   |   |        |                 |
|--|----------|--|--|---|---|---|--------|-----------------|
|  |          |  | fersiwn ddrafft i'w hystyried i ddechrau gan y Pwyllgor Archwilio a Risg gerbron y Bwrdd.  |   |   |   |        |                 |
|  | 22.10.20 | Eitem 8 - Adroddiad Cydraddoldeb Blynyddol 2019-20 | Trafod mentrau recriwtio BAME ymhellach  | Abu Askira & Rhianon Jones & Emma Britton         | Mawrth 2021   | Wedi cyfarfod.  | Caewyd | Mai 2021        |
|  | 22.10.20 | Eitem 8 - Adroddiad Cydraddoldeb Blynyddol 2019-20 | Diweddariad ar y cynnydd o ran cwblhau data monitro cydraddoldeb ac amrywiaeth   | Rhianon Jones                                     | Erbyn Mawrth 2021 yn barod ar gyfer adrodd yn Ebrill 2021 | Diweddariad wedi'i gynnwys ym mhapur Archwilio Cyflog Cyfartal mis Gorffennaf.  | Caewyd | Gorffennaf 2021 |
|  | 22.10.20 | Eitem 9 - Archwiliad Cyflog Cyfartal 2019-20       | Rhannu methodolegau a ddefnyddir i wneud i bobl deimlo'n fwy diogel wrth ddatgan eu nodweddion   | Damian Bridgeman a Rhianon Jones                  | Mawrth 2021   | Cyfarfod ar 13 Gorffennaf.  | Caewyd | Gorffennaf 2021 |
|  | 30.04.20 | Item 8 – Materion rheoleiddio                      | Gweithio gyda'r tîm FtP i ddatblygu meini prawf ar gyfer pryd gellid defnyddio mwy ar adran 160 o'r Ddeddf Rheoleiddio ac Arolygu (RISCA), | Hywel Dafydd, Cyfarwyddwr Cynorthwyol Rheoleiddio | 16.07.20  | Rydym yn cynnal trafodaethau â chyfreithwyr Llywodraeth Cymru i weithredu adran 160. Unwaith y cyflawnir hyn, byddwn yn | Agored |                 |

|  |  |  |   |  |  |   |  |  |
|--|--|--|---|--|--|---|--|--|
|  |  |  | gan ei bod yn rhoi'r pŵer i fynnu gwybodaeth gan bersonau neu gyrff sy'n ymwneud ag achosion FtP. |  |  | gosod maen prawf. Mae gwaith Llywodraeth Cymru ar hyn wedi stopio oherwydd Covid-19 ond rydym mewn cysylltiad rheolaidd ac yn gobeithio gwneud cynnydd yn fuan. |  |  |
|--|--|--|---|--|--|---|--|--|



|  |  |                                       |   |                                     |                                     |
|--|--|---------------------------------------|---|-------------------------------------|-------------------------------------|
| <b>CYFARFOD / MEETING</b>  | <b>Cyfarfod Bwrdd</b>  |                                       |   |                                     |                                     |
|  | <b>PREIFAT / PRIVATE</b>   |                                       | <b>CYHOEDDUS / PUBLIC</b>                   |                                     |                                     |
|  | <input type="checkbox"/>   |                                       | <input checked="" type="checkbox"/>         |                                     |                                     |
| <b>DYDDIAD / DATE</b>  | 15.07.21   |                                       |   |                                     |                                     |
| <b>EITEM AGENDA / AGENDA ITEM</b>  | 7  |                                       |   |                                     |                                     |
| <b>TEITL / TITLE / SCW/21/19</b>   | <b>Adroddiad Blynyddol Drafft a Chyfrifon 2020-21, Adroddiad Archwilio Cyfrifon</b>  |                                       |   |                                     |                                     |
| <b>AWDUR / AUTHOR</b>  | Geraint Rowlands, Cyfarwyddwr Cynorthwyol Cyllid a TG  |                                       |   |                                     |                                     |
| <b>CYFRANIADAU GAN/ CONTRIBUTIONS FROM:</b>  | Archwilio Cymru  |                                       |   |                                     |                                     |
| <b>PAPURAU CEFNOGOL / SUPPORTING PAPERS</b>  | Atodiad 1 - Adroddiad Blynyddol a Chyfrifon Drafft 2020-21<br>Atodiad 2 - Adroddiad Archwilio Cyfrifon   |                                       |   |                                     |                                     |
| <b>GWEITHGAREDD CYNLLUN BUSNES / BUSINESS PLAN ACTIVITY</b>  | Thema flaenoriaeth 4: ar gyfer gweithlu Gofal Cymdeithasol Cymru a sefydliad effeithiol  |                                       |   |                                     |                                     |
| <b>GWEITHRED / ACTION REQUIRED</b>   | <b>CYMERADWYAETH / APPROVAL</b>  | <b>DARPARU LLYW / PROVIDE A STEER</b> | <b>DARPARU SICRWYDD / PROVIDE ASSURANCE</b> | <b>TRAFODAETH / DISCUSSION</b>      | <b>CRAFFU / SCRUTINISE</b>          |
|  | <input checked="" type="checkbox"/>  | <input type="checkbox"/>              | <input type="checkbox"/>                    | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| <b>ARGYMHELLIAD / RECOMMENDATION</b>   | Gwahoddir y Bwrdd i <b>graffu</b> a <b>chymeradwyo'r</b> Adroddiad Blynyddol a Chyfrifon Drafft a chraffu a <b>chymeradwyo'r</b> Adroddiad Archwilio Cyfrifon.   |                                       |   |                                     |                                     |
| <b>PRIF BWYNTIAU; MATERION ALLWEDDOL I DYNNU SYLW ATYNT; CWESTIYNAU I'W YSTYRIED</b><br><br><b>MAIN POINTS; KEY ISSUES TO DRAW TO ATTENTION;</b> | Mae'r Adroddiad Blynyddol Drafft a'r Cyfrifon ymhellach i archwilio allanol yn ymgorffori unrhyw gywiriadau yr oedd yn ofynnol eu gwneud i'r cyfrifon ac maent wedi'u hargymell i'w cymeradwyo gan y Pwyllgor Archwilio a Risg.<br><br>Mae'r Adroddiad Archwilio Cyfrifon yn amlinellu bod yr Archwilydd Cyffredinol yn bwriadu cyhoeddi adroddiad archwilio diamed. Ni chodwyd unrhyw argymhellion yn dilyn y gwaith archwilio. |                                       |   |                                     |                                     |

|   |  |
|---|--|
| <b>QUESTIONS TO CONSIDER</b>                          |  |
| <b>ASESIADAU<br/>EFFAITH / IMPACT<br/>ASSESSMENTS</b> |  |



## **Adroddiad Blynyddol a Chyfrifon 2020-21 a'r Adroddiad Archwilio Cyfrifon**

### **1. Cyd-destun**

- 1.1 Cyflwynir yr Adroddiad Blynyddol a'r Cyfrifon Drafft yn Atodiad 1. Ymhellach i archwiliad allanol mae'r cyfrifon hyn yn ymgorffori unrhyw gywiriadau yr oedd yn ofynnol eu gwneud i'r Cyfrifon.
- 1.2 Mae'r Adroddiad Archwilio Cyfrifon yn nodi mai bwriad yr Archwilydd Cyffredinol yw cyhoeddi adroddiad archwilio diamod ar y datganiadau ariannol. Ni chodwyd unrhyw argymhellion yn codi o'r gwaith archwilio.
- 1.3 Yn y Pwyllgor Archwilio a Risg, trosglwyddodd yr Adroddiad Archwilio Cyfrifon drafft fod un maes o waith archwilio ar ôl ar y pryd, sef derbyn cadarnhad gan archwilwyr allanol cronfa bensiwn RCT ynghylch datgelu pensiwn yn ein datganiadau ariannol Archwiliad Cymru yn y cyfarfod roeddent wedi gallu cadarnhau bod y sicrwydd archwilio hwn bellach wedi'i ddarparu ac mae hyn yn cael ei adlewyrchu yn yr Adroddiad Archwilio Cyfrifon terfynol.
- 1.4 Ar ôl cael eu cymeradwyo gan y Bwrdd, bwriedir i'r Cyfrifon gael eu llofnodi gan y Swyddog Cyfrifyddu ar 12 Gorffennaf ac yna i'w llofnodi gan yr Archwilydd Cyffredinol ar 23 Gorffennaf. Rhagwelir y bydd y Cyfrifon yn cael eu gosod gerbron y Senedd ar yr un diwrnod ag y bydd yr Archwilydd Cyffredinol yn eu llofnodi.

### **2. Goblygiadau adnoddau**

- 2.1 Roedd adnoddau ar gyfer y gost archwilio allanol o £20,741 o fewn y gyllideb Llywodraethu.

### **3. Ystyriaethau risg**

- 3.1 Byddai risg i'n henw da pe bai bwriad yr Archwilydd Cyffredinol i gyhoeddi barn archwilio gymwysedig.

### **4. Ymgysylltu**

- 4.1 Roedd yr archwiliad allanol yn cynnwys ymgysylltu â'r Tîm Cyllid ond yn bennaf y Cyfarwyddwr Cynorthwyol Cyllid a TG ac aelodau o'r Tîm Rheoli Gweithredol.

### **5. Effaith**

- 5.1 Mae'r Archwiliad Allanol yn darparu rôl bwysig wrth ddangos ein bod yn sefydliad tryloyw ac yn atebol am ein penderfyniadau.

# Annual Report and Accounts 2020 – 2021

## **Regulation and Inspection of Social Care (Wales) Act 2016**

Annual Report and Accounts of Social Care Wales prepared pursuant to Schedule 2, Part 6 Paragraph 16(1-3) of the Regulation and Inspection of Social Care (Wales) Act 2016, for the year ended 31 March 2021 together with the Report of the Auditor General for Wales thereon and laid before Senedd Cymru pursuant to the Regulation and Inspection of Social Care (Wales) Act Schedule 2, Part 6 Paragraph 16(4)

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## Performance report

### Overview

#### Statement from the Accounting Officer

This represents the fourth Annual Report and Accounts that have been prepared by Social Care Wales since its inception in 2017. This year, as all previous years, the organisation can be pleased to have met its statutory obligations in full and to deliver meaningful support for the social care and early years sectors and those who use their services.

This, of course, has been achieved during Covid; the most significant disruption to our lives for a generation. For social care and early years, the challenges of the past year have been immense. The response of those on the front-line of services has been incredible, and I want to record my thanks and gratitude to them.

I am also very proud of the way Social Care Wales has responded to the emergency - adapting and engaging with the sector throughout. I believe this report demonstrates that we have worked as part of a cohesive sector response, strengthening our partnerships across Wales, and using our resources to support the continued delivery of effective services throughout.

We have continued, despite the challenges, to embed the framework to transform care and support in Wales, as set out in the Social Services and Well-being (Wales) and Regulation and Inspection of Social Care (Wales) Acts. We have also continued to work with others to develop and plan the future development of the social care and early years workforce, through "A Healthier Wales" and the Welsh Government's "10-year Childcare, Play and Early Years" workforce plan whilst also building on national partnerships across Wales as we recover from the pandemic.

Social care workers help people live the lives they want, supporting people to develop, remain active and independent, stay safe and well connected to their community and wider networks. They do this alongside family, friends, volunteers and other public services. Early years workers help give our children a great start in life and provide valuable support for parents.

The Covid pandemic has truly demonstrated how valuable care workers are, as key workers, to our society. We want to build on this recognition leading on investment in the workforce, to ensure a sustainable way forward. We see this as essential if we are to meet the needs of our communities where the impact of poverty, poor health and an ageing society bring increased demands for good quality care and support.

In response to the pandemic, at the start of the financial year, we re-aligned our Business Plan to take into account how we intended to:

- support the social care and early years sectors in responding to Covid
- adapt our business-as-usual activities to support the sustainability of the workforce (including how we will adapt our approaches to support the current environment)
- support the recovery of the sectors from Covid.

The speed, magnitude and challenge of the pandemic on the sector is not something we had experienced before. From the start we recognised the pressing need to respond swiftly and flexibly in our approach to supporting the sector and our own staff, to provide them with the assistance they need. Some of the key initiatives we have delivered, as a response to Covid, are set out below:

### **Supporting and maintaining the workforce**

- raising the profile of the workforce
- supporting workforce wellbeing
- developing digital learning and peer support networks
- supporting and promoting the sector as a career
- developing a jobs portal

### **Enabling continuing education for social care students**

- making temporary adjustments to our Regulatory requirements
- re-focusing financial support for training and development

### **Providing recognition and support to all who were providing care**

- producing a care worker card

### **Providing expert knowledge and best practice for the sector**

- learning from Covid and sharing practice on 'What made a difference?'
- developing Covid research priorities
- developing one stop shop of curated expert guidance on Covid

### **Providing ongoing regulation and development activities**

- developing, adapting and maintaining business operations during Covid and capturing learning to inform our future operations.

## Our approach for 2021-22

Due to the current landscape and the constantly changing situation regarding Covid, we have set out an ambitious programme of work for delivery in 2021-22. This is based on our Remit Letter's strategic objectives and the Grant-in-Aid funding which was received on 25 March 2021 from the Deputy Minister for Health and Social Services.

Our focus for delivery during 2021-22 will be in three areas:

1. Maintaining and adapting our core activities in light of Covid
2. Supporting the recovery of the social care and early years sector
3. Supporting the sustainability of the sector

We will focus on our ambitions to:

- empower the workforce to achieve the best person centred care
- enhance the provision of services through managers, leaders and owners
- enable strategic leaders with evidence and skills to improve planning, service development and quality
- ensure continuous improvement in how we do our work, to be an effective and efficient Welsh public service leadership organisation.

To find out more details on how we will deliver this work visit [our website](#) and [our Business Plan 2021-22](#).

### Sue Evans

Chief Executive and Accounting Officer

Date: 21 July 2021

## Role of Social Care Wales – Who we are



## Our vision and strategic objectives

**Our vision**

We want every person who needs support to live the life that matters to them

**Our purpose**

Building confidence in the workforce and leading and supporting improvement in social care



## Our aims

Our three strategic aims define what we do. These aims will result in:

- people having confidence in the social care workforce, including the early years workforce, and the effectiveness of Social Care Wales
- improved well-being outcomes for children and adults who rely on care and support, their families and carers
- a high-quality, sufficient and skilled workforce.

## Key issues and risks we face

Information about our risk management and the main risks we face is provided in the Governance Statement on page 22.

The factors we think will have the greatest influence over the way we work and how we achieve our vision over the next five years are:

- the impact of Covid directly and indirectly on the social care and early years sector in supporting people and children
- remaining in a period of financial constraint for public services
- the ambitious policy landscape.

## Performance analysis

Our annual Business Plan for 2020-21 sets out our strategic objectives, along with our high-level activities and achievement measures. Throughout the year we provide quarterly reports about the progress we have made against our strategic objectives to our Executive Management Team, and these are scrutinised by our Board and the Welsh Government.

Whilst many of our existing activities and our response to Covid were delivered effectively and at pace in year, we took a decision to slow down some activities and carry them forward into our business delivery for 2021-22 to ensure that the outcomes are truly co-produced with the sector. This was in recognition that the pandemic was having a significant, continued impact on the ability within the sector to participate in the level of engagement required.

## Providing public confidence

### Registration

Registration is part of our ongoing commitment to continuously develop the social care workforce and raise the status of workers. We recognise the need to make sure we have a sufficient workforce that is ready to meet new challenges, with the right skills and confidence to practise.

With the increased size of the Register, we will continue to identify ways in which we can better interact with registered people, helping them understand the expectations and standards set by the Code of Professional Practice by supporting their learning and development.

**35,802** people were on our Register (as of March 2021)

**1,497** people left the Register (during 2020-21)

To relieve pressure on the sector we made a number of changes to how regulate the workforce in light of Covid. Some examples include:

- **Social Care Workers have up to 12 months from their start date to register with us (temporarily changed from 6 months):** This allowed workers to focus on the response to the pandemic, rather than completing registration within the normal period. Workers remained subject to the code of professional practice.
- **Temporary Register for Social Work:** We invited social workers who had left the register in the past three years to re-join a new, temporary register so they could be quickly brought into service if required by employers.
- **Approval requirements for Social Work qualifying training in the light of the Covid pandemic:** The pandemic meant practice placements for student social workers were often unavoidably curtailed. We worked with Higher Education Institutions (HEIs) to find routes for students who had demonstrated the required progress and competence to qualify.

## Fitness to practise

### Scheduling and holding hearings during Covid

Throughout 2020-21 all our panel hearings, Interim Suspension Orders (ISO), ISO reviews, Registration Appeals and Fitness to Practise Hearings were delivered remotely.

**346** (1% of Register) registered persons about whom we received allegations that called into question their fitness to practise and suitability to remain on the Register

**162** (47%) of referrals related to registered persons who were subject to disciplinary processes

**29** final hearings were held

**16** people were removed from the Register

Of those removed, their roles were:

**56%** (9) - residential child care workers

**6%** (1) - adult care home managers

**6%** (1) - social workers

**19%** (3) - domiciliary care managers

**13%** (2) - domiciliary care workers.

### Promote recognition of the workforce

The social care worker card and early years and child care worker card were produced at the start of the pandemic (launched in April 2020) to recognise the key role workers have in supporting people in every community in Wales. The card provided workers with useful benefits such as preferential shopping times, priority access to certain retailers and additional on-line resources and programmes to support wellbeing. Over 30,000 workers have been issued a card to date. Throughout the year we have continued to review and update the benefits attached to the card and maintain its prominence with retailers.

A new version of the digital card was launched in April 2021 (as the original card expired at the end of April 2021). We applied learning to our approach based on feedback from existing card holders. We considered additional future benefits that can be attached to the card along with how the card can be branded and designed for the care workforce in Wales. This single approach covers both social care and early years and child care.

## Support workforce wellbeing

In December 2020 the Employee Assistance Programme for social care workers in the private and voluntary sectors in Wales was launched. The Welsh Government is supporting the scheme, with funding of £150,000 which we procured and is being managed by Social Care Wales. The scheme is available to around 55,000 social care workers, who may not have had access to such a scheme, to give greater support to their well-being. The scheme recognises the personal impact Covid has had on many workers and will provide more consistent availability of support across the sector. We ran a series of webinars to over 120 attendees. As part of the launch of the scheme a webinar for managers attracted over 200 participants.

This scheme builds on the well-being support available through our website, where the Covid and well-being pages has been viewed the most since the pandemic started.

We have worked in partnership with Improvement Cymru to deliver a peer support network to care home managers called the Care Home Cwtch. We also launched a peer support offer for domiciliary care managers called 'A Time for You'. Feedback on the sessions held have been positive and a second cohort of further sessions has been opened up to new participants in addition to existing ones.

We established a social care wellbeing network to support progression of initiatives and approaches to support workforce wellbeing in the immediate pressures from Covid and also longer term aspirations from the workforce strategy for example through commencing work on a staff governance framework.

**“I have learnt so much from the group and have felt support from each member of my group”**

**“It’s been far more beneficial than I ever imagined”**

**“I didn't realise how much I needed these sessions until I started them, possibly one of the very few positives to come out of the pandemic.”**

**Domcilliary care managers**

## Working with you to be effective

### Strategy and governance

We consulted on our draft priorities for our next strategic plan. We set out our priorities and proposals for what we want to achieve, where we suggest we focus our energies and how we want to work with people over the next five years to realise our vision. The consultation was open for 10 weeks and we will use the feedback received as we prepare our new Strategic Plan for 2022-27 during the coming year.

### Supporting our staff to work from home

From 23 March 2020 our entire workforce has been working remotely from their homes and we have committed to this continuing until May 2021 at the earliest. During this time, we have conducted 2 Home Working Risk Assessments for all staff and have provided the necessary IT and office equipment to support staff in their working remotely. We have also run a number of mini staff surveys as part of supporting the wellbeing of our staff. Our Staff Partnership Council has continued to meet on a monthly basis to discuss any matters being raised through to their representatives.

### Staff well-being

As a public service organisation, we are committed to demonstrating the Welsh public service values in the way we work with the sector and the way we work within the organisation. Staff wellbeing has been the core principle in managing business continuity and business operations whilst working remotely. This relates to supporting our employees physical and mental wellbeing whilst working remotely and continuing to live within the ever-changing pandemic and its related restrictions.



## Engagement and communication



## Developing the workforce

### Workforce strategy

The 10-year workforce strategy, 'A Healthier Wales: Our Workforce Strategy for Health and Social Care', was launched in October 2020.

This ambitious strategy is essential if we are going to address our current workforce challenges. Developed jointly by Health Education Improvement Wales (HEIW) and ourselves. This is based on extensive engagement and the strategy sets out the vision, ambition and approaches that put well-being at the heart of plans for the NHS and social care workforce in Wales. It reflects a core element of the Parliamentary Review and 'A Healthier Wales' 'Quadruple Aim' to deliver an inclusive, engaged, sustainable, flexible and responsive workforce to deliver excellent health and social care services.

In partnership with HEIW, we produced a 6 month workforce strategy winter plan that provided an immediate and continued response to the pandemic to support the sector in each of the seven key theme areas of the strategy.

**"If we deliver this Strategy, we will make a real and significant difference"**

**Vaughan Gething MS, Minister for Health and Social Services**

**"This is an ambitious strategy, but that is essential if we are going to address our current workforce challenges. We know that we need to spend more time developing sustainable solutions and building in flexibility and agility to respond to the needs of the people who use our services as well as the needs of the workforce."**

**Dr Chris Jones, Chair at HEIW**

## Qualifications

New qualifications for leaders and managers of health and social care and childcare services were launched from September 2020.

The qualifications cover a wide range of areas, including leading and managing health and social care and childcare services, professional practice and independent advocacy. Working with partners we have supported the implementation of new qualifications for the sector.

**“There has never been a more important time to invest in the development of leaders and managers of our front-line services. This new suite of qualifications provides an excellent opportunity for career progression.” Sue Evans, our Chief Executive**

## Support and promote the sector as a career

Throughout the year we have been utilising and building on the WeCare Wales brand to support attraction and recruitment to the sector during this time.

In May 2020 a TV advert created by the WeCare Wales campaign ran across ITV Wales, S4C and All4 featuring a Care workers’ poem about her job. To help bring the care workers words to life the advert also included a collection of home-footage taken from within care homes across Wales during lockdown. The clips show how care workers are going ‘above and beyond’ to ensure spirits are kept high and helping residents keep in touch with loved ones by using technology.

We developed a WeCare Wales job portal in response to the pandemic to enhance the ease with which employers can advertise their job vacancies and people can see the vacancies available within their area. This has been built on throughout the year, where we launched a job seekers platform that included an online values-based learning resource to help people find out whether a career in care would be right for them and allowed them to upload their CV and make direct contact with employers.

Early in 2021-22, we will be celebrating, through a TV advert, how the Early Years and Childcare workers and settings provide so many children across Wales with the best start in life.

## Developing a rapid recruitment and introduction to social care training for the sector in Wales

There are long standing concerns on the capacity of the social care sector in Wales, that have been amplified during Covid. In order to support services, during the pandemic and challenges of increased demand, coupled with staff absence and contact isolation, a rapid recruitment and introduction to social care was developed to support additional capacity into the sector. This approach is being piloted in four local authority areas. The work included developing a rapid recruitment and introduction to social care which:

- promoted rapid recruitment initiatives to drive interest in the sector
- enabled individuals to signal their interest in working in the sector
- developed an introduction to social care programme which facilitated the essential training required for individuals to undertake basic social care support roles
- delivered a 4 day introduction to social care programme
- worked with employers to identify the types of roles this workforce could support
- notified employers of individuals who are 'ready' for social care support roles
- establish an evaluation to learn lessons from the pilot.

## Investing in the workforce

We invested in supporting the social care workforce, so they have the right knowledge, skills, understanding and approach to provide good care and support.

This included £7,149,350, which was paid to local authorities through the Social Care Wales Workforce Development Grant (SCWWDP) and was match funded by £3,064,007 local authority funding.

The local authorities also invested additional funding to supplement the grant in supporting the development of the workforce.

In addition, £810,000 was provided in the form of a regional facilitation grant to help support engagement across the sector including registered managers and support the work of the WeCare Wales campaign.

We also developed an enhanced bursary offer for returning social work students, recognising the financial and operational challenges they have faced during the Covid emergency. Each returning student received an additional £500 in their first term bursary.



## Leading and supporting improvement

### Vulnerable Children

Through our membership of the Ministerial Advisory Group, we have provided support to the sector to develop a stronger focus on rights and responsibilities. We co-produced a conference to celebrate the residential childcare workforce, who are supporting many of our most vulnerable children.

### Dementia networks

From April 2020 we have been running all our networks virtually to support the skills and learning of the sector. As an example, the Dementia Learning Co-ordinator Network has 76 members from health, social care and independent providers. The network has actively shared resources throughout the pandemic. Webinars have been held throughout to look at how dementia training and learning can be taken forward during Covid and beyond. In terms of supporting the sector in embedding outcomes focused practice during this time we have been running on-line learning networks with mentors subgroup to reflect on practice opportunities and challenges during the last 6 months of embedding outcomes practice through the pandemic.

### National Management Development Framework

The past 12 months have seen continued success for our national management development framework. The framework sees the bringing together of both accredited and professional development opportunities for, in the main, social services departments and their managers across the 22 local authorities. Since the Team Manager Development Programme (TMDP) began, some 500 students have been supported by Social Care Wales and ADSS Cymru to undertake this training programme and cohort 31 started in September 2020.

### Research and Development

The ambition to embed evidence in both practice and policy in social care and social services in Wales is a key part of the Social Care Wales research and development strategy 2018-23, and one of three major domains in Welsh Government's Performance and Improvement Framework.

Our Strategy has guided our work and will be refreshed, in line with our new overall Strategic Plan for Social Care Wales.

During 2020-21, we have strengthened our partnership working, to improve our influence on research priorities and develop our data offer, which form part of our evidence offer for the sector.

We are working with Social Care Institute for Excellence (SCIE) on what good research and intelligence will be required by frontline practitioners and to identify whether and how these changes can be meaningfully embedded in the future design of care and support.

## Research prioritisation project

Ten research priorities into the care and support of those aged 65 and over in Wales have been developed by Health and Care Research Wales and Social Care Wales. The report, published in February 2021, sets out the research priorities and gives an update on the progress to date in getting research on them commissioned by funding bodies.

The project, run in association with the James Lind Alliance, developed the priorities by asking nearly 400 older people, carers and social care practitioners, "How can we best provide sustainable care and support to help older people live happier and more fulfilling lives?".

Members of the public and social care professionals were invited to take part in surveys and workshops to have their say on the priorities.

## Develop Covid research priorities

Covid has shone a light on the care sector and a need for change and investment. Identifying up-to-date and high-quality evidence is necessary to ensure that investment in new approaches in social work and social care practice is justified and prudent. There has also been much discussion of how the crisis has been accompanied by a shift in views, for example, on community support resilience, and social solidarity, which help communities provide effective support to each other, in line with the aspirations of the Social Services and Well-being (Wales) Act.

We are working with the Covid Evidence centre to inform their activities.

## A Statement of Strategic Intent on social care data

In March we launched a new vision to improve how social care data is used to benefit people needing care and support in Wales. The vision sets out how we will engage with people about using their data to benefit them and supports the ambitions set out in the Welsh Government's Digital Strategy for Wales.

This follows on from a discovery report published in partnership with Digital Health and Care Wales, and based on extensive engagement to outline how we can improve and develop the use of data in social care, so that the sector is supported to make more informed decisions.

**"We have the opportunity in front of us now to demonstrate what a data-rich nation can achieve for people who need care and support and for unpaid carers who need support. This Statement of Strategic Intent is the next step in realising this vision."**

**Julie Morgan MS, Deputy Minister for Health and Social Services**

## Accolades

In 2020 we held the Accolades awards ceremony virtually in November 2020 that was broadcast live on YouTube. The Accolades are awarded to teams, groups or organisations that have had a positive effect on people who receive care and support; support staff development; help improve services; meet people's equality, diversity and language needs. Winning an Accolade showcases social care and early years achievements and is an opportunity to share best practice with others across the sector. Fourteen projects and five care workers were chosen by our panel of judges as finalists for the 2020 Accolades. There were six categories and one winner in each category. You can watch the videos of all the inspiring finalists [online](#).

## Accountability report

### Corporate governance report

### Directors report

#### History and Statutory Background

The Care Council for Wales was renamed Social Care Wales in accordance with the Regulation and Inspection Act (Wales) 2016 and this Annual Report and Accounts will be the fourth prepared as Social Care Wales. Seventeen Annual Report and Accounts were previously prepared as the Care Council for Wales.

The Annual Report and Accounts has been prepared under Schedule 2, Part 6, Paragraph 16(1-3) of the Regulation and Inspection of Social Care Wales Act 2016; it is presented in a form directed by Welsh Ministers, with the approval of HM Treasury.

#### Chief Executive and Accounting Officer

The Chief Executive and Accounting Officer for the financial year was Sue Evans.

#### Social Care Wales Board Members

At 31 March 2021 there were fifteen members including the Chair who have been appointed by the Minister for Public Health and Social Services.

#### Members serving 1 April 2020 to 31 March 21

##### Members

Mick Giannasi - Chair (term ending 31 July 2023)  
 Abigail Harris (term ending 31 March 2025)  
 Carl Cooper (term ending 31 March 2025)  
 Damian Bridgeman (term ending 31 March 2024)  
 Donna Hutton (term ending 31 March 2024)  
 Emma Britton (term ending 31 March 2025)  
 Grace Quantock (term ending 31 March 2025)  
 Joanne Kember (term ending 31 March 2025)  
 Jane Moore (term ending 31 March 2024)  
 Kate Hawkins (term ending 31 March 2022)  
 Maria Battle (term ending 30 June 2023)  
 Peter Max (term ending 31 March 2024)  
 Rhian Watcyn Jones (term ending 31 March 2022)  
 Simon Burch (term ending 31 March 2024)  
 Trystan Pritchard (term ending 30 June 2023)

In addition, Daxia Varsani is an independent member of the Audit and Risk Committee and her term will end on the 30 April 2023.

A register of the declared interests of members is available on our website.

In line with best practice and guidance, Social Care Wales established an Audit and Risk Committee at its inception. Membership is drawn from Board Members plus a co-opted independent member. Meetings are attended by representatives of internal and external audit and Executive Management Team.

## Statement of the Responsibilities of Social Care Wales and the Chief Executive

Under Schedule 2, Part 6 Paragraph Section 16(1-2) of the Regulation and Inspection of Social Care (Wales) Act 2016 Social Care Wales is required to prepare a statement of account for each financial year in such a form and on the basis directed by Welsh Ministers with the approval of HM Treasury.

The accounts are prepared on an accruals basis and must give a true and fair view of Social Care Wales state of affairs at the period end, and of its income and expenditure and cash flows for the period.

In preparing the accounts, Social Care Wales is required to comply with the requirements of the Government Financial Reporting Manual, and in particular to:

- observe the accounts direction issued by Welsh Ministers, including the relevant accounting and disclosure requirements, and apply suitable accounting policies on a consistent basis
- make judgments and estimates on a reasonable basis
- state whether applicable accounting standards as set out in the Government Financial Reporting Manual have been followed, and disclose and explain any material departures in the financial statements and
- prepare financial statements on a going concern basis, unless it is inappropriate to assume Social Care Wales will continue in operation.

The Principal Accounting Officer for the Welsh Ministers has designated the Chief Executive as Accounting Officer for Social Care Wales. Her relevant responsibilities as Accounting Officer, including the propriety and regularity of the public finances for which the Accounting Officer is answerable and for keeping proper records and for safeguarding Social Care Wales assets, are set out in Managing Welsh Public Money.

I confirm that as far as I am aware there is no relevant audit information of which Social Care Wales auditors are unaware and that I have taken all steps to make myself aware of any relevant audit information and to establish that the auditors are aware of that information.

I confirm that the Annual Report and Accounts as a whole is fair, balanced and understandable and that I take personal responsibility for the annual report and accounts and for the judgements required for determining that they are fair, balanced and understandable.

**Sue Evans**

Chief Executive and Accounting Officer

Date: 21 July 2021

## Governance statement

This statement sets out the control structure of Social Care Wales and provides an account of corporate governance and risk management, alongside a description of the strategic risks.

This governance statement sets out:

- the basis by which we were established
- the way in which we are governed and managed
- how as the Accounting Officer, I am accountable for what I do.

## Our organisation

We are a Welsh Government Sponsored Body (WGSB). This means we receive funding from Welsh Government to complete specific priorities, which are set out on an annual basis in a remit letter.

We were set up under the Regulation and Inspection of Social Care (Wales) Act 2016 in April 2017 “to continue the work previously undertaken by Care Council for Wales regulating and developing the social care workforce, while also taking on a new responsibility to lead and support improvement across the sector. This involves a range of activities from presenting data and evidence, advising on priorities for social care research and showcasing best practice.”

It is important to note that this governance statement is written in the context of the Covid pandemic. Our business plan 2020-21 activities were fully focused on supporting the social care and early years during this unprecedented time to make sure we make a positive and lasting contribution to the quality of services in Wales. The impact of Covid required us to re-think our approach for 2020-21 so that our focus was on:

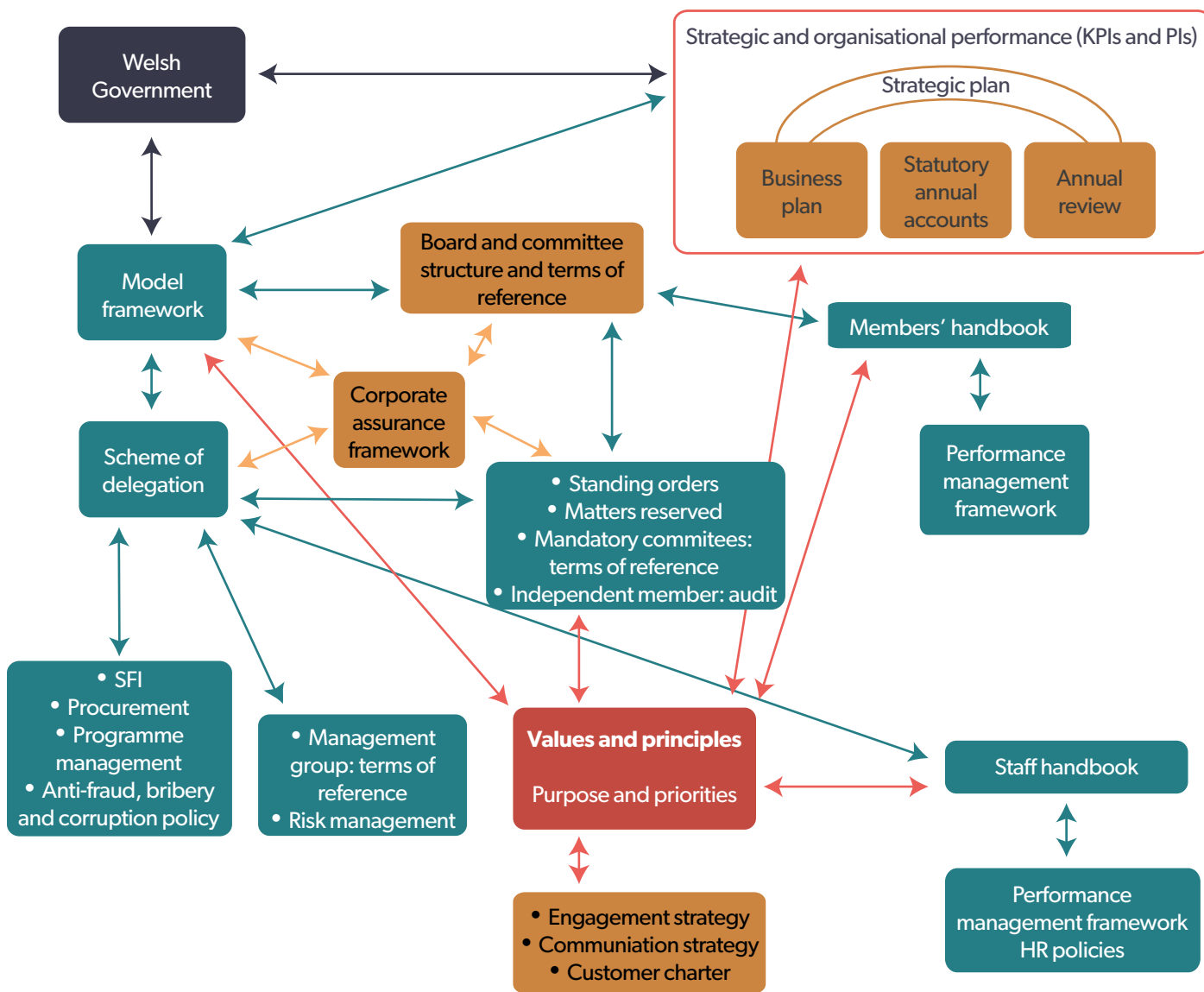
- delivering our core and statutory functions: adapted as required in light of Covid, including changes to our regulatory system so that it was appropriate for the sector during the emergency.
- Covid rapid response initiatives: the things we are doing as an immediate response to the sectors needs now
- supporting recovery and sustainability following Covid: supporting the sector and our organisation to be equipped for sustainable recovery.

Covid also impacted on the way in which we operated as a business during the year with all staff working remotely. Our annual business plan sets out in more detail the activities we identified to support the sector and our organisation during 2020-21, in light of Covid. Our performance was monitored and scrutinised by our Board and Welsh Government throughout the year on a quarterly basis.

## Our governance and accountability structure

In accordance with the 'International Framework: Good governance in the public sector' governance 'comprises the arrangements<sup>1</sup> put in place to ensure that the intended outcomes for stakeholders are defined and achieved'.

We have a governance framework which supports how we work. This is illustrated in the diagram below – our governance framework:



**Agreements:** data sharing protocols, memorandum of understanding

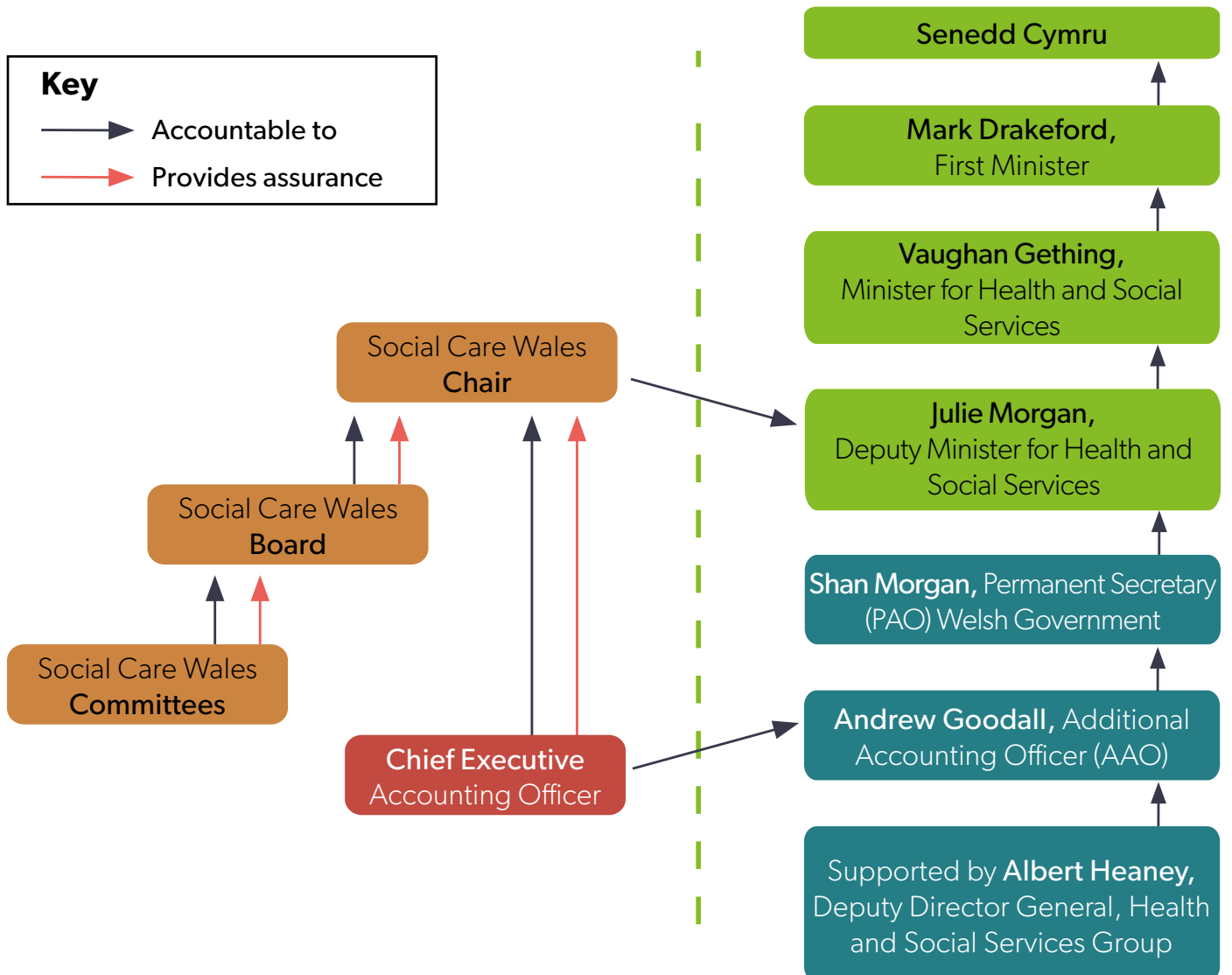
**Regulations/Legislation:** health and safety; equality; Welsh language; Freedom of Information; Data Protection Act; publication scheme

<sup>1</sup> Includes political, economic, social, environmental, legal, and administrative structures and processes, and other arrangements, as encapsulated in the principles define.



## Accountability

As a WGSB, we are accountable to the taxpayer and must make sure our work achieves value for money. Below, we have mapped out the accountability structure as at March 2021 of our Board and for me as Chief Executive in my role as accounting officer.



During the year, these are the steps we took to ensure our accountability:

- Our Executive Management Team met with representatives from our sponsorship division at Welsh Government every three months to go through our business plan performance and our budget spend to date.
- Regular meetings were held with our Chair and the Director of Social Services and Integration.
- The Chair and I attended our annual meeting with the Deputy Minister for Health and Social Services in October 2020.
- Our Board had its annual meeting with the Deputy Minister for Health and Social Services in October 2020.

## Our Board and Committees

Our Chair and 14 Board members are responsible for providing us with leadership and direction. They work closely with the Executive Management Team to set our strategic and business plans, allocate our resources, and monitor our performance. Our work is scrutinised, steered, and approved by the Board and its sub-committees.

Due to Covid all Board and Committee meetings during 2020-21 were able to be held successfully virtually.

This diagram illustrates our Board and Committee structure as of 31 March 2021:

### Board

- Makes decisions on those matters reserved for the Board
- Provides leadership and direction by setting our strategic and business plan
- Scrutinises resources and performance – through regular business plan performance reports
- Sets the strategic direction of the organisation
- HR governance, policy, and employee engagement data by scrutinising our performance
- Demonstrates high standards of corporate governance – agreeing Board and committee terms of reference
- Received messages and advice from the Executive Management Team

### Audit and Risk Committee

#### Advises the Board on:

- the effectiveness of risk management, internal control and governance
- the integrity of the Annual Report and Accounts
- the adequacy of the response to issues that have been identified at audit assurances relating to the corporate governance requirements for the Board
- appointing internal audit provision and reviewing their effectiveness on an annual basis

### Improvement Committee

#### Advises the Board on:

- strategies and policies relating to principles for investment, improvement and national learning and development programmes
- the quality assurance of the research, development, and improvement programmes
- the implementation of the Regulation and Inspection of Social Care (Wales) Act 2016 and the Social Services and Well-being (Wales) Act 2014

### Regulation and Standards Committee

#### Advises the Board on:

- strategies and policies in relation to the registration of social care workers and fitness to practise matters
- the quality assurance of the regulation of training programme and receive regular reports on regulation matters
- the implications of developments in the field of regulation and how these may affect the Board's responsibilities
- the implementation of the Regulation and Inspection of Social Care (Wales) Act 2016

### Remuneration and Well-being Committee

#### Advises the Board on:

- matters relating to the review of the pay of the Executive Management Team, and consider the staff annual payment recommendations in line with our policy

## Opportunities to strengthen corporate governance

As an organisation that continuously wants to learn and improve the Board considered a range of opportunities to build upon the current corporate governance arrangements during 2020-21.

In July 2020 the Board agreed on opportunities to build and improve on our governance arrangements and the timelines for doing them. The following proposals have been progressed during 2020-21:

- rolling action logs used at all Board and Committee meetings
- creation of a Chairs Coordinating Group
- Chairs Action Process developed and to be used as and required
- expansion of Committee membership
- Remuneration Committee becoming an ad-hoc Committee with revised terms of reference
- new approach to Board members performance appraisal development record (PADR)
- initial discussions on the development of a board assurance framework.

## Board development and engagement

Board members continued their learning and development during the year with a series of seminars all held virtually. The topics of these seminars were:

- development of a stakeholder briefing outlining the key issues for social care and early years in Wales
- review and development of a new strategic plan; budgeting for the strategic plan with Grant Thornton as critical friends; review of the feedback from the consultation on the strategic plan
- a review of our approach to risk management
- updates on our approach to supporting our staff during the pandemic
- updates on our work in supporting the sector through the pandemic
- financial awareness training
- a session on board assurance frameworks from Audit Wales
- discussions on Welsh Government consultation on rebalancing social care.

## Board and Committee effectiveness

As a learning organisation, we regularly reflect on the effectiveness of our policies, processes, and meetings. During March 2021, the Board were asked to complete a wide-ranging questionnaire to inform actions for continuous improvement.

The survey questions related to:

- objectives, strategy, and remit
- relationships with key stakeholders
- performance and risk management
- the Boardroom
- suggestions for improving Board effectiveness.

The response rate to this survey was 73%, overall, the results were positive with the majority of responses either agree or strongly agree to the questions asked. The results were discussed at the April 2021 Board meeting to inform any improvements required going forward.

A similar questionnaire was also sent to Committee members to reflect on their effectiveness during January 2021, all Committee members were asked to complete a wide-ranging questionnaire to inform actions for continuous improvement.

The survey questions related to:

- membership, independence, objectivity and understanding
- skills
- the role and scope of the Committee
- communication and reporting
- meeting effectiveness.

The response rate to the survey for each committee ranged between 50 per cent and 90 per cent. The results were collated and presented to the Committees for discussion in their spring meetings and inform our development plan for the next financial year.

Meeting effectiveness also appears as a standing item on agendas for every Board and Committee meeting, and the chairs of each Committee and Board Secretary ask members for feedback during and after each meeting.

### **Members' attendance at Board and Committees**

Board members are paid the equivalent of two days' work a month. In addition to our 15 publicly appointed members we have several people who are co-opted onto our Committees:

- Daxa Varsani is an independent co-opted member, without voting rights, with a professional financial qualification and background who supports the Audit and Risk Committee
- there is also a representative from Care Inspectorate Wales who sits on the Regulation and Standards Committee as a co-opted member.
- the Improvement Committee has two co-opted members, a representative from ADSS Cymru and Fiona Verity, Professor of Social Work and Social Care at Swansea University who brings a background in research to support the Improvement Committee.

The Standing Orders for the Board set out the expected attendance level for Board members at meetings at 60 per cent. This table shows members' attendance at Board and Committee meetings during 2020-21.

To assist members in making effective decisions, papers for every Board and Committee meeting are posted onto a digital portal, with a wide range of supporting technical documents.

| Name                         | Committee membership  | Attendance at Board meetings (out of 5) | Attendance at Board development sessions (out of 8) | Attendance at Committee meetings | Overall meeting attendance (inc. Committees) | Term of appointment ends |
|------------------------------|---|---|---|----------------------------------|--|--------------------------|
| Mick Giannasi (Chair)        |   | 5                                       | 8   |                                  | 13/13<br><b>100%</b>                         | 31.07.23                 |
| Abigail Harris               | Improvement, Audit & Risk   | 4                                       | 5   | 6/7                              | 15 / 20<br><b>75%</b>                        | 31.03.25                 |
| Daxa Varsani                 | Audit and Risk  | n/a                                     | n/a   | 4/4                              |  | 30.04.23                 |
| Carl Cooper                  | Audit and Risk; Improvement;                                      | 5                                       | 7   | 9/9                              | 21 / 22<br><b>95%</b>                        | 31.03.25                 |
| Damian Bridgeman             | Improvement (Deputy Chair), Audit & Risk                          | 5                                       | 7   | 6/7                              | 18 / 20<br><b>90%</b>                        | 31.03.24                 |
| Donna Hutton                 | Regulation and Standards; Remuneration and Wellbeing; Improvement | 4                                       | 6   | 6/9                              | 16 / 22<br><b>73%</b>                        | 31.03.24                 |
| Emma Britton                 | Audit and Risk (Deputy Chair); Regulations and Standards          | 5                                       | 4   | 7/7                              | 16 / 20<br><b>80%</b>                        | 31.03.25                 |
| Grace Quantock               | Regulation and Standards (Deputy Chair); Audit and Risk           | 5                                       | 5   | 6/7                              | 16 / 20<br><b>80%</b>                        | 31.03.25                 |
| Jane Moore                   | Improvement; Remuneration and Wellbeing; Regulation and Standards | 5                                       | 8   | 9/9                              | 22 / 22<br><b>100%</b>                       | 31.03.24                 |
| Joanne Kember (Deputy Chair) | Regulation and Standards; Remuneration and Wellbeing; Improvement | 5                                       | 8   | 9/9                              | 22 / 22<br><b>100%</b>                       | 31.03.25                 |
| Kate Hawkins                 | Audit and Risk; Regulation and Standards                          | 5                                       | 7   | 7/7                              | 19 / 20<br><b>95%</b>                        | 31.03.22                 |
| Maria Battle                 | Remuneration and Wellbeing; Improvement                           | 3                                       | 5   | 2/5                              | 10 / 18<br><b>56%</b>                        | 30.06.23                 |
| Peter Max                    | Improvement (Chair); Audit and Risk                               | 5                                       | 7   | 7/7                              | 19 / 20<br><b>95%</b>                        | 31.03.24                 |

| Name               | Committee membership                     | Attendance at Board meetings (out of 5) | Attendance at Board development sessions (out of 8) | Attendance at Committee meetings | Overall meeting attendance (inc. Committees) | Term of appointment ends |
|--------------------|--|---|---|----------------------------------|--|--------------------------|
| Rhian Watcyn Jones | Audit and Risk (Chair)                   | 5                                       | 7   | 4/4                              | 16 / 17<br><b>94%</b>                        | 31.03.22                 |
| Simon Burch        | Regulation and Standards (Chair)         | 5                                       | 8   | 4/4                              | 17 / 17<br><b>100%</b>                       | 31.03.24                 |
| Trystan Pritchard  | Audit and Risk; Regulation and Standards | 5                                       | 7   | 7/7                              | 19 / 20<br><b>95%</b>                        | 30.06.23                 |

## Effectiveness of our governance framework

Covid has had a major impact on the social care and early years sector. It also had a major impact on all our functions. From moving all our staff to home working whilst also maintaining strong governance and control. Our response to Covid aims to recognise the agility and pace at which the response is needed whilst it is important that the Board receive assurances that there are proportionate safeguards in place to ensure there is regularity, propriety, feasibility and value for money in the use of public funds.

The Board received papers in April 2020 and January 2021 reporting on our response to Covid. This included our Covid decision register; our Covid strategic risk register; our response to support the sector during Covid; and actions taken to support the health and wellbeing of our workforce during Covid.

During Covid I have held fortnightly staff briefings to share decisions made by the Board and Executive team, to update on our performance and to provide an opportunity for questions from staff members. I have also met with the Board members on a frequent basis to keep them informed of activities of the organisation in responding to the pandemic.

We have been capturing our learning from working in Covid from the start. We have been sharing our learning with other public bodies and also learning from other organisations on good practice.

Throughout the year I receive assurance that our business and strategic objectives are being met via internal management meetings, budget and performance reports, and project updates. I operate a 'virtual open door policy' where any member of staff can contact me with any matter that may concern them. I also promote the Staff Partnership Council and Staff Forum as a way of making sure we clearly engage with staff about our priorities across the organisation.

We use a scheme of delegation and financial instructions to carry out our work to make sure our decision making is appropriate and proportionate to the level of risk associated with it.

We also maintain and review registers of interest for employees and Board members to identify any potential or perceived conflict with our decision-making processes, so we can take steps to mitigate them.

## Internal audit

The Internal audit plan has been based on a risk-based approach and was agreed by the Audit and Risk Committee. Our internal auditors submit regular reports about the adequacy and effectiveness of our systems (financial, corporate and workforce regulation) of internal control, together with recommendations for improvement.

During 2020-21, 10 internal audits were carried out on our policies and procedures for:

| Work area  | Level of assurance                          |
|--|---|
| Financial systems: <ul style="list-style-type: none"> <li>• Purchasing and payments</li> <li>• General ledger</li> </ul> | Moderate assurance<br>Substantial assurance |
| Grant management   | Substantial assurance                       |
| Corporate Governance   | Substantial assurance                       |
| Risk management  | Moderate assurance                          |
| HR   | Moderate assurance                          |
| Welsh language standards   | Moderate assurance                          |
| Apprenticeship certification   | Substantial assurance                       |
| Workforce Regulation (remote hearings)   | Moderate assurance                          |
| Workforce Regulation – Applications for registration   | Substantial assurance                       |

### Definitions of assurance level

**Substantial:** There is a reasonable framework of governance, risk management and control, which should make sure that objectives are achieved

**Moderate:** Some improvements are required to enhance the adequacy and effectiveness of the framework of governance, risk management and control

The Head of Internal Audit, based on the audit work carried out during the year, concluded we had a sound system of internal control, which should provide substantial assurance that will be able to achieve our objectives.

## External audit

We receive an Audit of Financial Statements Report and Management letter, which reports on issues that are picked up during the audit of our financial statements.

## Risk management

Our positive approach to risk management means we not only look at the risk of things going wrong, but the impact of not taking opportunities or not capitalising on corporate strengths.

Our strategic risk register is reviewed every month by our Executive Management Team and is subsequently scrutinised by the Audit and Risk Committee. The Board also reflected on our Risk Management Policy during a Board development session in January 2021 with a revised Risk Management Policy being developed for Board approval during 2021-22.

As part of our response to Covid we developed a specific risk register that reflects the risks specifically associated to the pandemic and our initial response in supporting the social care and early years sector in responding to Covid. Audit and Risk Committee reviewed the Covid risk register at its meeting in June 2020. Following the June Committee meeting a number of those risks have been moved over to Strategic Risk Register as we recognise that we are now living with Covid.

Our main strategic risks during 2020-21:

| Risk title  | Inherent | March 2021 |
|---|----------|------------|
| <p>If we do not continue to keep the sector engaged in the work of Social Care Wales then we start to lose credibility and not deliver our overall ambition, as we cannot achieve this in isolation.</p> <p>The sector is not engaged in our role and remit.</p> <p><b>Update:</b> Many planned activities have been postponed, as the sector has been unable to contribute, due to operational pressures arising from Covid. These activities have been carried forward into our business plan for 2021-22</p> | Medium   | Medium     |
| <p>If we do not demonstrate how we are contributing to making a positive difference to the care sector, then we will lose credibility.</p> <p>We are unable to manage the expectations of the sector, stakeholders (including Welsh Government) and the public.</p> <p><b>Update:</b> We are currently reviewing our strategic plan, following a consultation on our future priorities in late 2020. Feedback is informing a new strategic plan, to be implemented from April 2022.</p>                         | Medium   | Low        |



| Risk title   | Inherent | March 2021 |
|--|----------|------------|
| <p>If Welsh Government remove, or significantly reduce the funding for Level 2 apprenticeships, then it will reduce the amount of funding to support the achievement of qualifications in the sector. This will have an impact on the ability to provide learning and increase qualification levels of the workforce.</p> <p>Welsh Government currently provides public funding for Level 2 qualifications via apprenticeships, the policy is still to remove this, but our ongoing discussions have brought some reassurance that it will remain, until the next Senedd elections in 2021. The social care and early years workforce have had a high uptake of apprenticeships in Wales, with about 2500 learners completing at Level 2 in 2017-18.</p> <p>As part of the registration of the domiciliary care workforce individuals will need to have a Level 2 qualification at the point of re-registration, but public funding to support this achievement may be more difficult to access.</p> <p>The increased size and therefore costs of the new level 2 qualifications launched in September 2019 could add to this risk as there is the same amount of money spread more thinly.</p> <p><b>Update:</b> We continue to work with Welsh Government colleagues to secure sustainable funding for social care apprenticeships</p> | High     | Medium     |
| <p>If the qualifications are not fit for purpose, then they will not meet the requirements for high quality care and support in the social care and early years sector.</p> <p>The programme of work in relation to developing the new qualifications is complex and significant with a number of risks associated to the successful delivery of the work.</p> <p><b>Update:</b> There have been further implementation challenges for placements and assessments, as a direct impact of Covid.</p>  | Medium   | Medium     |
| <p>If we don't have on-going confirmation of existing budget allocations to meet what is expected from the current and future Government term of office work programme then we will not be able to deliver our remit in future including statutory responsibilities and areas of Government priorities (such as the workforce strategy, workforce wellbeing, balancing rights and responsibilities and the data strategy).</p> <p><b>Update:</b> We have been working with our Welsh Government sponsor team on our future financial scenarios, following an independent assessment of our strategic plan and required resource levels.</p>  | High     | High       |
| <p>If we don't manage competing Welsh Government priorities and ensure that any new work is within our scope and purpose then we could result in over committing our resources to deliver, extend our remit beyond our scope and lose our identity and unique purpose.</p> <p><b>Update:</b> We revised our priorities to better support the sector during Covid, in agreement with Welsh Government.</p>  | High     | Medium     |

| Risk title  | Inherent | March 2021 |
|---|----------|------------|
| <p>If we don't refresh and reform our regulatory processes, then the additional resources required will undermine our organisational stability and undermine work across our objectives, as well as missing the opportunity to link regulation with improvement more closely. If our changes are not supported by the sector and Welsh Government policy, we could struggle to deliver effective change and destabilise the sector.</p> <p><b>Update:</b> We have commissioned independent expertise to critically review our regulatory processes, to inform continuous improvement. Recommendations from this work will be implemented as part of our business in 2021-22</p>   | High     | Medium     |
| <p>If we don't remain engaged with 'A Healthier Wales' and maintain key relationships with Welsh Government and critical stakeholders (HEIW, PHW etc) then this could impact on key deliverable priorities resulting in social care not being rebalanced within the ambition of 'A Healthier Wales' and lose confidence if we do not deliver against expectations.</p> <p><b>Update:</b> The Joint Workforce Strategy was launched by Ministers in October 2020, with a winter implementation plan agreed in December 2020.</p>   | High     | Medium     |
| <p>If we are unable to reappoint our Board members who also served as Care Council Members then we will lose 3 key, experienced and knowledgeable Members from April 2021. We will not be able to fill these vacancies in a timely manner. We will have a gap at a time when we require stability, continuity and strong leadership at Board level to support the social care and early years sector responding to the Covid pandemic.</p> <p>Due to the change of advice on Council members terms of appointment and their length of service not being re-set as new Social Care Wales Board members there is a possibility that 3 of our 15 Board Members terms could be ending on the 31 March 2021.</p> <p><b>Update:</b> 12 Board members have been reappointed on a staggered 1, 3 and 5 year terms.</p>  | Medium   | Medium     |
| <p>If we are not clear on the implications of the end of the transition period on exiting the EU (Brexit) for the social care and early years sector, then we will not be in a position to provide additional support and clear guidance to the sector during this period.</p> <p>With the changes to the migration rules, supply chains of equipment to the sector and data sharing regulations across the UK and EU (and the US) then there may be direct and indirect implications for the sector in relation to recruitment, equipment and supplies.</p> <p><b>Update:</b> We remain linked into Welsh Government advisors to monitor and understand consequences for Wales. We are actively promoting the EU Settled Status Scheme to care providers in Wales. We are confident that our regulatory processes have not been affected in any significant way.</p> | Medium   | Medium     |

| Risk title  | Inherent | March 2021 |
|---|----------|------------|
| <p>If we do not respond accordingly to the Covid pandemic, then we will not be supporting the social care sector in helping them deliver front line care and support during the pandemic.</p> <p><b>Update:</b> We revised our business plan to respond directly to the needs of the sector, with board approval secured for an agile approach to delivery.</p>   | Medium   | Medium     |
| <p>If we do not demonstrate how we are supporting the health and wellbeing of the social care and early years, then there will be an impact on the sustainability of the workforce.</p> <p><b>Update:</b> We established a Health and Wellbeing network and have commissioned an Employee Assistance Scheme.</p>  | Medium   | Medium     |
| <p>If we don't support our own workforce (Social Care Wales) during this time, then we will not be an effective and efficient organisation where staff health and wellbeing is at the centre of how we work.</p> <p><b>Update:</b> We established a Business Continuity Group to help people work remotely at home, using virtual technologies. We developed a Health and Well-being group with additional resources to support people.</p>   | Medium   | Medium     |
| <p>Working remotely has increased the risk of cyber fraud, hacking and scamming. Therefore, putting vulnerabilities within our IT network and opportunities for fraud.</p> <p><b>Update:</b> Government advice and training to reduce cyber fraud has been implemented. IT systems have been strengthened.</p>  | Medium   | Medium     |
| <p>Welsh Government may delay the extension of the register, which would impact on the income received during 2021-22.</p> <p><b>Update:</b> We are in regular dialogue with officials to understand the Ministers' intentions. We anticipate a view from the Government before the pre-election period.</p> <p>We are considering the impact on our business planning assumptions and will work with officials to agree any changes to delivery, once we know the remit letter and budget commitments.</p> | High     | High       |

We measure our operational risks in line with the recommendations of HM Treasury's Orange Book. Our senior management reviews the register of these risks every month.

## Information governance and security

As a data controller registered with the Information Commissioner's Office (ICO), we ensure we have information governance controls in place to keep the data we collect and process secure and in line with current data protection legislation and are open and transparent with our decision making.

During 2020-21:

- We recorded 23 data incidents: 3 were errors by a third party, 5 were software or server issues, 2 were spam or cyber-attacks and the remaining 13 had a root cause as either human error or a staff training and awareness issue. Looking ahead, we will analyse the 'human error' element further and determine whether there were any additional factors we should be aware of as an organisation, for example working remotely or increased workload.
- We made the ICO aware of 5 of the above incidents, but while no further action was required by the ICO, we made recommendations for improvement in practice to reduce the likelihood of a similar incident reoccurring.
- We responded to 13 requests under the Freedom of Information Act, all responded to within 20 working days. This was a minor increase on last year (11 requests).
- We received 8 Subject Access Requests under the Data Protection Act (DPA) 2018, all fulfilled within the 30-day period which was an increase of 3 from the previous year.
- Following last year's data protection gap analysis review, we embedded a number of processes to support our information governance framework and DPA compliance including completing Data Protection Impact Assessments as part of our project management and procurement procedures to ensure our services are designed with data security in mind. We also undertook a data mapping exercise and regularly updated our privacy notices to ensure we are transparent with our customers on what data we process and why.
- In January 2021 our 3 year audit on our ISO 27001 certification was carried out in Cardiff with 5 major and 5 minor non-conformities. Following this audit we addressed the non-conformities identified. Since then we have put in place additional and clear assurance channels within the organisation – from information on the certification being scrutinised at Audit and Risk Committee to an internal governance group embedding ownership on information governance and security across the organisation - to continue to strengthen our information governance approach and certification for the standard.

## Customer service

We aim to provide our customers with the best experience possible, but we are aware we can always learn from feedback. During 2020-21 we received 5 formal complaints under our complaints policy. Of these, two stemmed from frustration with legislative or national policy decisions, two were attributed to staff not following correct procedures and were addressed and one was an error by the complainant. In all cases the complaints highlighted opportunities for us as an organisation to test our decision making involvement, our administration procedures and communication methods to learn from and improve the services we provide.

We also made use of 'quick-resolution' complaints data, such as feedback on the SCWonline portal and

our fitness to practise referrals, in our project scoping for enhancing our digital services and reviewing our Fitness to Practise procedures.

## Whistleblowing

### Internal

All Social Care Wales staff are encouraged to raise issues of concern about wrongdoing that come to their attention while at work. I regard the internal identification of wrongdoing as an important contribution to managing corporate risk and ensuring good governance.

We have established internal whistleblowing policy and procedures which reflects the provisions of the Public Interest Disclosure Act 1998 and sets out a mechanism for staff for raising such matters.

In 2020-21 no staff raised a concern under our Whistleblowing Policy as was the case in 2019-20.

### External

We are listed under The Prescribed Persons Order 2014 as a designated organisation that any worker in the social care sector can approach to report suspected or known wrongdoing. This is also known as 'whistleblowing' or making a disclosure.

As a prescribed person, we have several duties, which are set out in guidance from the Department of Business, Energy and Industrial Strategy (BEIS), one of which is to annually report on the number of whistleblowing disclosures we receive.

For each referral received we consider the information received and in the cases of the 4 received during the year 3 did not comply with the definition of whistleblowing under the regulations, 1 complaint is ongoing and falls within the category of whistleblowing. However, if we do not have enough information to open a case, and if the individual agrees to it, we share any relevant evidence with other agencies and log any actions taken. The information remains in our case management system and if more evidence becomes available later, the Fitness to Practise team will make an assessment about opening a case.

### Sue Evans

Chief Executive and Accounting Officer

Date: 21 July 2021

# Remuneration and staff report

## Remuneration report

### Pay policy statement

This is Social Care Wales's pay policy statement for the period 1 April 2020 to 31 March 2021.

This pay policy statement provides the framework for decision making on pay and decision making on senior pay.

### Chief Executive Officer

The Chief Executive Officer and Accounting Officer for Social Care Wales is Sue Evans and was in receipt of a salary of £118,478 per annum in 2020-21. The gross salary cost of the Chief Executive in the period 2020-21 was £168,685 which includes Employers National Insurance and Employers Pension costs.

### The Board

The Board comprises of 15 Board Members led by a lay Chair Mick Giannasi. All have been appointed by the Minister, through the Public Appointments process. The remuneration of the Board members is non-pensionable and is determined by Welsh Government. For enhanced transparency, the remuneration of the Chair of Social Care Wales is disclosed in this report. Board members are remunerated £282 per day and committed to two days a month.

### Social Care Wales staff

All members of staff are employed by Social Care Wales on such terms and conditions as the Board determines. Remuneration of all members of staff are in line with the organisations scheme for staff pay and grading arrangements that was approved by the Welsh Government in 2004 and applies equally to all staff members.

These arrangements include a salary scale with incremental salary progression during the early years of employment, and a non-consolidated award based on organisational performance. Payment of the Corporate Performance Award was suspended in 2010-11 and consequently no bonuses have been paid since 2009-10.

The pay award is subject to discussion with Staff Council and approval by the Social Care Wales Remuneration Committee and the Welsh Government annually. When determining pay strategies, the Board considers the:

- need to recruit, retain and motivate suitably able, qualified and high-calibre people
- overall affordability
- pay practices in the wider public sector and comparator organisations
- relevant legal obligations including equality and anti-discrimination requirements.

The following sections in the Remuneration and Staff Report are subject to audit.

## Senior pay remuneration

| Officials  | Salary (£'000)* |         | Pension benefits (£) |         | Total (£'000) |         |
|--|-----------------|---------|----------------------|---------|---------------|---------|
|  | 2020-21         | 2019-20 | 2020-21              | 2019-20 | 2020-21       | 2019-20 |
| <b>Chair</b><br>Arwel Ellis-Owen<br>(to 31 July 2019)  | N/A             | 10-15   | N/A                  | N/A     | N/A           | 10-15   |
| <b>Chair</b><br>Mick Giannasi<br>(from 1 August 2019)  | 30-35           | 20-25   | N/A                  | N/A     | 30-35         | 20-25   |
| <b>Chief Executive</b><br>Sue Evans  | 115-120         | 115-120 | 36,900               | 32,500  | 155-160       | 145-150 |
| <b>Director of Corporate Services &amp; Strategy</b><br>Joanne Oak<br>(to 1 May 2020)                  | 5-10            | 75-80   | (1,400)              | 22,600  | 5-10          | 95-100  |
| <b>Director of Finance, Strategy and Corporate Services</b><br>Andrew Lycett<br>(from 2 November 2020) | 25-30           | N/A     | 9,400                | N/A     | 35-40         | N/A     |
| <b>Director of Improvement and Development</b><br>Sarah McCarty  | 75-80           | 75-80   | 26,300               | 21,100  | 100-105       | 95-100  |

\*Included in salary where applicable are any taxable travel and subsistence allowances in accordance with our travel and subsistence scheme.

\*\* Not included in the table above is the senior pay remuneration of the Director of Regulation as he is seconded into the post

The senior pay remuneration of David Pritchard the Director of Regulation is not disclosed above as he is seconded into the post from Welsh Government. The total charge from Welsh Government was £126,030 (2019:2020 £116,475 for the period 29 April 2019 to 31 March 2020) which included Employers National Insurance, Employers Pension and unrecoverable VAT. The pay scales of Social Care Wales are applicable to the seconded Director of Regulation and his salary is in the pay band of £75,000-£80,000(2019:20 £75,000- £80,000)

The amount of pension benefits for the year which contributes to the single total figure is calculated in a similar way to the method used to derive pension values for tax purposes and is based in information received from our actuaries.

The value of pension benefits accrued during the year is calculated as (the real increase in pension multiplied by 20) plus (the real increase in any lump sum) less (the contributions made by the individual). The real increases exclude increases due to inflation or any increase or decreases due to a transfer of pension rights.

This is not an amount which has been paid to an individual by Social Care Wales during the year; it is a calculation which uses information from the pension benefit table. These figures can be influenced



by many factors e.g. changes in a person's salary, whether or not they choose to make additional contributions to the pension scheme from their pay and other valuation factors affecting the pension scheme as a whole.

Salaries consist of gross pay and pay awards agreed by the Welsh Government.

No members of staff responsible for decision making received benefits in kind from Social Care Wales, and a scheme for the provision of motor vehicles to staff or members is not operated.

| <b>Pension entitlements of Directors</b>  | <b>Total accrued pension at 31 March 2021</b> | <b>Real increase in pension at 31 March 2021</b> | <b>Total accrued lump sum at 31 March 2021</b> | <b>Real increase/ (decrease) in lump sum at 31 March 2021</b> | <b>CETV at 31 March 2021</b> | <b>CETV at 31 March 2020</b> | <b>Real increase/ decrease in CETV in 2020-21</b> |
|---|---|--|--|---|------------------------------|------------------------------|---|
|   | <b>£'000</b>                                  | <b>£'000</b>                                     | <b>£'000</b>                                   | <b>£'000</b>  | <b>£'000</b>                 | <b>£'000</b>                 | <b>£'000</b>                                      |
| <b>Chair</b><br>Mick Giannasi   | N/A   | N/A  | N/A  | N/A   | N/A                          | N/A                          | N/A   |
| <b>Chief Executive</b><br>Sue Evans   | 20-25   | 2.5-5.0  | -  | -   | 437                          | 378                          | 58  |
| <b>Director of Corporate Services and Strategy</b><br>Joanne Oak<br>(to 1 May 2020)                 | 15-20   | 0-2.5  | -  | -   | 206                          | 199                          | 6   |
| <b>Director of Finance, Strategy and Corporate Services</b><br>Andrew Lycett (from 2 November 2020) | 0-5   | 0-2.5  | -  | -   | 8                            | N/A                          | 8   |
| <b>Director of Improvement and Development</b><br>Sarah McCarty                                     | 20-25   | 0-2.5  | 15-20  | 0-2.5   | 259                          | 234                          | 24  |

\* The pension entitlements of the existing Director of Regulation is not included as he is seconded into his post.

The Chief Executive is an ordinary member of the Social Care Wales pension scheme. The Chair does not participate in the pension scheme.

The Cash Equivalent Transfer Value is the actuarially assessed capitalised value of the pension scheme benefits accrued by a member at a particular point in time. The benefits valued are the member's accrued benefits and any contingent spouse's pension payable from the scheme. It is a payment made by a pension scheme, or arrangement to secure pension benefits in another pension scheme, or arrangement when a member leaves a scheme and chooses to transfer the pension benefits they have accrued in their former scheme.

The pension figures shown related to the benefits that the individual has accrued as a consequence of their total membership of the scheme, not just their service in a senior capacity to which disclosure



applies. The CETV figures and other pension details include the value of any pension in another scheme or arrangement which the individual has transferred. They also include any additional pension benefit accrued to the member as a result of their purchasing additional years at their own cost. CETVs are calculated within the guidelines and framework prescribed by the Institute and Faculty of Actuaries.

The real increase in the value of the CETV reflects the increase in CETV effectively funded by the employer. It takes account of the increase in accrued pension due to inflation, contributions paid by the employee, including the value of any benefits transferred from another pension scheme or arrangement, and uses common market valuation factors from the start and end of the period.

### Fair Pay disclosure

| Median remuneration                         | 2020-21          | 2019-20          |
|---|------------------|------------------|
| Highest earner's total remuneration (£'000) | 115-120          | 115-120          |
| Median total remuneration                   | £34,555          | £31,562          |
| Ratio                                       | 3.4              | 3.7              |
| Range of total remuneration                 | £20,780-£118,478 | £20,272-£115,143 |

Reporting bodies are required to disclose the relationship between the remuneration of the highest-paid director in their organisation and the median remuneration of the organisation's workforce.

The banded remuneration of the highest paid director in Social Care Wales in the financial year 2020-21 was £115,000-£120,000 (2019-20: £115,000-£120,000). This was 3.4 times (2019-20: 3.7 times) the median remuneration of the workforce, which was £34,551 (2019-20: £31,562).

Total remuneration is the salary cost only and does not include employer pension contributions and the cash equivalent transfer value of pensions.

Remuneration ranged from £20,780 to £118,478 (2019-20: £20,727 to £115,143).

## Staff report

| Staff costs                                       | 2020-21      |                          |                               |                         |               | 2019-20      |
|---|--------------|--------------------------|-------------------------------|-------------------------|---------------|--------------|
|   | Total costs  | Permanent employed staff | Temporary staff and secondees | Chair and Board members | Panel members | Total costs  |
|   | £'000        | £'000                    | £'000                         | £'000                   | £'000         | £'000        |
| Salaries and wages                                | 4,956        | 4,517                    | 162                           | 129                     | 148           | 4,499        |
| Social security costs                             | 462          | 458                      | -                             | 3                       | 1             | 425          |
| Other pension costs                               | 1,409        | 1,409                    | -                             | -                       | -             | 1,592        |
| Apprenticeship levy                               | 9            | 9                        | -                             | -                       | -             | 7            |
| <b>Sub total</b>                                  | <b>6,836</b> | <b>6,393</b>             | <b>162</b>                    | <b>132</b>              | <b>149</b>    | <b>6,523</b> |
| Less recoveries in respect of outward secondments | (50)         | (50)                     | -                             | -                       | -             | (19)         |
| <b>Total net costs</b>                            | <b>6,786</b> | <b>6,343</b>             | <b>162</b>                    | <b>132</b>              | <b>149</b>    | <b>6,504</b> |

Consistent with guidance, employment costs include payments made in respect of contract staff. The total cost of salaries excluding other pension costs was £5,377k (£6,786k-£1,409k) in 2020-21 in comparison to £4,912k (£6,504k-£1,592k) in 2019-20.

Other pension costs totalling £1,409k are the service costs (current and past) of the scheme and in addition any pension costs in relation to the increase in the holiday accrual. The £1,409k consists of employer contributions based on payroll of £1,268k, lump sum deficit payments of £113k and costs in relation to the holiday pay accrual of £18k. The residual difference of £10k (£310k in 2019-20) is the increased charge which is required to increase the actual contributions paid with the service cost required to be charged under International Accounting Standard (IAS 26). The increased charge in 2020-21 relates to £10k in current service charges. In 2019-20 the £1,592k consisted of employer contributions of £1,282k but increased by £310k as noted above.

| Staff numbers - WTE           | 2020-21    |              |          | 2019-20 restated |
|-------------------------------|------------|--------------|----------|------------------|
|                               | Total No   | Permanent No | Other No | Total No         |
| Chief Executive and Directors | 4          | 3            | 1        | 4                |
| Workforce regulation          | 53         | 53           | 0        | 50               |
| Improvement and development   | 34         | 33           | 1        | 32               |
| Corporate Services and IT     | 33         | 33           | 0        | 33               |
| <b>Total</b>                  | <b>124</b> | <b>122</b>   | <b>2</b> | <b>119</b>       |

The table above represents the average number of whole-time equivalent persons employed during the year. The previous years figures have been restated to reflect changes in relation to how our Student Funding, Carreg Team and Data teams are classified.

## Staff composition

As at the 31st March 2021 of the workforce of 137, 101 (74%) were women and 36 (26%) were men. In comparison as at the 31st March 2020 of the workforce of 129, 94 (73%) were women and 35 (27%) were men.

Included in these numbers are the Senior Management Team which consists of the Chief Executive and three directors. Of the Senior Management Team two were women (50%) and two were men (50%) this differs from the position at 31st March 2020, which was, three women (75%) and one man (25%).

Staff composition by job family is as follows :-

| Staff composition by job family | Female     | Male      | Grand total | Female     | Male       |
|---------------------------------|------------|-----------|-------------|------------|------------|
| Executive team                  | 2          | 2         | 4           | 50%        | 50%        |
| Senior leadership team          | 4          | 3         | 7           | 57%        | 43%        |
| Management team                 | 21         | 11        | 32          | 66%        | 34%        |
| Technical and development team  | 32         | 12        | 44          | 73%        | 27%        |
| Support team                    | 42         | 8         | 50          | 84%        | 16%        |
| <b>Totals</b>                   | <b>101</b> | <b>36</b> | <b>137</b>  | <b>74%</b> | <b>26%</b> |

## Sickness absence data

The level of staff sickness during 2020-21 was 2.38% (2019-20: 3.74%) which is based on 722 days lost out of 30,286 days.

## Staff policies, equality and diversity

Social Care Wales has 'Investors in People' status and its human resource policies reflect best practice as part of its commitment as a learning organisation. We recognise and value diversity and ensure that all our employment practices and programmes of work embed and demonstrate not just our public duty as set out by the Equalities Act but embraces equality and diversity as a core value underpinning all functions and the delivery of high quality services of our workforce and the sector. We will ensure that in all our work we fully embed a human rights approach. Social Care Wales through its remit, promotes and influences the importance of language choice for service users and sensitivity of language within the social care workforce. We have a leadership role in the delivery of the Welsh Government's More than Just Words - Strategic Framework for Welsh Language Services in Health, Social Services and Social Care. As an employer we are a truly bilingual organisation providing an environment which nurtures and develops staff to learn and improve their bilingual skills and own the bilingual ethos of the organisation.

We also have a responsibility to uphold the conventions set out in the Human Rights Act 1998. We are committed to providing a work environment that values the diversity of all people, both our own

staff and those we come into contact during our work, and we fully support the rights of people to be treated with dignity and respect.

We are committed to making sure equality and openness in our pay and grading arrangements. When we considered our Equal pay report in September 2020 we found no evidence of pay discrimination on the grounds of any protected characteristics. We also considered our gender pay gap, which based on our staff at 31 March 20, stood at 23.52% (median). This has increased since we considered it back in 2018-19 (15.58%) and is currently higher than the UK average. This is explained by overrepresentation of women in the lower paid grades.

## Employee voice

During 2020-21 our Staff Partnership Council has had a crucial role to play in collecting and feeding back the views of staff on significant issues including the restructure and key policies. This has been achieved through regular staff forums, meeting with teams individually and producing feedback documents to HR and the Executive Management Team.

## Support and wellbeing

Our Employee Assistance Programme(EAP) is provided by Care First as part of the National Procurement Service (NPS) Occupational Health and Associated Services Framework.

As part of this framework we are able to utilise the following services:

- Access for all our staff to a 24-hour, 7 day a week telephone counselling service
- Face to face counselling
- On-Line resources

EAP statistics are provided for the calendar year (January 2020 – December 2020). The figures show that:

17 calls were made to the EAP telephone line in total, with 11 of these made between October and December.

An additional 9 people accessed online services and information.

Of the 17 calls, nine of these were new contacts (people who had not used the EAP previously).

The issues presented were a mixture of personal (14) and work related (9). Three were categorised as 'information specialist', whereby individuals have contacted the service to access information relating to a particular subject.

In 2021-22 we will continue to actively promote the service through a variety of forums and communications.

## Flexibility and benefits

- 19% of our workforce work part time (less than 36 hours a week).
- The childcare voucher scheme has now closed to new entrants, with two active members as at 31 March 2021.

## Expenditure on consultancy

Any consultancy costs in relation to expert opinion obtained to assist in business decision making are included in Administration costs (Professional Fees) in the financial statements. In 2020-21 these consultancy costs amounted to £28k (2019-20:£34k).

## Off-payroll engagements

In 2020-21 Social Care Wales has acted in accordance with Dear Accounting Officer letter 1/14 in relation to Tax Arrangements of Public Sector Appointees and no "off payroll" engagements are required to be reported.

## Exit Packages

One exit package was agreed in 2020-21 and the cost of the package fell in the range of £25,000-£50,000 and is included in Salary Costs in the 2020-21 financial statements. This related to a staffing matter that was identified for which due process was followed and actions taken to mitigate financial and reputational risks for Social Care Wales.

## Accountability and audit

### Regularity of expenditure

All expenditure in 2020-21 has been dealt with in accordance with any relevant legislation, the Governance Statement agreed with Welsh Government and Managing Welsh Public Money.

### Fees and charges

Registration Fee income for the financial year 2020-21 was £1,155k (2019-20: £978k). As agreed by Welsh Government the fees received does not cover the full cost of registration and the excess cost is therefore funded by Grant in Aid.

Following a formal consultation (Transforming Care in the 21st Century) undertaken on the regulation of the care and support workforce, fee levels were increased from 1st April 2018. The increased fee does not cover the full cost of registration and the excess cost continues to be funded by Grant in Aid.

### Remote Contingent Liabilities

Social Care Wales is not aware of any remote contingent liabilities.

### Long-expenditure trends

With the registration of new groups there will be a gradual increase in expenditure. The income to fund this increased expenditure will be funded from the increased and additional fees from registrants and additional funding will be required from Welsh Government.

#### **Sue Evans**

Chief Executive and Accounting Officer

Date: 21 July 2021

# The Certificate and independent auditor's report of the Auditor General for Wales to the Senedd

## Report on the audit of the financial statements

### Opinion on financial statements

I certify that I have audited the financial statements of Social Care Wales for the year ended 31 March 2021 under the Regulation and Inspection of Social Care (Wales) Act 2016 and paragraph 16 of Part 6 of Schedule 2. These comprise the Statement of comprehensive net expenditure, the Statement of financial position, the Statement of cash flows, the Statement of changes in taxpayers equity and related notes, including a summary of significant accounting policies. These financial statements have been prepared under the accounting policies set out within them. The financial reporting framework that has been applied in their preparation is applicable law and international accounting standards as interpreted and adapted by HM Treasury's Financial Reporting Manual.

In my opinion the financial statements:

- give a true and fair view of the state of Social Care Wales affairs as at 31 March 2021 and of its net expenditure, for the year then ended;
- have been properly prepared in accordance with international accounting standards as interpreted and adapted by HM Treasury's Financial Reporting Manual; and
- have been properly prepared in accordance with Welsh Ministers directions issued under Regulation and Inspection of Social Care (Wales) Act 2016 and paragraph 16 of Part 6 of Schedule 2.

### Opinion on regularity

In my opinion, in all material respects, the expenditure and income in the financial statements have been applied to the purposes intended by the Senedd and the financial transactions recorded in the financial statements conform to the authorities which govern them.

### Basis of opinions

I conducted my audit in accordance with applicable law and International Standards on Auditing in the UK (ISAs (UK)) and Practice Note 10 'Audit of Financial Statements of Public Sector Entities in the United Kingdom'. My responsibilities under those standards are further described in the auditor's responsibilities for the audit of the financial statements section of my report. I am independent of the body in accordance with the ethical requirements that are relevant to my audit of the financial statements in the UK including the Financial Reporting Council's Ethical Standard, and I have fulfilled my other ethical responsibilities in accordance with these requirements. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinions.

## Conclusions relating to going concern

In auditing the financial statements, I have concluded that the use of the going concern basis of accounting in the preparation of the financial statements is appropriate.

Based on the work I have performed, I have not identified any material uncertainties relating to events or conditions that, individually or collectively, may cast significant doubt on the body's ability to continue to adopt the going concern basis of accounting for a period of at least twelve months from when the financial statements are authorised for issue.

My responsibilities and the responsibilities of the Accounting Officer with respect to going concern are described in the relevant sections of this report.

## Other information

Legislation and directions issued to Social Care Wales do not specify the content and form of the other information to be presented with the financial statements. The Accounting Officer is responsible for the other information in the Annual Report. The other information comprises the information included in the Performance Report and the Accountability Report other than the financial statements and my auditor's report thereon. My opinion on the financial statements does not cover the other information and, except to the extent otherwise explicitly stated in my report, I do not express any form of assurance conclusion thereon. My responsibility is to read the other information and, in doing so, consider whether the other information is materially inconsistent with the financial statements or knowledge obtained in the course of the audit, or otherwise appears to be materially misstated. If I identify such material inconsistencies or apparent material misstatements, I am required to determine whether this gives rise to a material misstatement in the financial statements themselves. If, based on the work I have performed, I conclude that there is a material misstatement of this other information, I am required to report that fact.

I have nothing to report in this regard.

## Report on other requirements

### Opinion on other matters

As legislation and directions issued to Social Care Wales do not specify the content and form of the other information to be presented with the financial statements, I am not able to confirm that the Performance Report and the Accountability Report have been properly prepared in accordance with guidance.

In my opinion, based on the work undertaken in the course of my audit, the information given in the Performance Report and Accountability Report is consistent with the financial statements.

Although there are no legislative requirements for a Remuneration Report, Social Care Wales has prepared such a report and, in my opinion, that part ordinarily required to be audited has been properly prepared in accordance with HM Treasury Guidance.



## Matters on which I report by exception

In the light of the knowledge and understanding of the body and its environment obtained in the course of the audit, I have not identified material misstatements in the Performance Report and the Accountability Report.

I have nothing to report in respect of the following matters which I report to you if, in my opinion:

- adequate accounting records have not been kept or returns adequate for my audit have not been received from branches not visited by my team;
- the financial statements and the audited part of the Remuneration Report are not in agreement with the accounting records and returns;
- information specified by Welsh Ministers regarding remuneration and other transactions is not disclosed; or
- I have not received all of the information and explanations I require for my audit.

## Responsibilities

### Responsibilities of the Accounting Officer for the financial statements

As explained more fully in the Statement of Accounting Officer's Responsibilities, the Accounting Officer is responsible for preparing the financial statements in accordance with the Regulation and Inspection of Social Care (Wales) Act 2016 and paragraph 16 of Part 6 of Schedule 2 and Welsh Minister directions made there under, for being satisfied that they give a true and fair view and for such internal control as the Accounting Officer determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, the Accounting Officer is responsible for assessing the body's ability to continue as a going concern, disclosing as applicable, matters related to going concern and using the going concern basis of accounting unless deemed inappropriate.

### Auditor's responsibilities for the audit of the financial statements

My objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes my opinion. Reasonable assurance is a high level of assurance but is not a guarantee that an audit conducted in accordance with ISAs (UK) will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of these financial statements.

Irregularities, including fraud, are instances of non-compliance with laws and regulations. I design procedures in line with my responsibilities, outlined above, to detect material misstatements in respect of irregularities, including fraud.

My procedures included the following:

- Enquiring of management and those charged with governance including obtaining and reviewing supporting documentation relating to Social Care Wales's policies and procedures concerned with:
  - identifying, evaluating and complying with laws and regulations and whether they were aware of any instances of non-compliance;

- detecting and responding to the risks of fraud and whether they have knowledge of any actual, suspected or alleged fraud; and
- the internal controls established to mitigate risks related to fraud or non-compliance with laws and regulations.
- Considering as an audit team how and where fraud might occur in the financial statements and any potential indicators of fraud. As part of this discussion, I identified potential for fraud in the following areas: revenue recognition, posting of unusual journals and bias when calculating accounting estimates.
- Obtaining an understanding of Social Care Wales’s framework of authority as well as other legal and regulatory frameworks that the Social Care Wales operates in, focusing on those laws and regulations that had a direct effect on the financial statements or that had a fundamental effect on the operations of Social Care Wales.

In addition to the above, my procedures to respond to identified risks included the following:

- reviewing the financial statement disclosures and testing to supporting documentation to assess compliance with relevant laws and regulations discussed above;
- enquiring of management and the Audit and Risk Committee about actual and potential litigation and claims;
- reading minutes of meetings of those charged with governance and the Board;
- in addressing the risk of fraud through management override of controls, testing the appropriateness of journal entries and other adjustments; assessing whether the judgements made in making accounting estimates are indicative of a potential bias; and evaluating the business rationale of any significant transactions that are unusual or outside the normal course of business.

I also communicated relevant identified laws and regulations and potential fraud risks to all audit team and remained alert to any indications of fraud or non-compliance with laws and regulations throughout the audit.

The extent to which my procedures are capable of detecting irregularities, including fraud, is affected by the inherent difficulty in detecting irregularities, the effectiveness of the Social Care Wales’s controls, and the nature, timing and extent of the audit procedures performed.

A further description of the auditor’s responsibilities for the audit of the financial statements is located on the Financial Reporting Council’s website [www.frc.org.uk/auditorsresponsibilities](http://www.frc.org.uk/auditorsresponsibilities). This description forms part of my auditor’s report.

### **Responsibilities for regularity**

The Accounting Officer is responsible for ensuring the regularity of financial transactions. I obtain sufficient evidence to give reasonable assurance that the expenditure and income have been applied to the purposes intended by the Senedd and the financial transactions conform to the authorities which govern them.

### **Report**

I have no observations to make on these financial statements.

Adrian Crompton  
**Auditor General for Wales**  
 22 July 2021

24 Cathedral Road,  
 Cardiff,  
 CF11 9L

## Financial statements

| Statement of comprehensive net expenditure for the year ended 31 March 2021 | Note   | 2020-21<br>£'000 | 2019-20<br>£'000 |
|---|--------|------------------|------------------|
| <b>Expenditure</b>  |        |                  |                  |
| Staff costs   | 14     | 6,786            | 6,504            |
| Programme expenditure   |        |                  |                  |
| Training support and other grants   | 4(i)   | 11,240           | 11,238           |
| Non grant programme expenditure   | 4(ii)  | 2,400            | 1,901            |
| Administration costs  | 5      | 1,177            | 1,385            |
| Depreciation and amortisation   | 1(ix)  | 191              | 209              |
| Pension interest charge   | 15     | 30               | -                |
|   |        | <b>21,824</b>    | <b>21,237</b>    |
| <b>Income</b>   |        |                  |                  |
| Income from activities  |        |                  |                  |
| Registration fee income   | 1(iii) | 1,155            | 978              |
| Other income  |        |                  |                  |
| Apprenticeship certification  | 1(iv)  | 73               | 132              |
| Work Welsh  |        | -                | 156              |
| Mental health workforce   |        | 24               | -                |
| Sundry income   |        | 6                | 11               |
| Pension interest credit   | 15     | -                | 30               |
|   |        | <b>1,258</b>     | <b>1,307</b>     |
| Net expenditure   |        | <b>20,566</b>    | <b>19,930</b>    |
| Interest receivable   | 3(i)   | 1                | 4                |
| Interest surrenderable to the Welsh Government                              | 3(ii)  | (1)              | (4)              |
| Net expenditure after interest  |        | <b>20,566</b>    | <b>19,930</b>    |
| <b>Other comprehensive expenditure</b>                                      |        |                  |                  |
| Actuarial remeasurement   | 15     | 340              | 2,180            |
| <b>Total comprehensive expenditure for the year ended 31 March 2021</b>     |        | <b>20,906</b>    | <b>22,110</b>    |

The notes on pages 54 to 75 form part of these accounts.

| Statement of financial position<br>as at 31 March 2021 | 2021 |         |                | 2020           |
|--|------|---------|----------------|----------------|
|  | Note | £'000   | £'000          | £'000          |
| <b>Non-current assets:</b>                             |      |         |                |                |
| Property, plant and equipment                          | 6    | 276     |                | 215            |
| Intangible assets                                      | 7    | 322     |                | 349            |
| <b>Total non-current assets</b>                        |      |         | 598            | 564            |
| <b>Current assets:</b>                                 |      |         |                |                |
| Trade and other receivables                            | 9    | 665     |                | 629            |
| Cash and cash equivalents                              | 10   | 368     |                | 248            |
| <b>Total current assets</b>                            |      |         | 1,033          | 877            |
| <b>Total assets</b>                                    |      |         | <b>1,631</b>   | <b>1,441</b>   |
| <b>Current liabilities</b>                             |      |         |                |                |
| Trade and other payables                               | 11   | (474)   |                | (525)          |
| <b>Total current liabilities</b>                       |      |         | (474)          | (525)          |
| <b>Total assets less<br/>Current liabilities</b>       |      |         | <b>1,157</b>   | <b>916</b>     |
| <b>Non-current liabilities</b>                         |      |         |                |                |
| <b>Pension liabilities</b>                             | 15   | (2,350) |                | (1,970)        |
| <b>Total non-current liabilities</b>                   |      |         | (2,350)        | (1,970)        |
| <b>Assets less liabilities</b>                         |      |         | <b>(1,193)</b> | <b>(1,054)</b> |
| <b>Reserves</b>  |      |         |                |                |
| General reserve  |      |         | 1,157          | 916            |
| Pension reserve  |      |         | (2,350)        | (1,970)        |
| <b>Total</b>   |      |         | <b>(1,193)</b> | <b>(1,054)</b> |

Notes on pages 54 to 75 form part of these accounts.

The financial statements on pages 50 to 51 were approved by the Board of Social Care Wales on the 15 July 2021 and were signed on its behalf by:

**Sue Evans**

Chief Executive and Accounting Officer

Date: 21 July 2021

| <b>Statement of cash flows</b><br>for the year ended 31 March 2021      | <b>Note</b> | <b>2020-21</b><br><b>£'000</b> | <b>2019-20</b><br><b>£'000</b> |
|---|-------------|--------------------------------|--------------------------------|
| <b>Cash flows from operating activities</b>                             |             |                                |                                |
| Net expenditure after interest  |             | (20,566)                       | (19,930)                       |
| Adjustment for depreciation and amortisation                            |             | 191                            | 209                            |
| Adjustment for pension finance costs(net)                               |             | 40                             | 280                            |
| (Increase) in trade and other receivables                               |             | (36)                           | (278)                          |
| (Decrease)/Increase in trade and other payables                         |             | (51)                           | 33                             |
| Net cash (outflow) from operating activities                            |             | <b>(20,422)</b>                | <b>(19,686)</b>                |
| <b>Cash flows from investing activities</b>                             |             |                                |                                |
| Purchase of property, plant and equipment                               | 6           | (108)                          | (62)                           |
| Purchase of intangible assets   | 7           | (117)                          | (104)                          |
|   |             | <b>(225)</b>                   | <b>(166)</b>                   |
| <b>Cash flows from financing activities</b>                             |             |                                |                                |
| Welsh Government funding (including Capital)                            |             | 20,767                         | 19,805                         |
| <b>Net financing</b>  |             | <b>20,767</b>                  | <b>19,805</b>                  |
| <b>Net increase/decrease in cash and cash equivalents in the period</b> |             |                                |                                |
|   |             | <b>120</b>                     | <b>(47)</b>                    |
| Cash and cash equivalents at the beginning of the period                | 10          | <b>248</b>                     | <b>295</b>                     |
| Cash and cash equivalents at the end of the period                      | 10          | <b>368</b>                     | <b>248</b>                     |

Notes on pages 54 to 75 form part of these accounts.

| <b>Statement of changes in taxpayers' equity<br/>for the year ended 31 March 2021</b> | <b>Pension<br/>reserve<br/>£'000</b> | <b>General<br/>reserve<br/>£'000</b> | <b>Total<br/>£'000</b> |
|---|--------------------------------------|--------------------------------------|------------------------|
| <b>Balance as at 1 April 2019</b>   | <b>490</b>                           | <b>761</b>                           | <b>1,251</b>           |
| <b>Changes in taxpayers' equity 2019-20</b>   |                                      |                                      |                        |
| Welsh Government funding  | -                                    | 19,805                               | 19,805                 |
| Transfer between reserves-Capital   | (2,460)                              | 2,460                                | -                      |
| Comprehensive expenditure for the year  | -                                    | (22,110)                             | (22,110)               |
| <b>Balance at 31 March 2020</b>   | <b>(1,970)</b>                       | <b>916</b>                           | <b>(1,054)</b>         |
| <b>Changes in taxpayers' equity 2020-21</b>   |                                      |                                      |                        |
| Welsh Government funding  | -                                    | 20,767                               | 20,767                 |
| Transfer between reserves-Capital   | (380)                                | 380                                  | -                      |
| Comprehensive expenditure for the year  | -                                    | (20,906)                             | 20,906                 |
| <b>Balance at 31 March 2021</b>   | <b>(2,350)</b>                       | <b>1,157</b>                         | <b>(1,193)</b>         |

The notes on pages 54 to 75 form part of these accounts.

## Notes to the Accounts for the year ended 31 March 2021

### Statement of accounting policies

These accounts have been prepared in accordance with the 2020-21 Government Financial Reporting Manual (FReM) issued by the relevant authorities.

The accounting policies contained in the FReM apply International Financial Reporting Standards (IFRS) as adapted or interpreted for the public sector context. Where the FReM permits a choice of accounting policy, the accounting policy which is judged to be most appropriate to the circumstances of Social Care Wales for the purpose of giving a true and fair view has been selected. The particular policies adopted by Social Care Wales are described below and have been applied consistently in dealing with items that are considered material to the accounts.

#### 1(i) Accounting convention

The accounts have been prepared on a going concern basis, in accordance with the Accounts Direction issued by the Welsh Ministers with the consent of HM Treasury. They have been prepared under the modified historical cost convention.

#### 1 (ii) Financing

Social Care Wales receives monies from Welsh Government to fund its general revenue and capital activities. These amounts are regarded as financing and are credited to the general reserve on receipt.

#### 1(iii) Registration fee income

This arises from fees charged for registration on the Social Care Register. This fee is not considered to be for an on-going service but for registration in the register only. In line with International Accounting Standard 18 Revenue Recognition (IAS18), revenue is recognised at point of registration.

#### 1(iv) Apprenticeship certification income

Social Care Wales receives income for the compliance checking, printing and posting of apprenticeship certificates as part of its work for the Apprenticeship Certification Authority. The revenue associated with the provision of services is recognised over time in line with the completion of the delivery of the services. In addition as Social Care Wales have all the risks and rewards associated with the provision of the services the income is accounted for on a gross basis in line with IAS 18 and recognises any costs associated with these services separately.

#### 1(v) Training support and other grants

During 2020-21 Social Care Wales has made payments under the **Social Work Bursary Scheme** which is an incentive to train scheme for students enrolled on undergraduate and post-graduate social work training courses. This scheme includes payments to students of a non-income assessed bursary and an additional income assessed element for post-graduate students.

In addition, a **Practice Learning Opportunity Allowance** is also paid to all students. This expenditure is recognised as a liability on the receipt of the relevant grant claims in relation to the various elements of the Social Work Bursary Scheme. This is on the basis that once the grant has been approved, Social Care Wales is unable to avoid this cost, as after eligibility has been proven there are no conditions in relation to the grant that are within the control of Social Care Wales that limit the amount payable.

**Practice Learning Opportunity Funding (PLOF)** is provided to Local Authorities as a contribution towards the costs of securing practice learning opportunities for students undertaking approved social work courses in Wales. The grant is accounted for as a liability and the expenditure recognised in the Statement of comprehensive expenditure once the grant application has been successful. This is on the basis that at this point Social Care Wales cannot avoid paying this liability and there are no conditions in relation to the grant that would limit the amount payable.

Payments were made in relation to the **Continuing Professional Education and Learning (CPEL)** scheme where Social Care Wales fund 100 places each year to qualified social workers. All costs are charged to the Statement of comprehensive net expenditure in line with contractual payments made to Cardiff University. This is in line with IAS37 (provisions, contingent liabilities and contingent assets) as the total annual contract value should be recognised as a liability once the university course commences as Cardiff University have fulfilled their element of the contract at that point.

From 1 April 2017, Social Care Wales was given the responsibility for the administration of the **Social Care Wales Workforce Development Programme (SCWWD)** grant. The grant is provided to support Local Authorities to train and develop their own staff. Funding available from Social Care Wales through SCWDP in 2020-21 provides 70% of the cost of the programme currently £7,135,740. The remaining 30% is to be funded by Local Authorities. The conditions attached to the grant are that the grant must be spent on eligible expenditure and must be spent within the financial year. Therefore, the liability for the grant is recognised once the grant offer letter has been provided. This is on the basis that at this point there are no conditions that remain within the control of Social Care Wales that limit the eligible costs being incurred.

Other grants includes:

- Regional facilitation grants to Statutory Regional Partnership Boards,
- People using services and carers grants to Higher Education Institutions and
- Research grant to the Social Care Institute for Excellence (SCIE).

The liabilities for these grants are recognised once the grant has been claimed as at this point there are no conditions that remain within the control of Social Care Wales that limit the amount payable.

#### **1(vi) Trade receivables and other current assets – Social Work Bursary Scheme**

During 2020-21 a small number of students terminated their training early, giving rise to a repayment of all or part of the award. The repayment due at 31 March 2021 totalled £59k (£45k: 31 March 2020) and this sum is included in Trade receivables and other current assets at note 9. It is the policy of Social Care Wales to seek full repayment of these funds.



**1(vii) Property, plant and equipment**

Property, plant and equipment of an individual or group value of £1,000 or more are capitalised. Property, plant and equipment have been valued at historic cost at the 31 March 2021, as in the opinion of Social Care Wales any revaluation adjustments are not material.

**1(viii) Intangible assets**

Information technology and licence purchases of an individual value of £1,000 or more are capitalised. Information technology and licence costs have been valued at historic cost at the 31 March 2021, as in the opinion of Social Care Wales any revaluation adjustments are not material.

**1(ix) Depreciation and amortisation**

Depreciation and amortisation is provided at rates calculated to write off the historic cost of each asset on a straight line basis over the asset's useful economic life as set out below, except for office refurbishment, where costs are written off over the remaining period of the office leases when purchased.

- Communications equipment – five years;
- Furniture – ten years;
- I.T. (property, plant and equipment) – four years;
- Accommodation costs – remaining period of accommodation leases when purchased;
- Information technology and licences (intangible assets) – four years.

Depreciation and amortisation is calculated monthly and begins in the month following the month of purchase. As such, purchases made in March 2021 will not begin to depreciate/amortise until the 2021-22 financial year. The exception to this rule is accommodation refurbishment costs where the depreciation charge is calculated on a daily basis.

**1(x) Leases**

Leases are classified as finance leases when substantially all the risks and rewards of ownership are transferred to the lessee. All other leases are classified as operating leases.

Expenditure on leases of property is charged to the Statement of comprehensive net expenditure on the basis of costs incurred in the year. Operating lease rentals of equipment are charged to the Statement of comprehensive net expenditure in equal amounts over the lease term.

IFRS 16 which was issued in January 2016 and was effective for most companies from January 2019 has not yet been adopted by the FReM. It requires that all leases with a lease term of more than 12 months be recognized as assets and liabilities in financial statements. It is anticipated that this will be adopted within the FReM from 2022-23.

**1(xi) Value Added Tax**

Social Care Wales is not registered for Value Added Tax (VAT). All expenditure including capital expenditure is reported including VAT, where relevant, as no VAT can be recovered.

**1(xii) Pension costs**

Past and present employees are covered by the Local Government Pension Scheme administered by Rhondda Cynon Taf County Borough Council, which is a multi-employer funded scheme. Further information is provided at note 15 to these Accounts where the principal assumptions used by the actuaries are outlined.

Pension costs have been disclosed in accordance with IAS 19 Employee Benefits. IAS 19 requires the disclosure of certain information covering assets, liabilities and income and expenditure relating to the Scheme.

**1(xiii) Provisions and contingent liabilities and contingent assets*****Provisions***

Social Care Wales provides for obligations arising from past events where there is a present obligation at the date of the Statement of financial position, it is probable Social Care Wales will be required to settle the obligation and a reliable financial estimate can be made.

***Contingent liabilities***

Social Care Wales discloses possible obligations arising from past events where the outcome is based on uncertain future events. Disclosure is made where a present obligation is not probable or cannot be measured reliably.

***Contingent assets***

Social Care Wales discloses a possible asset when the outcome is based on one or more uncertain future events not in the control of Social Care Wales.

## 2. Analysis of net expenditure by segment

The Statement of comprehensive net expenditure account reflects the segments that the operating results of Social Care Wales are reported to the Executive Management Team in order that performance can be assessed by these segments. Consequently, no further analysis of net expenditure by segment is provided.

| <b>3. Welsh Government funding</b>              | <b>2020-21<br/>£'000</b> | <b>2019-20<br/>£'000</b> |
|---|--------------------------|--------------------------|
| Grant in aid received from the Welsh Government | 20,767                   | 19,805                   |
| Amount credited to general reserve              | <b>20,767</b>            | <b>19,805</b>            |

As outlined in Note 1(ii) the total grants of £20,767k (2019-20:£19,805k) are now credited to the general reserve on receipt.

| <b>3(i) Non-retainable income</b>  | <b>2020-21<br/>£'000</b> | <b>2019-20<br/>£'000</b> |
|------------------------------------|--------------------------|--------------------------|
| Interest on deposit account        | 1                        | 4                        |
| <b>Total non-retainable income</b> | <b>1</b>                 | <b>4</b>                 |

| <b>3(ii) Reconciliation of cash received from non-retainable income with amounts repaid to the Welsh Government</b> | <b>2020-21<br/>£'000</b> | <b>2019-20<br/>£'000</b> |
|---|--------------------------|--------------------------|
| Cash received (income exceeding Welsh Government threshold)   | 1                        | 4                        |
| Total income repayable  | 1                        | 4                        |
| Cash repayment  | 1                        | 4                        |
| <b>Due to the Welsh Government at the year end</b>  | <b>-</b>                 | <b>-</b>                 |

Social Care Wales has a liability to repay the Welsh Government interest received during the year, and fee income in excess of the target of £1,180k. The interest received of £1k was paid to Welsh Government. The fee income received in the year in cash terms totalled £1,155k (2019-20:£978k).

## 4. Programme costs

| <b>4(i) Training support and other grants</b>            | <b>2020-21<br/>£'000</b> | <b>2019-20<br/>£'000</b> |
|--|--------------------------|--------------------------|
| Social Work Bursary Scheme payments                      | 2,102                    | 2,162                    |
| Practice Learning Opportunity Funding                    | 990                      | 1,142                    |
| People using services and carers in social work training | 66                       | 57                       |
| Continuing Professional Education & Learning             | -                        | 50                       |
| Social Care Wales Workforce Development Programme        | 7,149                    | 7,149                    |
|  | <b>10,307</b>            | <b>10,560</b>            |
| <b>Other grants</b>                                      |                          |                          |
| Grants to regions  | 810                      | 555                      |
| Research - Social Care Institute for Excellence          | 123                      | 123                      |
|  | <b>11,240</b>            | <b>11,238</b>            |

| <b>4(ii) Non grant programme expenditure</b>                         | <b>2020-21<br/>£'000</b> | <b>2019-20<br/>£'000<br/>Restated</b> |
|--|--------------------------|---------------------------------------|
| Improvement and development  | 1,544                    | 1,027                                 |
| Work Welsh   | -                        | 132                                   |
| Workforce regulation including regulation of<br>social work training | 856                      | 742                                   |
|  | <b>2,400</b>             | <b>1,901</b>                          |

The previous years figures have been restated to reflect that all data costs are now included in Improvement and development and not in Workforce regulation. The previous years figures before restatement were Improvement and development (£807k) and Workforce regulation (£962k).

| 5. Administration costs   | 2020-21<br>£'000 | 2019-20<br>£'000<br>restated |
|---|------------------|------------------------------|
| Chair, members, and staff expenses                              | 3                | 113                          |
| Other Chair, members and staff costs                            | 131              | 128                          |
| Rental under operating leases- accommodation                    | 273              | 265                          |
| Other premises costs  | 283              | 312                          |
| Workshops, seminars, promotions, publications                   | 83               | 114                          |
| Equipment and software  | 199              | 240                          |
| Rental under operating leases- photocopiers & franking machines | 23               | 23                           |
| Administration  | 52               | 56                           |
| External audit- audit work                                      | 21               | 21                           |
| Other professional fees   | 109              | 113                          |
|   | <b>1,177</b>     | <b>1,385</b>                 |

The previous years figures have been restated to reflect that Chair, members and staff expenses are now purely the travel and subsistence costs for both members and staff. Previously they included members training costs, travel and venue costs for Board meetings which are now included in Other Chair, members and staff costs. The previous years figures before restatement were Chair, members and staff expenses (£121k) and other Chair, members and staff costs (£120k).

| 6. Property, plant and equipment year ended 31 March 2021 | Accommodation refurbishment<br>£'000 | Furniture and fittings<br>£'000 | Information technology<br>£'000 | Assets under construction<br>£'000 | Totals<br>£'000 |
|---|--------------------------------------|---------------------------------|---------------------------------|------------------------------------|-----------------|
| <b>Cost</b>   |                                      |                                 |                                 |                                    |                 |
| <b>At 1 April 2020</b>                                    | <b>591</b>                           | <b>143</b>                      | <b>660</b>                      | <b>-</b>                           | <b>1,394</b>    |
| Additions in the period                                   |                                      |                                 | 108                             | -                                  | 108             |
| Disposals in the period                                   |                                      |                                 |                                 | -                                  | -               |
| <b>At 31 March 2021</b>                                   | <b>591</b>                           | <b>143</b>                      | <b>768</b>                      | <b>-</b>                           | <b>1,502</b>    |
| <b>Depreciation</b>                                       |                                      |                                 |                                 |                                    |                 |
| <b>At 1 April 2020</b>                                    | <b>453</b>                           | <b>140</b>                      | <b>586</b>                      | <b>-</b>                           | <b>1,179</b>    |
| Charged in the year                                       | 16                                   | 1                               | 30                              | -                                  | 47              |
| Disposals in the period                                   |                                      |                                 |                                 | -                                  | -               |
| <b>At 31 March 2021</b>                                   | <b>469</b>                           | <b>141</b>                      | <b>616</b>                      | <b>-</b>                           | <b>1,226</b>    |
| <b>Net book value</b>                                     |                                      |                                 |                                 |                                    |                 |
| <b>At 31 March 2021</b>                                   | <b>122</b>                           | <b>2</b>                        | <b>152</b>                      | <b>-</b>                           | <b>276</b>      |
| <b>At 1 April 2020</b>                                    | <b>138</b>                           | <b>3</b>                        | <b>74</b>                       | <b>-</b>                           | <b>215</b>      |

| year ended 31 March 2020                | Accommodation refurbishment<br>£'000 | Furniture and fittings<br>£'000 | Information technology<br>£'000 | Assets under construction<br>£'000 | Totals<br>£'000 |
|---|--------------------------------------|---------------------------------|---------------------------------|------------------------------------|-----------------|
| <b>Cost</b>                             |                                      |                                 |                                 |                                    |                 |
| <b>At 1 April 2019</b>                  | <b>418</b>                           | <b>143</b>                      | <b>639</b>                      | <b>155</b>                         | <b>1,355</b>    |
| Additions in the period                 | 18                                   | -                               | 44                              | -                                  | 62              |
| Transfer from assets under construction | 155                                  | -                               | -                               | (155)                              | -               |
| Disposals in the period                 | -                                    | -                               | (23)                            | -                                  | (23)            |
| <b>At 31 March 2020</b>                 | <b>591</b>                           | <b>143</b>                      | <b>660</b>                      | <b>-</b>                           | <b>1,394</b>    |
| <b>Depreciation</b>                     |                                      |                                 |                                 |                                    |                 |
| <b>At 1 April 2019</b>                  | <b>414</b>                           | <b>139</b>                      | <b>578</b>                      | <b>-</b>                           | <b>1,131</b>    |
| Charged in the year                     | 39                                   | 1                               | 31                              | -                                  | 71              |
| Disposals in the period                 | -                                    | -                               | (23)                            | -                                  | (23)            |
| <b>At 31 March 2020</b>                 | <b>453</b>                           | <b>140</b>                      | <b>586</b>                      | <b>-</b>                           | <b>1,179</b>    |
| <b>Net book value</b>                   |                                      |                                 |                                 |                                    |                 |
| <b>At 31 March 2020</b>                 | <b>138</b>                           | <b>3</b>                        | <b>74</b>                       | <b>-</b>                           | <b>215</b>      |
| <b>At 1 April 2019</b>                  | <b>4</b>                             | <b>4</b>                        | <b>61</b>                       | <b>155</b>                         | <b>224</b>      |

| <b>7. Intangible assets</b><br>year ended 31 March 2021 | <b>Information technology</b><br>£'000 | <b>Licences</b><br>£'000 | <b>Totals</b><br>£'000 |
|---|--|--------------------------|------------------------|
| <b>Cost</b>   |  |                          |                        |
| <b>At 1 April 2020</b>                                  | <b>1,498</b>                           | <b>133</b>               | <b>1,631</b>           |
| Additions in the period                                 | 117                                    | -                        | 117                    |
| Transfer from development                               | -                                      | -                        | -                      |
| Disposals in the period                                 | -                                      | -                        | -                      |
| <b>At 31 March 2021</b>                                 | <b>1,615</b>                           | <b>133</b>               | <b>1,748</b>           |
| <b>Amortisation</b>                                     |  |                          |                        |
| <b>At 1 April 2020</b>                                  | <b>1,197</b>                           | <b>85</b>                | <b>1,282</b>           |
| Charged in the year                                     | 131                                    | 13                       | 144                    |
| Disposals in the period                                 | -                                      | -                        | -                      |
| <b>At 31 March 2021</b>                                 | <b>1,328</b>                           | <b>98</b>                | <b>1,426</b>           |
| <b>Net book value</b>                                   |  |                          |                        |
| <b>At 31 March 2021</b>                                 | <b>287</b>                             | <b>35</b>                | <b>322</b>             |
| <b>At 1 April 2020</b>                                  | <b>301</b>                             | <b>48</b>                | <b>349</b>             |

| <b>7. Intangible assets</b><br>year ended 31 March 2020 | <b>Information technology</b><br>£'000 | <b>Licences</b><br>£'000 | <b>Totals</b><br>£'000 |
|---|--|--------------------------|------------------------|
| <b>Cost</b>   |  |                          |                        |
| <b>At 1 April 2019</b>                                  | <b>1,436</b>                           | <b>91</b>                | <b>1,527</b>           |
| Additions in the period                                 | 62                                     | 42                       | 104                    |
| Transfer from development                               | -                                      | -                        | -                      |
| Disposals in the period                                 | -                                      | -                        | -                      |
| <b>At 31 March 2020</b>                                 | <b>1,498</b>                           | <b>133</b>               | <b>1,631</b>           |
| <b>Amortisation</b>                                     |  |                          |                        |
| <b>At 1 April 2019</b>                                  | <b>1,067</b>                           | <b>77</b>                | <b>1,144</b>           |
| Charged in the year                                     | 130                                    | 8                        | 138                    |
| Disposals in the period                                 | -                                      | -                        | -                      |
| <b>At 31 March 2020</b>                                 | <b>1,197</b>                           | <b>85</b>                | <b>1,282</b>           |
| <b>Net book value</b>                                   |  |                          |                        |
| <b>At 31 March 2020</b>                                 | <b>301</b>                             | <b>48</b>                | <b>349</b>             |
| <b>At 1 April 2019</b>                                  | <b>369</b>                             | <b>14</b>                | <b>383</b>             |

## 8. Financial instruments

As the cash requirements of Social Care Wales are primarily met through Grant-in-Aid provided by the Welsh Government, financial instruments play a more limited role in creating and managing risk than would apply to a non-public sector body. The majority of financial instruments relate to contracts to buy non-financial items in line with Social Care Wales's expected purchase and usage requirements and Social Care Wales is therefore exposed to little credit, liquidity or market risk.

| 9. Trade receivables and other current assets<br>At 31 March | 2021<br>£'000 | 2020<br>£'000 |
|--|---------------|---------------|
| <b>Amounts falling due within one year</b>                   |               |               |
| Trade receivables  |               |               |
| Welsh Government   | 11            | 1             |
| Local Authorities  | 2             | -             |
| Social Work Bursary Scheme debtors                           | 59            | 45            |
| Other bodies   | 94            | 152           |
| Other receivables  |               |               |
| Prepayments and accrued income                               | 499           | 431           |
|  | <b>665</b>    | <b>629</b>    |

Social Work Bursary Scheme debtors are repayable over more than one financial year, repayment contracts being agreed and signed by students which take account of their individual circumstances. However, for the purposes of disclosure, all balances have been included as falling due within one financial year.

| 10. Cash and cash equivalents                   | 2020-21<br>£'000 | 2019-20<br>£'000 |
|---|------------------|------------------|
| Balance at 1 April                              | 248              | 295              |
| Net change in cash and cash equivalent balances | 120              | (47)             |
| Balance at 31 March                             | <b>368</b>       | <b>248</b>       |

The balances at the 1st April 2019, the 1st April 2020, and the 31st March 2021 were held at Commercial Banks.



| 11. Trade payables and other current liabilities<br>At 31 March | 2021<br>£'000 | 2020<br>£'000 |
|---|---------------|---------------|
| Amounts falling due within one year                             |               |               |
| Trade payables  |               |               |
| Other taxation and social security                              | -             | -             |
| Other payables  |               |               |
| Accruals and deferred income                                    | 474           | 525           |
|   | <b>474</b>    | <b>525</b>    |

## 12. Capital commitments

There were contracted capital commitments of £10k at 31 March 2021 not otherwise included in these financial statements (£10k at 31 March 2020).

| 13. Commitments under operating leases<br>as at 31 March | 2021<br>£'000 | 2020<br>£'000 |
|--|---------------|---------------|
| <b>Obligations under operating leases comprise:</b>      |               |               |
| Land and buildings                                       |               |               |
| Not later than one year                                  | 273           | 278           |
| Later than one year and not later than five years        | 1,092         | 1,113         |
| Later than five years                                    | 787           | 1,080         |
|  | <b>2,152</b>  | <b>2,471</b>  |
| Other  |               |               |
| Not later than one year                                  | 22            | 22            |
| Later than one year and not later than five years        | -             | 20            |
| Later than five years                                    | -             | -             |
|  | <b>22</b>     | <b>42</b>     |

| 14. Staff costs                                      | 2020-21<br>Total costs<br>£'000 | 2019-20<br>Total costs<br>£'000 |
|--|---------------------------------|---------------------------------|
| Salaries and wages                                   | 4,956                           | 4,499                           |
| Social security costs                                | 462                             | 425                             |
| Other pension Costs                                  | 1,409                           | 1,592                           |
| Apprenticeship levy                                  | 9                               | 7                               |
| <b>Sub-total</b>                                     | <b>6,836</b>                    | <b>6,523</b>                    |
| Less recoveries in respect<br>of outward secondments | (50)                            | (19)                            |
| <b>Total net costs</b>                               | <b>6,786</b>                    | <b>6,504</b>                    |

## 15. Retirement benefit obligations

### (i) Present staff and pensioners

Social Care Wales participates in a multi-employer funded pension scheme which provides benefits at a normal retirement age of 65. The assets of the scheme are held separately from those of Social Care Wales and are administered by Rhondda Cynon Taf County Borough Council. Social Care Wales share of the underlying assets and liabilities of the scheme was separately identified in the actuarial valuation at 31 March 2004 for the first time.

### 15(ii) Local Government Pension Scheme, a defined benefit scheme

The Scheme is contracted out of the State Earnings Related Pension Scheme (SERPS) and is not subject to the minimum pension requirements of the Pensions Act 1995. The Local Government Pension Scheme Regulations 1997 (regulation 77) specifies that actuarial valuations must be carried out at 31 March 1998, and triennially thereafter. The disclosures below relate to the Rhondda Cynon Taf County Borough Council Pension Scheme and have been provided by the Scheme's actuary Aon Hewitt Limited, London.

### 15(iii) Results under International Accounting Standard no.19 (Disclosure)

The disclosures below relate to the funded liabilities within the Rhondda Cynon Taf Pension Fund (the 'Fund') which is part of the Local Government Pension Scheme (LGPS). The LGPS is a funded defined benefit plan with benefits earned up to 31 March 2014 being linked to final salary. Benefits after 31 March 2014 are based on a Career Average Revalued Earnings scheme. Details of the benefits earned over the period covered by this disclosure are set out in 'The Local Government Pension Scheme Regulations 2013'(as amended) and 'The Local Government Pension Scheme (Transitional Provisions, Savings and Amendment) Regulations 2014'(as amended).

## Funding / Governance arrangements of the LGPS

The funded nature of the LGPS requires the Employer and its employees to pay contributions into the Fund, calculated at a level intended to balance the pension liabilities with investment assets. Information on the framework for calculating contributions to be paid out is set out in LGPS Regulations 2013 and the Fund's Funding Strategy Statement. The last actuarial valuation was at 31 March 2019 and the contributions to be paid until 31 March 2023 resulting from that valuation are set out in the Fund's Rates and Adjustment Certificate. The Fund Administering Authority, Rhondda Cynon Taf County Borough Council is responsible for the governance of the Fund.

### Assets

Social Care Wales recognises gains and losses in full, immediately through the Statement of comprehensive net expenditure. In accordance with International Accounting Standard no.19 - Employee Benefits (IAS 19), disclosure of certain information concerning assets, liabilities and income and expenditure relating to pension schemes is required.

The assets allocated to the Employer in the Fund are notional and are assumed to be invested in line with the investments of the Fund for the purposes of calculating the return to be applied to these notional assets over the accounting period. The fund is large and holds a significant proportion of its assets in liquid investments. As a consequence there will be no significant restriction on realising assets if a large payment is required to be paid from the Fund in relation to an employer's liabilities. The assets are invested in a diversified spread of investments and the approximate split of assets for the Fund as a whole (based on data supplied by the Administering Authority) is shown in the disclosures split by quoted and unquoted investments. The Fund Administering Authority may invest a small proportion of the Fund's investments in the assets of some of the employers participating in the Fund if it forms part of their balanced investment strategy.

## Risks associated with the Fund in relation to accounting

### Asset volatility

The liabilities used for accounting purposes are calculated using a discount rate set with reference to corporate bond yields at the accounting date. If assets underperform, this yield this will create a deficit in the accounts. The Fund holds a significant proportion of growth assets which, while expected to outperform corporate bonds in the long term, creates volatility and risk in the short term in relation to the accounting figures.

### Changes in bond yield

A decrease in corporate bond yields will increase the value placed on the liabilities for accounting purposes although this will be marginally offset by the increase in the assets as a result (to the extent the Fund invests in Corporate bonds).

### Inflation risk

The majority of the pension liabilities are linked to either pay or price inflation. Higher inflation expectations will lead to a higher liability value. The assets are not perfectly correlated with inflation meaning that an increase in inflation will increase the deficit.

### Life expectancy

The majority of the Fund's obligations are to provide benefits for the life of the member following retirement, so increases in life expectancy will result in an increase in the liabilities.

## Exiting employers

Employers who leave the Fund (or their guarantor) may have to make an exit payment to meet any shortfall in assets against their pension liabilities. If the employer (or guarantor) is not able to meet this exit payment the liability may in certain circumstances fall on other employers in the Fund. Further the assets at exit in respect of 'orphan liabilities' may, in retrospect, not be sufficient to meet the liabilities. This risk may fall on other employers. 'Orphan liabilities' are currently a small proportion of the overall liabilities in the Fund.

## Other notes

### McCloud judgement

The 'McCloud' judgement in the Court of Appeal found that the transitional protection arrangements put in place when the firefighters' and judges' pension schemes were reformed were age discriminatory. On 27 June 2019 the Supreme Court denied permission for Government to appeal this judgement, and on 15 July 2019 the Government issued a ministerial statement saying they would expect to compensate members across all public-sector schemes which contained transitional protection arrangements (which includes the LGPS).

The Minister of Housing, Communities and Local Government (MHCLG) published its McCloud consultation for the LGPS (in England and Wales) on 16 July 2020, setting out proposed changes aimed at removing the unlawful age discrimination in the LGPS. The consultation closed on 8 October 2020 and we are awaiting the consultation response.

We have allowed for the impact McCloud judgement in these figures and the method used is closely aligned with the method proposed by the MCHLG in its consultation. This is the same approach as last year when the liability was reported for the first time using a roll-forward method based on last year's results.

### Cost management in the LGPS

Legislation requires HM Treasury and the Scheme Advisory Board (SAB) to undertake periodic valuations to monitor the cost of the LGPS to ensure it remains sustainable and affordable. This is referred to as the 'Cost Management Process'.

HM Treasury and the SAB had paused their reviews following the 'McCloud' judgement in the Court of Appeal. These have now been unpaused and HM Treasury Directions are expected to be made over 2021 which will allow the Treasury and SAB reviews to proceed. It is unlikely the outcome of these reviews will be known in 2021 and no changes in benefits or member contributions are expected until 2024. Therefore, no allowance for the Cost Management Process has been made in these figures.

### GMP equalisation and indexation

On 26 October 2018 the High Court ruled in the Lloyds Bank case that equalisation for the effect of unequal Guaranteed Minimum Pensions (GMPs) is required. The ruling confirmed that trustees have a duty "to equalise benefits for men and women so as to alter the result which is at present produced in relation to GMPs".

These figures allow for full pensions increases to be paid on GMPs to individuals reaching State Pension Age after 6 April 2016. The calculations are an approximate method as the Government is consulting on its approach to compensating affected members. Whilst the final remedy arising from the consultation may be different from the method used we expect the outcome will include extension

of full indexation for many members who are yet to be compensated and therefore we consider the approach to be a reasonable estimate.

In October 2020 a second ruling in the Lloyds bank case clarified that compensation would be required to members who transferred benefits out since May 1990. The Government has not yet acknowledged a liability or indicated an approach to rectifying this. Therefore no allowance has been made for any potential liability.

### Goodwin ruling

In June 2020 an Employment Tribunal ruled, in relation to the Teachers Pension Scheme, that provisions for survivor's benefits of a female member in an opposite sex marriage are less favourable than for a female in a same sex marriage or civil partnership, and that treatment amounts to direct discrimination on grounds of sexual orientation. The chief secretary to the Treasury announced in a written ministerial statement on 20 July 2020 that he believed that changes would be required to other public service pension schemes with similar arrangements. These changes are yet to be reflected in the LGPS regulations so no allowance has been made in the calculations.

The Employer's regular contributions to the Fund for the accounting period ending 31 March 2022 are estimated to £1.33m. The date of the last full actuarial valuation of Social Care Wales LGPS funded benefits was 31 March 2019 and the duration of liabilities is 26.3 years.

| Key assumptions                   | 31 March 2021<br>(% pa) | 31 March 2020<br>(% pa) | 31 March 2019<br>(% pa) |
|-----------------------------------|-------------------------|-------------------------|-------------------------|
| Discount rate                     | 2.1                     | 2.3                     | 2.5                     |
| CPI inflation                     | 2.6                     | 1.8                     | 2.1                     |
| Pension increases                 | 2.6                     | 1.8                     | 2.1                     |
| Pension accounts revaluation rate | 2.6                     | 1.8                     | 2.1                     |
| Salary increases                  | 3.9                     | 3.1                     | 3.4                     |

### Mortality assumption

The mortality assumptions are based on actual mortality experience of members within the Fund based on analysis carried out as part of the 2019 valuation and allow for expected future mortality improvements. Sample life expectancies at age 65 resulting from these mortality assumptions are shown below.

| Assumed life expectancy at age 65           | 31 March 2021 | 31 March 2020 |
|---|---------------|---------------|
| <b>Males</b>                                |               |               |
| Pensioner member aged 65 at accounting date | 21.8          | 21.7          |
| Active member aged 45 at accounting date    | 22.8          | 22.7          |
| <b>Females</b>                              |               |               |
| Pensioner member aged 65 at accounting date | 24.1          | 24.0          |
| Active member aged 45 at accounting date    | 25.6          | 25.5          |

| Asset allocation | Value at 31 March 2021 |             |               | Value at 31 March 2020 |
|------------------|------------------------|-------------|---------------|------------------------|
|                  | Quoted                 | Unquoted    | Total         |                        |
| Equities         | 72.5%                  | 0.0%        | 72.5%         | 63.7%                  |
| Property         | 6.3%                   | 0.0%        | 6.3%          | 8.6%                   |
| Government bonds | 8.3%                   | 0.0%        | 8.3%          | 13.8%                  |
| Corporate bonds  | 12.3%                  | 0.0%        | 12.3%         | 13.0%                  |
| Cash             | 0.6%                   | 0.0%        | 0.6%          | 0.9%                   |
| Other            | 0.0%                   | 0.0%        | 0.0%          | 0.0%                   |
| <b>Total</b>     | <b>100.0%</b>          | <b>0.0%</b> | <b>100.0%</b> | <b>100.0%</b>          |

| Reconciliation of funded status to the Statement of financial position | Value at 31 March 2021 (£M) | Value at 31 March 2020 (£M) |
|--|-----------------------------|-----------------------------|
| Fair value of assets   | 30.65                       | 21.71                       |
| Present value of funded defined benefit obligation                     | 33.0                        | 23.68                       |
| <b>Funded status</b>   | <b>(2.35)</b>               | <b>(1.97)</b>               |
| Unrecognised asset   | 0.00                        | 0.00                        |
| <b>(Liability) recognised on the SOFP</b>                              | <b>(2.35)</b>               | <b>(1.97)</b>               |

The split of the liabilities obligation at the last valuation date between the various categories of members was as follows:

|                     |     |
|---------------------|-----|
| Active members      | 56% |
| Deferred pensioners | 18% |
| Pensioners          | 26% |

| Amounts recognised in comprehensive net expenditure                             | Year ending 31 March 2021 (£M) | Year ending 31 March 2020 (£M) |
|---|--------------------------------|--------------------------------|
| <b>Operating cost</b>   |                                |                                |
| Current service cost <sup>(1)</sup>   | 1.39                           | 1.32                           |
| Past service cost (incl. curtailments)  | 0.00                           | 0.27                           |
| Settlement cost   | 0.00                           | 0.00                           |
| <b>Financing cost</b>   |                                |                                |
| Interest on net defined benefit liability/(asset)                               | 0.03                           | (0.03)                         |
| <b>Pension cost recognised in net expenditure</b>                               | <b>1.42</b>                    | <b>1.56</b>                    |
| <b>Remeasurements in other comprehensive expenditure</b>                        |                                |                                |
| Return on plan assets (in excess of) that recognised in net interest            | (7.05)                         | 0.86                           |
| Actuarial (gains)/losses due to change in financial assumptions                 | 7.60                           | (0.60)                         |
| Actuarial (gains)/losses due to change in demographic assumptions               | -                              | (0.33)                         |
| Actuarial (gains)/losses due to liability experience                            | (0.21)                         | 2.25                           |
| Adjustment in respect of paragraph 64   | 0.00                           | 0.00                           |
| <b>Total amount recognised in other comprehensive expenditure</b>               | <b>0.34</b>                    | <b>2.18</b>                    |
| <b>Total amount recognised in total comprehensive expenditure</b>               | <b>1.76</b>                    | <b>3.74</b>                    |
| (1) Allowance for administration expenses included in current service cost (£M) | 0.02                           | 0.02                           |

| <b>Changes to the present value of the defined benefit obligation</b> | <b>Year ending<br/>31 March 2021<br/>(£M)</b> | <b>Year ending<br/>31 March 2020<br/>(£M)</b> |
|---|---|---|
| <b>Opening defined benefit obligation</b>                             | <b>23.68</b>                                  | <b>20.51</b>                                  |
| Current service cost  | 1.39  | 1.32  |
| Interest expense on defined benefit obligation                        | 0.54  | 0.51  |
| Contributions by participants   | 0.30  | 0.27  |
| Actuarial (gains)/losses due to changes in financial assumptions      | 7.60  | (0.60)  |
| Actuarial (gains)/losses due to changes in demographic assumptions    | -   | (0.33)  |
| Actuarial (gains)/losses due to liability experience                  | (0.21)  | 2.25  |
| Net benefits paid out   | (0.30)  | (0.52)  |
| Past service cost (incl. curtailments)                                | 0.00  | 0.27  |
| Net increase in liabilities from disposals/<br>acquisitions           | 0.00  | 0.00  |
| Settlements   | 0.00  | 0.00  |
| <b>Closing defined benefit obligation</b>                             | <b>33.0</b>                                   | <b>23.68</b>                                  |

| <b>Changes to the fair value of assets during the year</b> | <b>Year ending<br/>31 March 2021<br/>(£M)</b> | <b>Year ending<br/>31 March 2020<br/>(£M)</b> |
|--|---|---|
| <b>Opening fair value of assets</b>                        | <b>21.71</b>                                  | <b>21.00</b>                                  |
| Interest income on assets                                  | 0.51  | 0.54  |
| Remeasurement gains(losses) on assets                      | 7.05  | (0.86)  |
| Contributions by the employer                              | 1.38  | 1.28  |
| Contributions by the participants                          | 0.30  | 0.27  |
| Net benefits paid out                                      | (0.30)  | (0.52)  |
| Net increase in assets from disposals & acquisitions       | 0.00  | 0.00  |
| Settlements  | 0.00  | 0.00  |
| <b>Closing fair value of assets</b>                        | <b>30.65</b>                                  | <b>21.71</b>                                  |



| <b>Actual return on assets</b>          | <b>Year ending<br/>31 March 2021<br/>(£M)</b> | <b>Year ending<br/>31 March 2020<br/>(£M)</b> |
|---|---|---|
| Interest income on assets               | 0.51  | 0.54  |
| Remeasurement gains /(losses) on assets | 7.05  | (0.86)  |
| <b>Actual return on assets</b>          | <b>7.56</b>                                   | <b>(0.32)</b>                                 |

### Estimated pension expense in future periods

#### Funded benefits

We provide an estimate of the charges to comprehensive expenditure on the provision of services in future periods, based on the assumptions outlined above.

| <b>Analysis of amount charged in other comprehensive expenditure on the provision of services next year</b> | <b>Year ending<br/>31 March 2022<br/>(£M)</b> |
|---|---|
| Current service cost  | 2.14  |
| Interest on net defined benefit liability   | 0.04  |
| <b>Total estimated pension expense</b>  | <b>2.18</b>                                   |
| Allowance for administration expenses included in the Current service cost (£M)                             | 0.02  |
| Estimated pensionable payroll over the period (£M)  | 4.45  |

#### Sensitivity analysis

The approximate impact of changing the key assumptions on the present value of the funded defined benefit obligation as at 31 March 2021 and the projected service cost for the year ending 31 March 2022 is set out below.

In each case only the assumption mentioned is altered; all other assumptions remain the same as summarised above.

We have not included sensitivity of unfunded benefits (where applicable) on materiality grounds.

## Funded LGPS benefits

| <b>Discount rate assumption</b><br>Adjustment to discount rate | <b>+0.1%<br/>p.a.</b> | <b>Base<br/>figure</b> | <b>-0.1%<br/>p.a.</b> |
|--|-----------------------|------------------------|-----------------------|
| Present value of total obligation (£M)                         | 32.14                 | 33.00                  | 33.89                 |
| % change in present value of total obligation                  | (2.6%)                | -                      | 2.7%                  |
| Projected service cost (£M)                                    | 2.06                  | 2.14                   | 2.22                  |
| <b>Approximate % change in projected service cost</b>          | <b>(3.8%)</b>         | <b>-</b>               | <b>3.9%</b>           |

| <b>Rate of general increase in salaries</b><br>Adjustment to salary increase rate | <b>+0.1%<br/>p.a.</b> | <b>Base<br/>figure</b> | <b>-0.1%<br/>p.a.</b> |
|---|-----------------------|------------------------|-----------------------|
| Present value of total obligation (£M)  | 33.13                 | 33.00                  | 32.87                 |
| % change in present value of total obligation                                     | 0.4%                  | -                      | (0.4%)                |
| Projected service cost (£M)   | 2.14                  | 2.14                   | 2.14                  |
| Approximate % change in projected service cost                                    | 0.0%                  | -                      | 0.0%                  |

| <b>Rate of increase to pensions in payment and deferred pensions assumption, and rate of revaluation of pension accounts assumption</b><br>Adjustment to pension increase rate | <b>+0.1%<br/>p.a.</b> | <b>Base<br/>figure</b> | <b>-0.1%<br/>p.a.</b> |
|--|-----------------------|------------------------|-----------------------|
| Present value of total obligation (£M)   | 33.76                 | 33.00                  | 32.27                 |
| % change in present value of total obligation  | 2.3%                  | -                      | (2.2%)                |
| Projected service cost (£M)  | 2.22                  | 2.14                   | 2.06                  |
| Approximate % change in projected service cost   | 3.9%                  | -                      | (3.8%)                |

| <b>Post retirement mortality assumption*</b><br>Adjustment to mortality age rating assumption | <b>-1 year</b> | <b>Base<br/>figure</b> | <b>+1 year</b> |
|---|----------------|------------------------|----------------|
| Present value of total obligation (£M)  | 34.19          | 33.00                  | 31.85          |
| % change in present value of total obligation   | 3.6%           | -                      | (3.5%)         |
| Projected service cost (£M)   | 2.23           | 2.14                   | 2.05           |
| Approximate % change in projected service cost  | 4.1%           | -                      | (4.0%)         |

\* A rating of +1 year means that members are assumed to follow the mortality pattern of the base table for an individual that is 1 year older than them.

## 16. Provisions and contingent liabilities disclosed under IAS 37

The lease agreements in relation our Cardiff and St Asaph Offices potentially requires that any alterations, additions and partitioning should be removed on cessation of the lease. No provision has been made as this obligation is uncertain and is contingent on the landlord requesting the removal.

## 17. Contingent asset

At 31 March 2021 there were £106k of registration fees outstanding. Under the Regulation and Inspection Act (Wales) 2016 it was originally assumed that we could only remove registrants for non payment of outstanding fees at renewal of registration which takes place three years after initial registration and then on a three year cycle. Based on experience to date it is only at the this renewal date we are able to substantiate that in relation to the majority of outstanding fees whether the registrant has not paid due to leaving the sector (and the outstanding fee will not be pursued) or if it is a genuine debt in relation to an ongoing registrant.

Following discussions with Welsh Government it was agreed that the Act did allow the removal of debtors prior to the renewal date. Work has begun in removing debtors but we are still not in a position to substantiate what is genuine debt or not.

Therefore the £106k outstanding is not treated as income in the Statement of comprehensive net expenditure as we are not sure of the precise economic value of this amount as on an individual basis we will not know whether the income will materialise until the renewal date of each individual amount/ amounts owed is reached.

## 18. Related party transactions

During the year Social Care Wales has had various material transactions with the Welsh Government which is regarded as a related party. The transactions and balances were as follows:-

|                                 | 2020-21  | 2019-20  |
|---------------------------------|----------|----------|
| Income                          | £20.791m | £19.805m |
| Expenditure                     | £0.144m  | £0.128m  |
| Debtor balance as at 31 March   | £0.011m  | £0.001m  |
| Creditor balance as at 31 March | -        | -        |

### Social Care Wales Board members and staff

No employees including key management personnel or board members nor their related parties were involved directly or indirectly in any transactions with Social Care Wales during the year, apart from normal expense claims, salary payments etc. Information about key management personnel is included in the Remuneration report.

However for transparency we do disclose material transactions with organisations in which senior staff or members or any of their family held positions of influence during the year.

Our previous Chair was also a Council Member of the University of Wales and was the Chair of the Audit and Risk Committee of the University of Wales Trinity St David. The expenditure transactions with the University of Wales Trinity St David was £1,040 in 2019-20. There were no debtor or creditor balances as at the 31 March 2020.

In addition, two members of our board were also members of the Regional Partnership Boards which received grant funding from Social Care Wales in the form of Regional Facilitation Grant. The transactions were as follows:-

| Board Member   | Role         | Regional Partnership Board                | Expenditure 2020-21 (£) | Expenditure 2019-20 (£) |
|----------------|--------------|---|-------------------------|-------------------------|
| Abigail Harris | Member       | Cardiff & Vale Regional Partnership Board | 73,036                  | 73,036                  |
| Carl Cooper    | Deputy Chair | Powys Regional Partnership Board          | 57,574                  | 32,574                  |

Please note that the payments in the table above were made to the nominated local authority being Cardiff City Council (Cardiff and Vale) and Powys County Council (Powys).

## 19. Third party assets

Social Care Wales does not hold any third party assets in which it acts as a custodian or a trustee.

## 20. Events after the reporting period

There are no events after the reporting period, which require adjustment to the 31 March 2021 financial statements.



Gofal Cymdeithasol **Cymru**  
Social Care **Wales**



Ariennir gan  
**Lywodraeth Cymru**  
Funded by  
**Welsh Government**



## Adroddiad Archwilio Cyfrifon – Gofal Cymdeithasol Cymru

Blwyddyn archwilio: 2020-21

Dyddiad cyhoeddi: Gorffennaf 2021

Cyfeirnod y ddogfen: 2469A2021-22

Paratowyd y ddogfen hon yn rhan o waith a berfformiwyd yn unol â swyddogaethau statudol.

Os gwneir cais am wybodaeth y gallai'r ddogfen hon fod yn berthnasol iddi, tynnir sylw at y Cod Ymarfer a gyhoeddwyd o dan adran 45 o Ddeddf Rhyddid Gwybodaeth 2000.

Mae Cod adran 45 yn nodi'r arfer a ddisgwylir gan awdurdodau cyhoeddus wrth ymdrin â cheisiadau gan gynnwys ymgynghori â thrydydd partïon perthnasol. Mewn cysylltiad â'r ddogfen hon, mae Archwilydd Cyffredinol Cymru, Swyddfa Archwilio Cymru a, phan fo hynny'n berthnasol, yr archwilydd penodedig yn drydydd partïon perthnasol. Dylid anfon unrhyw ymholiadau ynglŷn â datgelu neu aildefnyddio'r ddogfen hon i Swyddfa Archwilio Cymru yn [info.officer@audit.wales](mailto:info.officer@audit.wales).

Rydym yn croesawu gohebiaeth a galwadau ffôn yn Gymraeg a Saesneg. Ni fydd gohebu yn Gymraeg yn arwain at oedi. We welcome correspondence and telephone calls in Welsh and English. Corresponding in Welsh will not lead to delay.

# Cynnwys

Mae'r ddogfen hon yn crynhoi casgliadau archwiliad 2020-21. Rydym yn bwriadu cyhoeddi adroddiad archwiliad diamod ar eich datganiadau ariannol.

Adroddiad archwilio cyfrifon

|  |    |
|--|----|
| Cyflwyniad                                     | 4  |
| Effaith COVID-19 ar archwiliad eleni           | 4  |
| Barn archwilio arfaethedig                     | 5  |
| Materion arwyddocaol yn deillio o'r archwiliad | 6  |
| Atodiadau                                      |    |
| Atodiad 1 – Llythyr Cynrychiolaeth Terfynol    | 7  |
| Atodiad 2 – Adroddiad archwilio arfaethedig    | 10 |



# Adroddiad archwilio cyfrifon

## Cyflwyniad

- 1 Rydym yn crynhoi prif ganfyddiadau ein harchwiliad o'ch datganiadau ariannol ar gyfer 2020 – 21 yn yr adroddiad hwn.
- 2 Rydym eisoes wedi trafod y materion hyn gyda'r Cyfarwyddwr Cyllid Cynorthwyol a TG.
- 3 Ni all archwilwyr byth roi sicrwydd llwyr bod cyfrifon yn cael eu datgan yn gywir. Yn hytrach, rydym yn gweithio i lefel o 'berthnasedd'. Mae'r lefel hon o berthnasedd wedi'i gosod i geisio adnabod a chywiro camddatganiadau a allai fel arall achosi i ddefnyddiwr y cyfrifon gael eu camarwain.
- 4 Rydym yn gosod y lefel hon ar £436,000 ar gyfer yr archwiliad eleni.
- 5 Mae rhai meysydd o'r cyfrifon a allai fod yn bwysicach i'r darllynydd ac rydym wedi gosod lefel perthnasedd is ar gyfer y rhain, fel a ganlyn:
  - Adroddiad Taliadau £1,000
  - Datgeliadau Partïon Cysylltiedig £1,000
- 6 Rydym bellach wedi cwblhau archwiliad eleni yn sylweddol.
- 7 Yn ein barn broffesiynol, rydym wedi cydymffurfio â'r safonau moesegol sy'n berthnasol i'n gwaith; yn parhau i fod yn annibynnol ydych chi; ac nid yw ein gwrthrychedd wedi'i beryglu mewn unrhyw ffordd. Nid oes unrhyw berthynas rhyngom ni a chithau y credwn y gallai danseilio ein gwrthrychedd a'n hannibyniaeth.

## Effaith COVID-19 ar yr archwiliad eleni

- 8 Mae pandemig COVID-19 wedi cael effaith sylweddol ar bob agwedd ar ein cymdeithas ac mae'n parhau i wneud hynny. Mae'n ofynnol yn ôl y gyfraith i chi baratoi cyfrifon ac mae'n dyst sylweddol i ymrwymiad eich tîm cyfrifon eich bod wedi llwyddo i wneud hynny eleni yn wyneb yr heriau a ddaw yn sgil y pandemig hwn. Rydym yn hynod ddiolchgar i broffesiynoldeb y tîm wrth ein cefnogi i gwblhau ein harchwiliad mewn amgylchiadau mor anodd.
- 9 Nid yw'n syndod bod y pandemig wedi effeithio ar ein harchwiliad ac rydym yn crynhoi y prif effeithiau yn **Arddangosyn 1**. Ar wahân i adegau pan fyddwn yn gwneud argymhellion yn benodol, **darperir y manylion yn Arddangosyn 1** at ddibenion gwybodaeth yn unig i'ch helpu i ddeall effaith pandemig COVID-19 ar y broses archwilio eleni.

## Arddangosyn 1 – effaith COVID-19 ar yr archwiliad eleni

|                              |  |
|------------------------------|--|
| <b>Amserlen</b>              | <ul style="list-style-type: none"><li>• Arhosodd y dyddiad cau ar gyfer cwblhau eich cyfrifon yn ddigifnewid.</li><li>• Cawsom y cyfrifon drafft ar 24 Mai 2021.</li><li>• Disgwyliwn i'ch adroddiad archwilio gael ei lofnodi ar 22 Gorffennaf.</li></ul>   |
| <b>Llofnodion electronig</b> | Os bydd angen o hyd ar adeg cymeradwyo a llofnodi, byddwn yn derbyn llofnodion electronig a ffeiliau wedi'u trosglwyddo'n electronig.  |
| <b>Tystiolaeth archwilio</b> | <p>Fel mewn blynyddoedd blaenorol, cawsom y rhan fwyaf o'r dystiolaeth archwilio ar ffurf electronig. Rydym wedi defnyddio technegau amrywiol i sicrhau ei dilysrwydd. Lle nad ydym wedi gallu cael mynediad at ddogfennau papur oherwydd cyfyngiadau COVID-19, rydym wedi dyfeisio methodolegau archwilio amgen i gael gafael ar ddigon o dystiolaeth archwilio.</p> <ul style="list-style-type: none"><li>• defnyddio negeseuon e-bost diogel wedi'u hamgryptio i rannu dogfennau.</li><li>• cafodd rhywfaint o wybodaeth ei dilysu i argraffiadau sgrin neu i'r systemau byw drwy rannu sgrin.</li><li>• mae fideo-gynadledda wedi galluogi'r tîm archwilio i ohebu'n effeithiol â'r tîm cyllid drwy gydol yr archwiliad.</li></ul> |

- 10 Byddwn yn parhau i adolygu'r hyn rydym wedi'i ddysgu ar gyfer ein proses archwilio o bandemig COVID-19 a pha un a oes arferion arloesol y gallem eu mabwysiadu yn y dyfodol i wella'r broses honno.

## Barn archwilio arfaethedig

- 11 Rydym yn bwriadu cyhoeddi barn archwilio ddiamod ar gyfrifon eleni ar ôl i chi roi Llythyr Cynrychiolaeth i ni yn seiliedig ar yr hyn a nodir **yn Atodiad 1**.
- 12 Rydym yn cyhoeddi barn archwilio 'amodol' pan fo gennym bryderon perthnasol ynghylch rhai agweddau ar eich cyfrifon; fel arall rydym yn cyhoeddi barn ddiamod.
- 13 Mae'r Llythyr Cynrychiolaeth yn cynnwys rhywfaint o dystiolaeth y mae'n ofynnol i ni ei chael gennych yn unol â safonau archwilio.
- 14 Nodir ein hadroddiad archwilio arfaethedig yn **Atodiad 2**.

## Materion arwyddocaol yn deillio o'r archwiliad

### Camddatganiadau heb eu cywiro

15 Nid oes unrhyw gamddatganiadau wedi'u nodi yn y cyfrifon, sy'n dal heb eu cywiro.

### Camddatganiadau wedi'u cywiro

16 Mae nifer o fân gamddatganiadau wedi'u cywiro gan y rheolwyr. Diwygiadau datgelu naratif oedd y rhain ac nid ydym o'r farn bod angen tynnu eich sylw atynt fel rhan o'ch cyfrifoldebau dros y broses adrodd ariannol.

## Materion arwyddocaol eraill sy'n codi o'r archwiliad

17 Yn ystod yr archwiliad, rydym yn ystyried nifer o faterion sy'n ymwneud â'r cyfrifon ac yn adrodd i chi am unrhyw faterion arwyddocaol sy'n codi. Ni chafwyd unrhyw faterion yn codi eleni.

# Atodiad 1

## Llythyr Cynrychiolaeth Terfynol

### Pennawd llythyr Gofal Cymdeithasol Cymru

Archwilydd Cyffredinol Cymru

Archwilio Cymru

24 Heol y Gadeirlan

Caerdydd

CF11 9LJ

xx xxxx 2021

## Sylwadau ynghylch datganiadau ariannol 2020-21

Darperir y llythyr hwn mewn cysylltiad â'ch archwiliad o'r datganiadau ariannol (gan gynnwys y rhan honno o'r Adroddiad Taliadau sy'n destun archwiliad) o Ofal Cymdeithasol Cymru ar gyfer y flwyddyn a ddaeth i ben 31 Mawrth 2021 er mwyn mynegi barn ar eu gwirionedd a'u tegwch, y modd y cawsant eu paratoi'n briodol a rheoleidd-dra incwm a gwariant].

Rydym yn cadarnhau, hyd eithaf ein gwybodaeth a'n cred, ar ôl gwneud ymholiadau yr ystyriwn yn ddigonol, y gallwn gyflwyno'r sylwadau canlynol i chi.

## Sylwadau rheoli

### Cyfrifoldebau

Fel Prif Weithredwr a Swyddog Cyfrifyddu rwyf wedi cyflawni fy nghyfrifoldeb am:

- baratoi'r datganiadau ariannol yn unol â gofynion deddfwriaethol a Llawlyfr Adroddiadau Ariannol y Trysorlys. Wrth baratoi'r datganiadau ariannol, mae'n ofynnol i mi:
  - gadw at y cyfarwyddiadau cyfrifon a gyhoeddir gan Weinidogion Cymru, gan gynnwys y gofynion cyfrifo a datgelu perthnasol a chymhwyso polisiau cyfrifo priodol yn gyson;
  - gwneud dyfarniadau ac amcangyfrifon ar sail resymol;
  - datgan a ddilynwyd a datgelwyd safonau cyfrifyddu cymwys ac esbonio unrhyw wriadau perthnasol oddi wrthynt; a'u
  - paratoi ar sail busnes gweithredol ar y rhagdybiaeth y bydd gwasanaethau Gofal Cymdeithasol Cymru yn parhau i weithredu.
- sicrhau rheoleidd-dra unrhyw wariant a thrafodion eraill a gafwyd; a
- cynllunio, gweithredu a chynnal rheolaeth fewnol er mwyn atal a chanfod gwallau.

## Gwybodaeth a ddarparwyd

Rydym wedi rhoi'r canlynol i chi:

- Mynediad llawn i:
  - yr holl wybodaeth yr ydym yn ymwybodol ohoni sy'n berthnasol i'r gwaith o baratoi'r datganiadau ariannol megis llyfrau cyfrif a dogfennau ategol, cofnodion cyfarfodydd a materion eraill;
  - gwybodaeth ychwanegol yr ydych wedi gofyn amdani gennym at ddibenion yr archwiliad; a
  - mynediad digyfngiad at staff yr oeddech yn gweld bod angen cael tystiolaeth archwilio ohonynt.
- Canlyniadau ein hasesiad o'r risg y gallai'r datganiadau ariannol gael eu cam-ddatgan yn sylweddol o ganlyniad i dwyll.
- Ein gwybodaeth am dwyll neu dwyll tybiedig yr ydym yn ymwybodol ohono ac sy'n effeithio ar Ofal Cymdeithasol Cymru ac sy'n cynnwys:
  - rheoli;
  - cyflogeion sydd â swyddogaethau sylweddol mewn rheolaeth fewnol; neu
  - eraill lle gallai'r twyll gael effaith sylweddol ar y datganiadau ariannol.
- Ein gwybodaeth am unrhyw honiadau o dwyll, neu dwyll tybiedig, sy'n effeithio ar y datganiadau ariannol a drosglwyddir gan gyflogeion, cyn-weithwyr, rheoleiddwyr neu eraill.
- Ein gwybodaeth am bob achos hysbys o ddiffyg cydymffurfio neu lle bo amheuaeth o ddiffyg cydymffurfio â chyfreithiau a rheoliadau y dylid ystyried eu heffeithiau wrth baratoi'r datganiadau ariannol.
- Hunaniaeth yr holl bartïon cysylltiedig a holl berthnasoedd a thrafodion partïon cysylltiedig yr ydym yn ymwybodol ohonynt.
- Ein gwybodaeth am bob achos posibl a gwirioneddol o drafodion afreolaidd.

## Sylwadau datganiad ariannol

Mae'r holl drafodion, asedau a rhwymedigaethau wedi'u cofnodi yn y cofnodion cyfrifyddu ac fe'u nodir yn y datganiadau ariannol.

Mae rhagdybiaethau sylweddol a ddefnyddir wrth wneud amcangyfrifon cyfrifyddu, gan gynnwys y rhai a fesurir ar werth teg, yn rhesymol.

Mae perthnasoedd a thrafodion partïon cysylltiedig wedi cael eu cyfrif a'u datgelu'n briodol.

Mae'r holl ddigwyddiadau sy'n digwydd yn dilyn y dyddiad adrodd y mae angen eu haddasu neu eu datgelu wedi'u haddasu neu wedi'u datgelu.

Mae'r holl ymglyfreitha a hawliadau gwirioneddol neu bosibl y dylid ystyried eu heffeithiau wrth baratoi'r datganiadau ariannol wedi'u datgelu i'r archwilydd a'u cyfrif a'u datgelu yn unol â'r fframwaith adrodd ariannol perthnasol.

Mae'r datganiadau ariannol yn rhydd o gamddatganiadau perthnasol, gan gynnwys hepgoriadau. Mae effeithiau camddatganiadau heb eu cywiro a nodwyd yn ystod yr archwiliad yn amherthnasol, yn unigol ac ar y cyfansymiau, i'r datganiadau ariannol yn eu cyfanrwydd.

## Sylwadau gan y Pwyllgor Archwilio a Risg

Rydym yn cydnabod bod y sylwadau a wnaed gan y rheolwyr, uchod, wedi'u trafod gyda ni.

Rydym yn cydnabod ein cyfrifoldeb dros baratoi datganiadau ariannol gwirioneddol a theg yn unol â'r fframwaith adrodd ariannol perthnasol. Cymeradwywyd y datganiadau ariannol gan y Bwrdd ar xx xxxx 2021

Rydym yn cadarnhau ein bod wedi cymryd yr holl gamau y dylem fod wedi'u cymryd er mwyn gwneud ein hunain yn ymwybodol o unrhyw wybodaeth archwilio berthnasol ac wedi sefydlu ei bod wedi'i chyfleu i chi. Rydym yn cadarnhau, hyd y gwyddom, nad oes unrhyw wybodaeth archwilio berthnasol nad ydych yn ymwybodol ohoni.

Llofnodwyd gan:

Llofnodwyd gan:

Prif Weithredwr

Cadeirydd y Pwyllgor Archwilio a Risg

Dyddiad:

Dyddiad:

# Atodiad 2

## Adroddiad archwilio arfaethedig

### Y Dystysgrif ac adroddiad archwilydd annibynnol Archwilydd Cyffredinol Cymru i'r Senedd

### Adroddiad ar yr archwiliad o'r datganiadau ariannol

#### Barn ar ddatganiadau ariannol

Tystiaf fy mod wedi archwilio datganiadau ariannol Gofal Cymdeithasol Cymru am y flwyddyn a ddaeth i ben 31 Mawrth 2021 o dan Ddeddf Rheoleiddio ac Arolygu Gofal Cymdeithasol (Cymru) 2016 a pharagraff 16 o Ran 6 o Atodlen 2. Mae'r rhain yn cynnwys y Datganiad o Wariant Net Cynhwysfawr, y Datganiad o'r Sefyllfa Ariannol, y Datganiad Llifau Arian Parod, y Datganiad o Newidiadau yn Ecwiti Trethdalwyr a nodiadau cysylltiedig, gan gynnwys crynodeb o bolisiau cyfrifyddu arwyddocaol. Paratowyd y datganiadau ariannol hyn o dan y polisiau cyfrifyddu a nodir ynddynt. Mae'r fframwaith adrodd ariannol sydd wedi'i gymhwyso wrth baratoi yn gyfraith berthnasol a safonau cyfrifyddu rhyngwladol fel y'u dehonglwyd a'u haddasu gan Lawlyfr Adroddiadau Ariannol Trysorlys EM.

Yn fy marn i, mae'r datganiadau ariannol:

- yn rhoi darlun cywir a theg o sefyllfa Gofal Cymdeithasol Cymru ar 31 Mawrth 2021 ac o'i wariant net ar gyfer y flwyddyn a ddaeth i ben bryd hynny;
- wedi'u paratoi'n briodol yn unol â safonau cyfrifyddu rhyngwladol fel y'u dehonglwyd a'u haddasu gan Lawlyfr Adroddiadau Ariannol Trysorlys EM; ac
- wedi'u paratoi'n briodol yn unol â chyfarwyddiadau Gweinidogion Cymru a gyhoeddwyd o dan Ddeddf Rheoleiddio ac Arolygu Gofal Cymdeithasol (Cymru) 2016 a pharagraff 16 o Ran 6 o Atodlen 2.

#### Barn ar reoleidd-dra

Yn fy marn i, ym mhob agwedd berthnasol, mae'r gwariant a'r incwm yn y datganiadau ariannol wedi'u cymhwyso at y dibenion a fwriadwyd gan y Senedd ac mae'r trafodion ariannol a gofnodir yn y datganiadau ariannol yn cydymffurfio â'r awdurdodau sy'n eu rheoli.

#### Sail barn

Cynhaliais fy archwiliad yn unol â'r gyfraith berthnasol a'r Safonau Rhyngwladol ar Archwilio yn y DU (ISAs (DU)) a Nodyn Ymarfer 10 'Archwilio Datganiadau Ariannol o Endidau'r Sector Cyhoeddus yn y Deyrnas Unedig'. Disgrifir fy nghyfrifoldebau o dan y safonau hynny ymhellach yng nghyfrifoldebau'r archwilydd dros archwilio adran datganiadau ariannol fy adroddiad. Rwy'n annibynnol ar y corff yn unol â'r gofynion

moesegol sy'n berthnasol i'm harchwiliad o'r datganiadau ariannol yn y DU gan gynnwys Safon Foesebol y Cyngor Adrodd Ariannol, ac rwyf wedi cyflawni fy nghyfrifoldebau moesegol eraill yn unol â'r gofynion hyn. Credaf fod y dystiolaeth archwilio a gafwyd gennyf yn ddigonol ac yn briodol i ddarparu sail ar gyfer fy marn.

## **Casgliadau sy'n ymwneud â busnes gweithredol**

Wrth archwilio'r datganiadau ariannol, rwyf wedi dod i'r casgliad bod y defnydd o'r sail busnes gweithredol o gyfrifyddu wrth baratoi'r datganiadau ariannol yn briodol.

Yn seiliedig ar y gwaith yr wyf wedi'i wneud, nid wyf wedi nodi unrhyw ansicrwydd perthnasol sy'n ymwneud â digwyddiadau neu amodau a allai, yn unigol neu ar y cyd, fwrw amheuaeth sylweddol ar allu'r corff i barhau i fabwysiadu'r sail busnes gweithredol o gyfrifyddu am gyfnod o ddeuddeg mis o leiaf o'r adeg yr awdurdodir y datganiadau ariannol i'w cyhoeddi.

Disgrifir fy nghyfrifoldebau a chyfrifoldebau'r Swyddog Cyfrifyddu mewn cysylltiad â busnes gweithredol yn adrannau perthnasol yr adroddiad hwn.

## **Gwybodaeth arall**

Nid yw deddfwriaeth a chyfarwyddiadau a roddir i Gofal Cymdeithasol Cymru yn nodi cynnwys a ffurf y wybodaeth arall sydd i'w chyflwyno gyda'r datganiadau ariannol. Y Swyddog Cyfrifyddu sy'n gyfrifol am y wybodaeth arall yn yr Adroddiad Blynyddol. Mae'r wybodaeth arall yn cynnwys y wybodaeth sydd wedi'i chynnwys yn yr Adroddiad Perfformiad a'r Adroddiad Atebolrwydd ar wahân i'r datganiadau ariannol ac adroddiad fy archwilydd ar hynny. Nid yw fy marn ar y datganiadau ariannol yn ymdrin â'r wybodaeth arall ac, ac eithrio i'r graddau a nodir yn benodol fel arall yn fy adroddiad, nid wyf yn mynegi unrhyw fath o gasgliad sicrwydd arno. Fy nghyfrifoldeb i yw darllen yr wybodaeth arall ac, wrth wneud hynny, ystyried a yw'r wybodaeth arall yn anghyson iawn â'r datganiadau ariannol neu'r wybodaeth a gafwyd yn ystod yr archwiliad, neu fel arall ei bod yn ymddangos ei bod wedi'i cham-ddatgan yn sylweddol. Os byddaf yn nodi anghysondebau perthnasol o'r fath neu gamddatganiadau perthnasol ymddangosiadol, mae'n ofynnol i mi benderfynu a yw hyn yn arwain at gamddatganiad perthnasol yn y datganiadau ariannol eu hunain. Os byddaf, ar sail y gwaith yr wyf wedi'i wneud, yn dod i'r casgliad bod y wybodaeth arall hon yn cael ei cham-ddatgan yn sylweddol, mae'n ofynnol imi adrodd y ffaith honno.

Nid oes gennyf ddim i'w adrodd yn hyn o beth.

## **Adroddiad ar ofynion eraill**

### **Barn ar faterion eraill**

Gan nad yw deddfwriaeth a chyfarwyddiadau a roddir i Gofal Cymdeithasol Cymru yn nodi cynnwys a ffurf y wybodaeth arall sydd i'w chyflwyno gyda'r datganiadau ariannol, ni



allaf gadarnhau bod yr Adroddiad Perfformiad a'r Adroddiad Atebolrwydd wedi'u paratoi'n briodol yn unol â'r canllawiau.

Yn fy marn i, yn seiliedig ar y gwaith a wnaed yn ystod fy archwiliad, mae'r wybodaeth a roddir yn yr Adroddiad Perfformiad a'r Adroddiad Atebolrwydd yn gyson â'r datganiadau ariannol.

Er nad oes unrhyw ofynion deddfwriaethol ar gyfer Adroddiad Taliadau, mae Gofal Cymdeithasol Cymru wedi paratoi adroddiad o'r fath ac, yn fy marn i, mae'r rhan honno y mae'n ofynnol ei harchwilio fel arfer wedi'i pharatoi'n briodol yn unol â Chanllawiau Trysorlys EM.

## **Materion yr adroddaf arnynt drwy eithriad**

Yng ngoleuni gwybodaeth a dealltwriaeth y corff a'i amgylchedd a gafwyd yn ystod yr archwiliad, nid wyf wedi nodi camddatganiadau perthnasol yn yr Adroddiad Perfformiad a'r Adroddiad Atebolrwydd.

Nid oes gennyf ddim i'w adrodd mewn cysylltiad â'r materion canlynol yr adroddaf i chi os, yn fy marn i:

- nid yw cofnodion cyfrifyddu digonol wedi'u cadw neu ni dderbyniwyd ffurflenni digonol ar gyfer fy archwiliad gan ganghennau nad yw fy nhîm wedi ymweld â hwy;
- nid yw'r datganiadau ariannol a'r rhan archwiliedig o'r Adroddiad taliadau yn cytuno â'r cofnodion a'r ffurflenni cyfrifyddu;
- ni ddatgelir gwybodaeth a bennir gan Weinidogion Cymru ynghylch tâl a thrafodion eraill; neu
- nid wyf wedi cael yr holl wybodaeth a'r esboniadau sydd eu hangen arnaf ar gyfer fy archwiliad.

## **Cyfrifoldebau**

### **Cyfrifoldebau'r Swyddog Cyfrifyddu ar gyfer y datganiadau ariannol**

Fel yr esboniwyd yn fanylach yn y Datganiad o Gyfrifoldebau'r Swyddog Cyfrifyddu, mae'r Swyddog Cyfrifyddu yn gyfrifol am baratoi'r datganiadau ariannol yn unol â Deddf Rheoleiddio ac Arolygu Gofal Cymdeithasol (Cymru) 2016 ac mae paragraff 16 o Ran 6 o Atodlen 2 a chyfarwyddiadau Gweinidogion Cymru a wneir o dan y Ddeddf honno, am fod yn fodlon eu bod yn rhoi darlun cywir a theg ac am unrhyw reolaeth fewnol y mae'r Swyddog Cyfrifyddu yn penderfynu ei bod yn angenrheidiol i alluogi paratoi datganiadau ariannol sy'n rhydd o gamddatganiad perthnasol, boed hynny oherwydd twyll neu wall.

Wrth baratoi'r datganiadau ariannol, mae'r Swyddog Cyfrifyddu yn gyfrifol am asesu gallu'r corff i barhau fel busnes gweithredol, gan ddatgelu fel y bo'n berthnasol, materion sy'n ymwneud â busnes gweithredol a defnyddio sail busnes gweithredol cyfrifyddu oni ystyrir ei fod yn amhriodol.

## Cyfrifoldebau'r Archwilydd dros archwilio'r datganiadau ariannol

Fy amcanion yw cael sicrwydd rhesymol ynghylch a yw'r datganiadau ariannol yn eu cyfanrwydd yn rhydd o gamddatganiad perthnasol, boed hynny oherwydd twyll neu gamgymeriad, ac i gyhoeddi adroddiad archwilydd sy'n cynnwys fy marn i. Mae sicrwydd rhesymol yn lefel uchel o sicrwydd ond nid yw'n warrant y bydd archwiliad a gynhelir yn unol ag ISAs (DU) bob amser yn canfod camddatganiad perthnasol pan fydd yn bodoli. Gall camddatganiadau godi o dwyll neu wallau ac fe'u hystyrir yn berthnasol os gellid disgwyl yn rhesymol iddynt, yn unigol neu ar y cyfansymiau, ddylanwadu ar benderfyniadau economaidd defnyddwyr a wneir ar sail y datganiadau ariannol hyn.

Achosion o beidio â chydymffurfio â chyfreithiau a rheoliadau yw afreoleidd-dra, gan gynnwys twyll. Rwy'n cynllunio gweithdrefnau yn unol â'm cyfrifoldebau, a amlinellir uchod, i ganfod camddatganiadau perthnasol mewn cysylltiad ag afreoleidd-dra, gan gynnwys twyll.

Roedd fy ngweithdrefnau'n cynnwys y canlynol:

- Holi'r rheolwyr a'r rhai sy'n gyfrifol am lywodraethu gan gynnwys cael ac adolygu dogfennau ategol sy'n ymwneud â pholisïau a gweithdrefnau Gofal Cymdeithasol Cymru sy'n ymwneud â:
  - nodi, gwerthuso a chydymffurfio â chyfreithiau a rheoliadau a pha un a oeddent yn ymwybodol o unrhyw achosion o beidio â chydymffurfio;
  - canfod ac ymateb i beryglon twyll a pha un a oes ganddynt wybodaeth am unrhyw dwyll gwirioneddol, tybiedig neu honedig; a
  - y rheolaethau mewnol a sefydlwyd i liniaru risgiau sy'n gysylltiedig â thwyll neu beidio â chydymffurfio â chyfreithiau a rheoliadau.
- Ystyried fel tîm archwilio sut a ble y gallai twyll ddigwydd yn y datganiadau ariannol ac unrhyw ddangosyddion twyll posibl. Fel rhan o'r drafodaeth hon, nodais botensial twyll yn y meysydd canlynol: cydnabod referniw, postio cylchgronau anarferol a rhagfarn wrth gyfrifo amcangyfrifon cyfrifyddu.
- Cael dealltwriaeth o fframwaith awdurdod Gofal Cymdeithasol Cymru yn ogystal â fframweithiau cyfreithiol a rheoliadol eraill y mae Gofal Cymdeithasol Cymru yn gweithredu ynddynt, gan ganolbwyntio ar y chyfreithiau a'r rheoliadau hynny a gafodd effaith uniongyrchol ar y datganiadau ariannol neu a gafodd effaith sylfaenol ar weithrediadau Gofal Cymdeithasol Cymru.

Yn ogystal â'r uchod, roedd fy ngweithdrefnau i ymateb i risgiau a nodwyd yn cynnwys y canlynol:

- adolygu datgeliadau'r datganiad ariannol a phrofi dogfennau ategol i asesu cydymffurfiaeth â'r chyfreithiau a'r rheoliadau perthnasol a drafodir uchod;
- holi'r rheolwyr a'r Pwyllgor Archwilio a Risg am ymgyfreitha a hawliadau gwirioneddol a phosibl;
- darllen cofnodion cyfarfodydd y rhai sy'n gyfrifol am lywodraethu a'r Bwrdd;
- wrth fynd i'r afael â'r risg o dwyll drwy ddiystyru rheolaethau gan reolwyr, profi priodoldeb cofnodion cyfnodolion ac addasiadau eraill; asesu a yw'r dyfarniadau a

wneir wrth lunio amcangyfrifon cyfrifyddu yn arwydd o duedd bosibl; a gwerthuso rhesymeg busnes unrhyw drafodion arwyddocaol sy'n anarferol neu y tu allan i'r cwrs busnes arferol.

Rwyf hefyd wedi cyfleu cyfreithiau a rheoliadau perthnasol a nodwyd a risgiau twyll posibl i bob tîm archwilio ac yn parhau i fod yn effro i unrhyw arwyddion o dwyll neu ddiffyg cydymffurfio â chyfreithiau a rheoliadau drwy gydol yr archwiliad.

Mae'r anhawster cynhenid i ganfod afreoleidd-dra, gan gynnwys twyll, yn effeithio ar y graddau y gall fy ngweithdrefnau ganfod afreoleidd-dra, effeithiolrwydd rheolaethau Gofal Cymdeithasol Cymru, a natur, amseriad a graddau'r gweithdrefnau archwilio a gyflawnir.

Ceir disgrifiad pellach o gyfrifoldebau'r archwilydd dros archwilio'r datganiadau ariannol ar wefan y Cyngor Adroddiadau Ariannol [www.frc.org.uk/auditorsresponsibilities](http://www.frc.org.uk/auditorsresponsibilities). Mae'r disgrifiad hwn yn rhan o adroddiad fy archwilydd.

## Cyfrifoldebau am reoleidd-dra

Mae'r Swyddog Cyfrifyddu yn gyfrifol am sicrhau rheoleidd-dra'r trafodion ariannol.

Rwy'n cael digon o dystiolaeth i roi sicrwydd rhesymol bod y gwariant a'r incwm wedi'u cymhwyso at y dibenion a fwriadwyd gan y Senedd a bod y trafodion ariannol yn cydymffurfio â'r awdurdodau sy'n eu rheoli.

## Adroddiad

Nid oes gennyf unrhyw sylwadau i'w gwneud ar y datganiadau ariannol hyn.

Adrian Crompton  
Archwilydd Cyffredinol Cymru  
22 Gorffennaf 2021

24 Heol y Gadeirlan  
Caerdydd  
CF11 9LJ

Cyfrifoldeb y Swyddog Cyfrifyddu yw cynnal a chadw a chywirdeb gwefan Gofal Cymdeithasol Cymru; nid yw'r gwaith a wneir gan archwilydd yn cynnwys ystyried y materion hyn ac felly nid yw archwilydd yn derbyn unrhyw gyfrifoldeb am unrhyw newidiadau a allai fod wedi digwydd i'r datganiadau ariannol ers iddynt gael eu cyflwyno ar y wefan ar y dechrau.

Mae Archwilydd Cyffredinol Cymru wedi ardystio ac adrodd ar y cyfrifon hyn yn y ffurf y cawsant eu drafftio'n wreiddiol. Cyfieithiad o'r fersiwn Saesneg gwreiddiol yw'r fersiwn hwn. Gofal Cymdeithasol Cymru sydd yn gyfrifol am gywirdeb y cyfieithiad, nid yr Archwilydd Cyffredinol.





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We welcome correspondence and telephone calls in Welsh and English.  
Rydym yn croesawu gohebiaeth a galwadau ffôn yn Gymraeg a Saesneg.



|  |  |                                       |   |                                     |                            |
|--|--|---------------------------------------|---|-------------------------------------|----------------------------|
| <b>CYFARFOD / MEETING</b>  | <b>Cyfarfod Bwrdd</b>  |                                       |   |                                     |                            |
|  | <b>PREIFAT / PRIVATE</b>   |                                       | <b>CYHOEDDUS / PUBLIC</b>                   |                                     |                            |
|  | <input type="checkbox"/>   |                                       | <input checked="" type="checkbox"/>         |                                     |                            |
| <b>DYDDIAD / DATE</b>  | <b>15.07.21</b>  |                                       |   |                                     |                            |
| <b>EITEM AGENDA AGENDA ITEM</b>  | <b>8</b>   |                                       |   |                                     |                            |
| <b>TEITL / TITLE SCW/21/20</b>   | <b>Adroddiad Sicrwydd Blynyddol Cadeirydd y Pwyllgor Archwilio a Sicrwydd Risg i'r Bwrdd</b>   |                                       |   |                                     |                            |
| <b>AWDUR / AUTHOR</b>  | Rhian Watcyn Jones<br>Cadeirydd Pwyllgor Archwilio a Risg  |                                       |   |                                     |                            |
| <b>CYFRANIADAU GAN/ CONTRIBUTIONS FROM:</b>  | Aelodau'r Pwyllgor Archwilio   |                                       |   |                                     |                            |
| <b>PAPURAU CEFNOGOL / SUPPORTING PAPERS</b>  | Atodiad 1: Rhaglen waith y Pwyllgor 2020/21<br>Atodiad 2: Adroddiad Blynyddol Archwilio Mewnol 2020/21   |                                       |   |                                     |                            |
| <b>GWEITHGAREDD CYNLLUN BUSNES / BUSINESS PLAN ACTIVITY</b>                          | Thema flaenoriaeth 4: ar gyfer gweithlu Gofal Cymdeithasol Cymru a sefydliad effeithiol  |                                       |   |                                     |                            |
| <b>GWEITHRED / ACTION REQUIRED</b>   | <b>CYMERADWYA ETH / APPROVAL</b>   | <b>DARPARU LLYW / PROVIDE A STEER</b> | <b>DARPARU SICRWYDD / PROVIDE ASSURANCE</b> | <b>TRAFODAETH / DISCUSSION</b>      | <b>CRAFFU / SCRUTINISE</b> |
|  | <input checked="" type="checkbox"/>  | <input type="checkbox"/>              | <input type="checkbox"/>                    | <input checked="" type="checkbox"/> | <input type="checkbox"/>   |
| <b>ARGYMHELLIAD / RECOMMENDATION</b>   | Gwahoddir aelodau i <b>drafod a chymeradwyo</b> yr Adroddiad Sicrwydd Blynyddol Cadeirydd y Pwyllgor Archwilio a Risg i'r Bwrdd.   |                                       |   |                                     |                            |
| <b>PRIF BWYNTIAU; MATERION ALLWEDDOL I DYNNU SYLW ATYNT; CWESTIYNAU I'W YSTYRIED</b> | Trafodwyd Adroddiad Sicrwydd Blynyddol y Cadeirydd y Pwyllgor Archwilio a Risg i'r Bwrdd fel drafft yn y Pwyllgor Archwilio a Risg ym mis Mawrth 2021.<br><br>Yn unol â 'Rheoli Arian Cyhoeddus Cymru' <sup>1</sup> mae'n arfer da i'r Pwyllgor Archwilio a Risg 'gyngori corff llywodraethu sefydliad |                                       |   |                                     |                            |

<sup>1</sup> Rheoli Arian Cyhoeddus Cymru', Ionawr 2016, Llywodraeth Cymru

|  |  |
|--|--|
| <b>MAIN POINTS; KEY ISSUES TO DRAW TO ATTENTION; QUESTIONS TO CONSIDER</b> | <p>sector cyhoeddus ar ei benderfyniadau allweddol ar lywodraethu a rheoli cyfleoedd a risgiau'. Felly, mae'r adroddiad hwn gan Gadeirydd y Pwyllgor Archwilio a Risg yn rhoi'r trosolwg blynyddol i'r Bwrdd ar waith y Pwyllgor am y flwyddyn ac adolygiad o effeithiolrwydd.</p> <p>Mae'r adroddiad hwn yn darparu'r adolygiad hwnnw ar gyfer 2020/21 ac mae hefyd yn nodi meysydd ffocws penodol i'r Pwyllgor Archwilio a Risg yn 2021/22. Nodir hyn yn adran 11.3.</p> |
| <b>ASESIADAU EFFAITH / IMPACT ASSESSMENTS</b>                              |  |

**ADRODDIAD SICRWYDD PWYLLGOR ARCHWILIO A RISG BLYNYDDOL I'R BWRDD**

## **1. Pwrpas yr adroddiad a'r argymhelliad**

- 1.1 Dyma Adroddiad Sicrwydd y Cadeirydd Archwilio a Risg am y cyfnod 1 Ebrill 2020 i 31 Mawrth 2021. Mae'r adroddiad yn nodi'r gwaith Archwilio a Risg am y flwyddyn i gefnogi'r datganiad llywodraethu blynyddol ac yn llywio ein Cyfrifon Blynyddol Statudol ar gyfer 2020 / 21.
- 1.2 Trafododd y Pwyllgor Archwilio a Risg yr adroddiad sicrwydd yn ystod cyfarfod y Pwyllgor ym mis Mawrth. Gwahoddir aelodau i drafod a chymeradwyo'r Adroddiad Sicrwydd Blynyddol y Pwyllgor Archwilio a Risg i'r Bwrdd.

## **2. Crynodeb**

- 2.1 Mae'r ystod o weithgareddau'r Pwyllgor Archwilio a Risg a gynhaliwyd yn ystod 2020/21 wedi rhoi sicrwydd cadarnhaol ynghylch amgylchedd llywodraethu, rheoli risg a rheoli Gofal Cymdeithasol Cymru. Mae'n cefnogi'r Swyddog Cyfrifyddu i lofnodi datganiad llywodraethu blynyddol boddhaol ar gyfer y flwyddyn.
- 2.2 Nod yr adroddiad i'r Bwrdd hefyd yw dangos rôl y Pwyllgor wrth sefydlu'r trefniadau llywodraethu angenrheidiol i gefnogi sefydlu a gweithrediadau busnes y sefydliad.

## **3. Cyd-destun**

- 3.1 Fel Cadeirydd y Pwyllgor Archwilio a Risg mae'n bwysig bod fy adroddiad yn cael ei osod a'i ddarllen yng nghyd-destun COVID-19. Nid yw cyflymder a maint yr ymateb oedd ei angen yn rhywbeth yr ydym wedi'i brofi o'r blaen. Mewn llythyr Annwyl Swyddog Cyfrifyddu (DAO) 01/20 mewn perthynas â COVID-19: Llywodraethu, Rheoli Risg a Gwneud Penderfyniadau, gwnaeth yr Ysgrifennydd Parhaol yn glir y gallai fod angen i ni (gwasanaethau cyhoeddus Cymru) gynyddu ein chwant risg, mewn dewis dethol a ffordd reoledig, er mwyn cyflwyno ymateb ar gyflymder ac i'r raddfa sy'n ofynnol.
- 3.2 Fel y nododd llythyr DAO, "Mae angen inni weithio mewn ffordd ystwyth. Mae hyn yn allweddol er mwyn i benderfyniadau gael eu gwneud ar gyflymder. Fodd bynnag, mae llywodraethu da ar yr adeg hon hefyd yn hanfodol i sicrhau bod y penderfyniadau sy'n cael eu gwneud yn rhai da, a'r rhai cywir. Pan fydd yr argyfwng hwn drosodd, heb os, bydd nifer o ymholiadau i wneud penderfyniadau dros yr amser hwn."
- 3.3 Fel y Pwyllgor Archwilio a Risg, ochr yn ochr â'r Bwrdd, mae'n bwysig ein bod yn parhau i dderbyn sicrwydd bod mesurau diogelwch cymesur ar waith i sicrhau bod rheoleidd-dra, priodoldeb, dichonoldeb a gwerth am arian wrth ddefnyddio arian cyhoeddus. Er ein bod hefyd yn cydnabod yr angen dybryd yw i ni ymateb yn gyflym gyda set briodol o fesurau cymorth i roi'r cymorth sydd ei angen arnynt i'n staff a'n sectorau yr ydym yn eu cefnogi. Os methwn



â gwneud hynny, mae risg sylweddol y gallai cefnogaeth ddod yn rhy hwyr i lawer.

- 3.4 Mae'n bwysig nodi hefyd bod y sefydliad wedi addasu i weithio gartref trwy gydol 2020-21 i fodloni a chyflawni ei waith yn unol â'n gofynion fframwaith llywodraethu enghreifftiol. Gellir dod o hyd i ragor o fanylion am hyn ym mhapurau'r Bwrdd ym mis Ebrill 2020 ac [lonawr 2021](#).

#### **4. Crynodeb**

- 4.1 Mae'r ystod o weithgareddau Pwyllgor Archwilio a Risg a gynhaliwyd yn ystod 2020/21 wedi rhoi sicrwydd cadarnhaol ynghylch amgylchedd llywodraethu, rheoli risg a rheoli Gofal Cymdeithasol Cymru. Mae'n cefnogi'r Swyddog Cyfrifyddu i lofnodi datganiad llywodraethu blynyddol boddhaol ar gyfer y flwyddyn.
- 4.2 Nod yr adroddiad i'r Bwrdd hefyd yw dangos rôl y Pwyllgor wrth gynnal, adolygu a datblygu'r trefniadau llywodraethu angenrheidiol i gefnogi'r sefydliad.

#### **5. Trefniadau'r Pwyllgor Archwilio a Risg**

##### **Rôl a chylch gwaith**

- 5.1 Yn unol â'r Fframwaith Llywodraethu Enghreifftiol rhaid i'r Bwrdd sicrhau bod trefniadau effeithiol ar waith i roi sicrwydd ar reoli risg, llywodraethu a rheolaeth fewnol. Rhaid sefydlu Pwyllgor Archwilio dan gadeiryddiaeth aelod anweithredol (ond nid y Cadeirydd neu'r Trysorydd) a dylai o leiaf un o aelodau'r Pwyllgor fod â phrofiad ariannol diweddar a pherthnasol i roi cyngor annibynnol iddo. Disgwylir i'r Bwrdd sicrhau ei hun o effeithiolrwydd y systemau rheolaeth fewnol a rheoli risg.
- 5.2 Mae'r Pwyllgor Archwilio a Risg hefyd yn cynghori'r Swyddog Cyfrifyddu ar ddigonolrwydd y trefniadau o fewn Gofal Cymdeithasol Cymru ar gyfer materion archwilio mewnol, archwilio allanol a llywodraethu corfforaethol.
- 5.3 Cyfarfu'r Pwyllgor Archwilio a Risg 4 gwaith y flwyddyn i adlewyrchu:
- gofynion craffu mewn perthynas â llofnodi'r dogfennau llywodraethu corfforaethol a'r Cyfrifon Blynyddol Statudol ar gyfer Gofal Cymdeithasol Cymru
  - y ffocws ar fonitro a chynnal rheolaeth risg ddigonol, llywodraethu a rheolaethau mewnol i gefnogi ein cydymffuriad â deddfwriaeth, achrediadau ac arfer da
  - monitro a chraffu ar ein cofrestr risg strategol
  - datblygu a diwygio polisiau i gefnogi rheolaeth a llywodraethu mewnol effeithiol

- adeiladu ar effeithiolrwydd rheolaethau mewnol trwy adolygiadau archwilio mewnol ac adroddiadau ymgynghorol
- cwmpasu ac archwilio cyfleoedd ar gyfer blynyddoedd cynnar a rheoleiddio gofal plant
- penodi Cyfarwyddwr Cyllid, Strategaeth a Gwasanaethau Corfforaethol newydd
- effaith ein swyddogaeth rheoli grantiau mewn perthynas â darparu grant Datblygu Gweithlu Gofal Cymdeithasol Cymru i'r sector
- y camau a gymerwyd i liniaru risgiau ariannol ac enw da mewn perthynas â mater staffio penodol
- diweddariadau ar y rhaglen bontio Blynyddoedd Cynnar a Gofal Plant. Yn ystod y flwyddyn, mewn ymateb i COVID-19, cytunodd Llywodraeth Cymru y dylid seibio'r rhaglen hon. Roedd hyn er mwyn adlewyrchu'r effaith y mae COVID-19 yn ei chael ar y gweithlu blynyddoedd cynnar a gofal plant a'n ffocws ar gefnogi adferiad y sector hwn. Bydd Llywodraeth Cymru yn ailystyried yn 2021/22. Wrth ailgychwyn y rhaglen waith hon bydd y rhaglen drosglwyddo yn parhau i adrodd i'r Pwyllgor Archwilio a Risg ar ei hynt.
- adolygu effeithiolrwydd y Pwyllgor a blaengynllunio ar gyfer materion i'w craffu yn y Pwyllgor Archwilio a Risg i gefnogi cyflawni'r cynllun busnes. Er enghraifft, y dull o reoli risg yn y dyfodol, Fframwaith Sicrwydd y Bwrdd ac ati
- COVID-19: ein dysgu hyd yn hyn
- gweithredu'r trefniadau llywodraethu diwygiedig yn dilyn cymeradwyaeth y Bwrdd ym mis Gorffennaf 2020.

5.4 Yn ogystal â'r aelodau anweithredol, roedd y mynychwyr yn cynnwys y Tîm Rheoli Gweithredol, swyddogion eraill Gofal Cymdeithasol Cymru, Archwilwyr Mewnol, Archwilwyr Allanol, ac aelod annibynnol o'r Pwyllgor.

### Presenoldeb blynyddol

5.5 Roedd presenoldeb Aelodau anweithredol fel a ganlyn:

| Enw  | Presenoldeb |
|--|-------------|
| Rhian Watcyn Jones<br>(Cadeirydd y Pwyllgor)   | 4 allan o 4 |
| Emma Britton<br>(Dirprwy Gadeirydd y Pwyllgor)   | 4 allan o 4 |
| Kate Hawkins   | 4 allan o 4 |
| Carl Cooper  | 4 allan o 4 |
| Trystan Pritchard  | 4 allan o 4 |
| Daxa Varsani (Aelod annibynnol)  | 4 allan o 4 |
| Mick Giannasi (aelod ex-officio)<br>Cadeirydd Bwrdd  | 3 allan o 4 |
| Yn dilyn cytundeb yng nghyfarfod y Bwrdd ym mis Gorffennaf daeth y canlynol yn Aelodau o'r Pwyllgor Archwilio a Risg |             |
| Abigail Harris   | 2 allan o 3 |
| Damian Bridgeman   | 2 allan o 3 |

|                |             |
|----------------|-------------|
| Grace Quantock | 2 allan o 3 |
| Peter Max      | 3 allan o 3 |

- 5.6 Mae pob Aelod o'r Pwyllgor Archwilio a Risg yn cwblhau datganiad buddiannau blynyddol. Defnyddir y wybodaeth i lunio'r Gofrestr Buddiannau sydd ar gael i'w hadolygu ar ein [gwefan](#). Yn ogystal, mae'r eitem gyntaf ar gyfer unrhyw gyfarfod o'r Pwyllgor Archwilio a Risg yn caniatáu ar gyfer datgan unrhyw fuddiant sy'n benodol i'r eitemau ar yr agenda ar gyfer y cyfarfod hwnnw.

### Sefydlu, hyfforddi a datblygu

- 5.7 Derbyniodd pob Aelod newydd o'r Bwrdd a ymunodd â'r Pwyllgor Archwilio a Risg ym mis Medi ymsefydlu bach yng ngwaith y Pwyllgor gennyf i a swyddogion arweiniol.
- 5.8 Ers i ni fod yn gweithio'n rhithiol mae'r Bwrdd cyfan wedi cyfarfod yn rheolaidd fel rhan o weithdai datblygu'r Bwrdd. Mae nifer o'r rhain a gynhaliwyd yn 2020/21 yn ymwneud â materion sy'n cael eu trafod yn fanylach gan y Pwyllgor Archwilio a Risg. Yn ystod 2020/21 mae'r rhain wedi cynnwys:

| Sesiwn datblygu bwrdd wedi'i chynnal yn | Pwnc datblygu bwrdd   |
|---|---|
| Medi                                    | Ymwybyddiaeth ariannol: gan gynnwys paratoi ein Cyfrifon Blynyddol; risgiau sy'n gysylltiedig â'n cyllideb ar gyfer y dyfodol |
| Hydref                                  | Datblygu Fframwaith Sicrwydd Bwrdd  |
| Tachwedd                                | Cynllunio Ariannol Strategol  |
| Rhagfyr                                 | Cynllunio strategol a busnes  |
| Ionawr                                  | Rheoli Risg Strategol   |
| Chwefror                                | Ymgynghoriad Llywodraeth Cymru 'Gwella trefniadau gofal cymdeithasol a gweithio mewn partneriaeth'                            |

- 5.9 Fel rhan o'n datblygiad Aelod o'r Bwrdd mae holl Aelodau'r Bwrdd yn cwrdd â Chadeirydd y Bwrdd ddwywaith yn ystod y flwyddyn i asesu anghenion hyfforddi.

## 6. Cyfrifon Statudol a'r Datganiad Llywodraethu Blynyddol ar gyfer 2020/21

- 6.1 Bydd y Cyfrifon Blynyddol ar gyfer 2020/21 yn cael eu paratoi o dan Safonau Adrodd Ariannol Rhyngwladol (IFRS) ac yn cael eu harchwilio yn unol â strategaeth archwilio 'Archwilio Cymru'. Bydd y Cyfrifon Blynyddol Statudol drafft yn cael eu trafod i'w cymeradwyo'n ffurfiol gan Fwrdd Gofal Cymdeithasol Cymru ym mis Gorffennaf 2021.
- 6.2 Bydd y datganiad llywodraethu drafft yn cael ei drafod a'i ystyried gan y Pwyllgor Archwilio a Risg yn ystod cyfarfod y Pwyllgor ym mis Mawrth. Bydd hyn yn rhan o Gyfrifon Blynyddol Statudol 2020/21 drafft.

## 7. Cyfarfodydd a busnes y Pwyllgor a'i effeithiolrwydd

- 7.1 Mae Cadeirydd y Pwyllgor Archwilio a Risg yn cytuno ar yr agenda ar gyfer trafod eitemau cyn eu hanfon at aelodau'r Pwyllgor a mynychwyr.
- 7.2 Mae'r rhaglen waith flynyddol o eitemau a drafodwyd yn y Pwyllgor Archwilio a Risg yn ystod 2020/21 ynghlwm yn Atodiad 1. Ym mhob cyfarfod derbyniodd y Pwyllgor nifer o eitemau sefydlog a oedd yn cynnwys:

- **Adroddiadau cydymffurfio:** yn rhoi trosolwg i aelodau o sicrwydd mewn perthynas â chaffael; rheoli Asedau; rhoddion a lletygarwch; llwgrwobrwyo, twyll a cholledion; Llythyrau Prif Swyddog Gweithredol a DAO; datganiadau buddiannau; Llywodraethu gwybodaeth; cwynion; torri diogelwch; cydymffurfiad â threfniadau hygyrchedd gwefan; adroddiadau ar chwythu'r chwiban fel person rhagnodedig; cydymffurfio â Safonau Iaith Cymraeg.
- **Cofrestr Risg Strategol:** yn rhoi i'r aelodau y risgiau sefydliadol allweddol sy'n wynebu cyflawni ein Cynllun Busnes a chyfleoedd i drafod risgiau strategol ychwanegol sy'n wynebu'r sefydliad ac adolygiad o'r polisi rheoli risg.
- **Cofrestr risg COVID-19:** roedd gan ddau gyfarfod cyntaf y Pwyllgor eitem sefydlog yn ymwneud â chofrestr risg COVID-19. Yna cafodd hyn ei 'amsugno' i'r Gofrestr Risg Strategol fel rhan o weithio a rheoli ein risgiau strategol o fewn amgylchedd COVID-19.
- **Blaen-gynllun y Pwyllgor:** yn rhoi golwg ymlaen i Aelodau'r Pwyllgor ar eitemau ar yr agenda i Bwyllgorau'r dyfodol nodi a oes materion eraill y dylid eu cynnwys i'w trafod, gwaith manwl pellach a / neu fonitro cynnydd ar argymhellion Archwilio Mewnol.
- **Effeithiolrwydd pwyllgorau:** ar ddiwedd pob cyfarfod Pwyllgor gofynnir i bob aelod ystyried ei effeithiolrwydd. Gall yr adborth hwn gynnwys:
  - eglurder ac ansawdd papurau
  - rhwyddineb ac amseroldeb cyrchu papurau
  - a oedd yr amseriadau a roddwyd ar gyfer pob eitem yn ddigonol
  - a oedd yr aelodau'n teimlo bod ganddyn nhw gyfle digonol i rannu eu barn.

Defnyddir yr holl adborth a dderbynnir i wella cyfarfodydd yn y dyfodol yn barhaus.

- 7.3 Fel rhan o werthuso effeithiolrwydd, cynhaliodd y Pwyllgor Archwilio a Risg adolygiad effeithiolrwydd. Trafododd y Pwyllgor ganfyddiadau effeithiolrwydd y Pwyllgor ym mis Mawrth 2021. Cwblhaodd wyth o'r 10 aelod o'r Pwyllgor yr arolwg.
- 7.4 Yn gyffredinol, atebodd mwyafrif y rhai a ymatebodd yn gadarnhaol i'r cwestiynau gyda naill ai'n cytuno neu'n cytuno'n gryf. Wrth gymharu â chanlyniadau'r llynedd, mae'r atebion yn debyg ar y cyfan.
- 7.5 Un maes a ddaeth drwodd o ganlyniadau arolwg 2021 yw maint y Pwyllgor yn dilyn ychwanegu Aelodau newydd y Bwrdd yn ddiweddar at aelodaeth y Pwyllgor. Byddaf yn parhau i fonitro maint y Pwyllgor wrth gydnabod, pe bai'r

Dirprwy Weinidog yn cytuno ar gynigion ar gyfer aelodaeth o'r Bwrdd yn y dyfodol, bydd dau aelod profiadol iawn o'r Pwyllgor Archwilio a Risg yn gadael ddiwedd mis Mawrth 2022.

## 8. Sicrwydd Archwilio Mewnol ac Allanol

### Sicrwydd mewnol

- 8.1 Derbyniodd y Pwyllgor Archwilio a Risg adroddiadau rheolaidd gan archwilwyr mewnol ac allanol. Cynlluniwyd gwaith Deloitte fel ein harchwilwyr mewnol yn ystod y flwyddyn ar sail risg ac mae wedi cael ei ddiwygio fel a phryd yn unol â hynny, trwy drafodaethau yn y Pwyllgor.
- 8.2 Rhoddodd yr adroddiadau archwilio mewnol y sicrwydd canlynol i'r Pwyllgor:





| Ardal waith  | Lefel o sicrwydd  |
|--|---|
| Systemau ariannol (2019/20):<br>o Cynllunio ariannol a rheolaeth gyllidebol<br>o Refeniw a symiau derbyniadwy<br>o Gyflogres<br>o Tendo a chaffael | Sicrwydd sylweddol<br>Sicrwydd sylweddol<br>Sicrwydd cymedrol<br>Sicrwydd sylweddol |
| Rheoli grantiau  | Sicrwydd sylweddol  |
| Llywodraethu Corfforaethol<br>Rheoli risg  | Sicrwydd sylweddol<br>Sicrwydd cymedrol   |
| AD   | Sicrwydd cymedrol   |
| Safonau iaith Cymraeg  | Sicrwydd cymedrol   |
| Ardystiad prentisiaeth   | Sicrwydd sylweddol  |
| Rheoliad y Gweithlu (gwrandawiadau o bell)   | Sicrwydd cymedrol   |
| Rheoliad y Gweithlu - Ceisiadau i gofrestru  | Sicrwydd sylweddol  |

- 8.3 Mae'r tabl isod yn rhoi trosolwg o'r sgoriau sicrwydd a ddarperir gan archwilio mewnol:

## Appendix A – Reporting Definitions

### Audit Assurance

We have four categories by which we classify internal audit assurance over the systems we examine: Substantial, Moderate, Limited or Unsatisfactory which are defined as follows:

| Assurance level   | Definitions for Annual and Engagement assurance level  | Factors influencing choice of assurance level   |
|---|--|---|
| <br>Substantial    | There is a reasonable framework of governance, risk management and control which should ensure that objectives are achieved.                                   |   |
| <br>Moderate       | Some improvements are required to enhance the adequacy and effectiveness of the framework of governance, risk management and control.                          | <ul style="list-style-type: none"><li>• Adequacy and effectiveness of the governance, risk management and control framework;</li><li>• Impact of any weakness on delivery of objectives;</li><li>• Extent of risk exposure;</li></ul>                                 |
| <br>Limited        | There are significant weaknesses in the framework of governance, risk management and control such that it could be or could become inadequate and ineffective. | <ul style="list-style-type: none"><li>• Materiality: by value to the entity, by value in the engagement context and by nature (e.g. irregularity and reputational risk); and</li><li>• We may also take account of management responses to recommendations.</li></ul> |
| <br>Unsatisfactory | There are fundamental weaknesses in the framework of governance, risk management and control such that it is inadequate and ineffective or is likely to fail.  |   |

The assurance gradings provided here are not comparable with the International Standard on Assurance Engagements (ISAE 3000) issued by the International Audit and Assurance Standards Board.

#### 8.4 At ei gilydd, mae'r adroddiadau hyn a'r gwaith a wnaed yn galluogi'r Pwyllgor Archwilio a Risg i roi sicrwydd am yr amgylchedd rheoli ar gyfer 2020/21.

- mae'r Datganiad Llywodraethu yn gyson â barn y Pwyllgor Archwilio a Risg
- mae'r system rheoli risg yn ddigonol wrth nodi risgiau a chaniatáu i'r Pwyllgor Archwilio a Risg ddeall rheolaeth briodol y risgiau hyn
- ar ansawdd yr Archwiliad Mewnol ac Allanol, eu hymagwedd tuag at gyflawni eu priod gyfrifoldebau, a'r ddibyniaeth y gellir ei rhoi ar eu gwaith
- aethpwyd i'r afael â meysydd i'w gwella a nodwyd fel rhan o Archwiliad Mewnol 2020/21. Cafwyd nifer o gamau gan Archwilio Mewnol a fydd yn cael eu dwyn ymlaen i 2021/22. Mae'r rhain yn cynnwys gweithredoedd sy'n ymwneud â:
  - systemau cyllid
  - Proses Datblygu Perfformiad AD (PDP)
  - AD: dechreuwyr newydd, ymadawyr a'r broses sefydlu
  - Rheoli grantiau
  - Rheoli Risg

Bydd y Pwyllgor Archwilio a Risg yn craffu ar gynnydd ar y camau hyn ac yn craffu arno fel rhan o'u goruchwyliaeth trwy'r adroddiad Cydymffurfiaeth.

## **Sicrwydd allanol**

- 8.5 Mae'r Archwilwyr Allanol yn ystyried yr asesiadau o Archwilio Mewnol.
- 8.6 Mae gan Archwilwyr Mewnol ac Allanol yr hawl, os ystyrir ei bod yn briodol, i godi unrhyw fater trwy bolisi mynediad agored i'r Cadeirydd a thrwy'r hawl honno i ddwyn unrhyw fater i sylw'r Pwyllgor. Sicrhaodd y Pwyllgor, trwy adolygu rhaglenni'r Archwilwyr Allanol a'r Archwilwyr Mewnol, eu bod yn cydweithredu'n effeithiol â'i gilydd. Mae ansawdd y gwaith archwilio ac ansawdd y Pwyllgor wedi'i werthuso yn ystod y flwyddyn trwy ystyried yr adroddiadau archwilio a'r argymhellion a deialog mewn cyfarfodydd rhwng Aelodau'r Pwyllgor a'r Archwilwyr.

## **9. Contract Archwilio Mewnol**

- 9.1 Rôl archwilio mewnol yw rhoi sicrwydd annibynnol a gwrthrychol i'r Swyddog Cyfrifyddu ar reoli risg, rheoli a llywodraethu. Mae'r sicrwydd a roddir gan archwilio mewnol yn elfen allweddol o'r fframwaith sicrwydd, y mae angen i'r Swyddog Cyfrifyddu lywio'r broses o gwblhau'r Datganiad Llywodraethu blynyddol. Penodwyd Deloitte LLP yn ddarparwr archwilio mewnol Gofal Cymdeithasol Cymru Mawrth 2017, ar contract 3 + 2 flynedd. Yng nghyfarfod y Pwyllgor Archwilio a Risg ym mis Chwefror 2020, penderfynodd y Pwyllgor ddeddfu opsiwn +2 y contract gyda Deloitte ar 31 Mawrth 2020 hyd at 31 Mawrth 2022, ac y dylid ailbrofi'r farchnad yn yr ail flwyddyn.

## **10. Monitro cynnydd**

- 10.1 Mae cynnydd yn erbyn gweithredu'r argymhellion archwilio mewnol yn cael ei ystyried ym mhob cyfarfod o'r Pwyllgor Archwilio a Risg fel rhan o'r adroddiad cydymffurfio.

## **11. Pwyllgor Archwilio a Risg Gofal Cymdeithasol Cymru ar gyfer 2021/22**

- 11.1 Mae Pwyllgor Archwilio a Risg Gofal Cymdeithasol Cymru wedi bod ar waith o fis Mehefin 2017 i gefnogi llywodraethu, rheoli risg a rheolaethau mewnol Gofal Cymdeithasol Cymru. Cafodd cylch gorchwyl y Pwyllgor ei adolygu a'i ddiweddarau gan y Bwrdd ym mis Gorffennaf 2020. Bydd adolygiad pellach o'r cylch gorchwyl yn rhan o'r trafodaethau mewn perthynas ag effeithiolrwydd Pwyllgorau.
- 11.2 Er mwyn cefnogi datblygiad y Pwyllgor Archwilio a Risg, ystyriodd holl aelodau'r Pwyllgor y canlynol:
1. Beth yw cyflawniadau allweddol y Pwyllgor a pham?
  2. Beth sydd wedi gweithio'n dda a beth ellid ei wella?
  3. Yn unol â Chynllun Busnes drafft 2021/22, dysgu gan Bwyllgor y flwyddyn gyfredol a dysgu ar ein ffordd o weithio (o bell a bron) a oes meysydd

penodol i'r Pwyllgor eu hystyried fel rhan o'u rhaglen waith ar gyfer 2021 / 22?

11.3 Yn dilyn y trafodaethau, nododd y Pwyllgor y meysydd canlynol sy'n llywio rhaglen waith y Pwyllgor yn y dyfodol yn 2021/22:

- **Polisi rheoli risg:** yn dilyn trafodaethau gyda'r Bwrdd, yng ngweithdai datblygu'r Bwrdd, bydd y polisi Rheoli Risg drafft yn cael ei drafod i'w gymeradwyo yng nghyfarfod y Pwyllgor Archwilio a Risg ym mis Mehefin. Yn dilyn cymeradwyaeth bydd gan y Pwyllgor oruchwyliaeth ar sut mae'r polisi'n cael ei ymgorffori yn ymarferol ynghyd â chymeradwyo'r Gofrestr Risg Strategol newydd yn unol â'r polisi newydd.
- **Fframwaith Sicrwydd y Bwrdd:** mae'r gwaith hwn yn gysylltiedig â'r trafodaethau yn y Pwyllgor Archwilio a Risg ar ein dull sicrhau a rheoli risg. Yn ystod 2021/22 bydd Fframwaith Sicrwydd y Bwrdd yn cael ei ddatblygu.
- **Llywodraethu System Rheoli Diogelwch Gwybodaeth** a Derbynneg ISO 27001
- **Seiberddiogelwch** a gwytnwch
- **Rhaglen drosglwyddo blynyddoedd cynnar a gofal plant:** yn dibynnu ar drafodaethau gyda Llywodraeth Cymru.
- Dilyn i fyny ar **argymhellion archwilio mewnol**

## 12. Goblygiadau Risg

12.1 Bydd yr adroddiad hwn yn rhoi sicrwydd ar y datganiad llywodraethu blynyddol ac yn lleihau'r risg na all y Cyfrifon Blynyddol Statudol gael eu cymeradwyo yn unol â'r amserlen a gynlluniwyd gan y Swyddog Cyfrifyddu.

## 13. Goblygiadau Adnoddau

13.1 Mae'r archwiliad o'r Cyfrifon Blynyddol wedi'i gynllunio a'i drefnu. Nid oes unrhyw oblygiadau adnoddau ychwanegol.

## 14. Crynodeb a Chasgliad

14.1 Mae'r sicrwydd cadarnhaol a roddir gan holl weithgaredd y Pwyllgor yn cefnogi'r Swyddog Cyfrifyddu i lofnodi datganiad llywodraethu blynyddol boddhaol a'r Cyfrifon Blynyddol Statudol.

**Pwyllgor Archwilio a Risg: rhaglen waith 2020/21**



## 25 Mehefin 2020

- Cyfrifon Blynyddol Archwiliedig Drafft (gan gynnwys Datganiad Llywodraethu a Sylwebaeth Perfformiad) ac Adroddiad Archwilio Datganiadau Ariannol (Adroddiad ISA260)
- Ymateb drafft i ymholiadau archwilio 'Wales Wales' i'r rhai sy'n gyfrifol am lythyr llywodraethu
- Adroddiadau Archwilio Mewnol:

| Ardal gwaith  | Lefel o sicrwydd  |
|---|---|
| Systemau ariannol (2019/20): <ul style="list-style-type: none"><li>○ Cynllunio ariannol a rheolaeth gyllidebol</li><li>○ Refeniw a symiau derbyniadwy</li><li>○ Gyflogres</li><li>○ o Tendro a chaffael</li></ul> | Sicrwydd sylweddol<br>Sicrwydd sylweddol<br>Sicrwydd cymedrol<br>Sicrwydd sylweddol |
| Rheoli grantiau   | Sicrwydd sylweddol  |

- Adroddiad Cydymffurfiaeth: Chwefror 2020 - hyd ddiwedd Mai 2020
- Cofrestr Risg Strategol
- Cynllun Archwilio Mewnol Blynyddol 2020/21
- Gwaith rhaglen pontio blynyddoedd cynnar a gofal plant
- Blaengynllun y Pwyllgor
- Cyfarfod effeithiolrwydd

## 24 Medi 2020

- Cyfarwyddiadau Ariannol Sefydlog
- COVID-19 19: ein dysgu hyd yn hyn
- Adroddiad Cydymffurfiaeth: Mehefin 2020 - hyd ddiwedd Awst 2020
- Cofrestr Risg Strategol
- Blaengynllun y Pwyllgor
- Cyfarfod effeithiolrwydd

## 3 Rhagfyr 2020

- Adroddiadau Archwilio Mewnol

| Ardal gwaith                              | Lefel o sicrwydd                        |
|---|---|
| Llywodraethu Corfforaethol<br>Rheoli risg | Sicrwydd sylweddol<br>Sicrwydd cymedrol |
| AD  | Sicrwydd cymedrol                       |

- Adroddiad Cydymffurfiaeth: Medi 2020 - hyd ddiwedd Hydref 2020
- Cofrestr Risg Strategol

- Adroddiad monitro diwedd blwyddyn Rhaglen Datblygu'r Gweithlu Gofal Cymdeithasol Cymru (SCWWDP)
- Mater staffio: camau i'w cymryd i liniaru risgiau ariannol ac enw da
- Blaengynllun y Pwyllgor
- Cyfarfod effeithiolrwydd

## 11 Mawrth 2021

- Adroddiadau Archwilio Mewnol

| Ardal gwaith                                | Lefel o sicrwydd   |
|---|--------------------|
| Safonau iaith Cymraeg                       | Sicrwydd cymedrol  |
| Ardystiad prentisiaeth                      | Sicrwydd sylweddol |
| Rheoliad y Gweithlu (gwrandawiaidau o bell) | Sicrwydd cymedrol  |
| Rheoliad y Gweithlu - ceisiadau i gofrestru | Sicrwydd sylweddol |

- Dilyniant Archwiliad Mewnol ar argymhellion archwilio
- Systemau Rheoli Diogelwch Gwybodaeth (ISMS) ac adroddiad archwilio achredu ISO27001: 2013
- Archwiliad o adroddiad seiber gwydnwch Cymru
- Cynllun Archwilio Allanol 2020/21
- Datganiad Llywodraethu Drafft 2020/21
- Cadeirydd Drafft Adroddiad Sicrwydd Pwyllgor Archwilio a Risg i'r Bwrdd (2020/21)
- Adroddiad Cydymffurfiaeth: Tachwedd 2020 - hyd at Chwefror 2021
- Cofrestr Risg Strategol
- Adroddiad Effeithiolrwydd y Pwyllgor
- Blaengynllun y Pwyllgor
- Cyfarfod effeithiolrwydd



Social Care Wales  
Internal Audit Annual Report

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June 2021

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This report has been prepared on the basis of the limitations set out in Appendix C.

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# Executive Summary

## 1. Introduction

The purpose of this report is to present the results of the internal audits completed by Deloitte in our capacity as internal auditors during 2020/21. We have now completed the internal audit programme approved by the Audit and Risk Committee for 2020/21 covering the period 1 April 2020 – 31 March 2021 with the exception of the advisory review relating to CARREG.

The role of internal audit is to provide independent and objective assurance to the Accounting Officer on risk management, control and governance. The assurance given by internal audit is a key element of the framework of assurance, which the Accounting Officer needs to inform the completion of the annual Governance Statement. Assurance from internal audit can, however, only be reasonable in the sense that no opinion or assurance can ever be absolute and is by definition an extrapolation of the evidence available. The internal audit assurance does not supersede the Accounting Officer's personal responsibility for risk management, control and governance.

As required by the Public Sector Internal Audit Standards (PSIAS), we confirm our independence as internal auditors from Social Care Wales. We also confirm compliance with the requirements of the PSIAS and the Code of Ethics.

All assurance ratings should be considered by reference to Appendix A. We have included our self-assessment of our performance as internal auditors in Appendix B.

## 2. Corporate Governance and Risk Management

In accordance with the PSIAS, we carry out internal audit work in relation to corporate governance and risk management on an annual basis. In 2020/21 our internal audit of corporate governance and risk management assessed the adequacy and effectiveness of internal controls in operation. Any weaknesses were brought to the attention of management and advice issued on how particular problems may be resolved and controlled.

The internal audit sought to provide reasonable assurance over the following areas:

### Corporate Governance

- Ethics and values are promoted within the organisation;
- Up to date terms of reference are in place for the Board and its sub-committees;
- Meetings of the Board and its sub-committees take place on a regular basis and are quorate;
- An up to date record is maintained of Board members' conflicts of interest;
- The Board assesses its own performance and the performance of its committees/sub committees at least annually;
- Controls are in place to coordinate the activities of the Board, the Audit and Risk Committee, external auditors and management; and
- There is evidence of communication between the Board, the Audit and Risk Committee, external auditors and management.
- Governance arrangements remain robust despite changes resulting from Covid-19.

As part of the internal audit we also reviewed the new governance arrangements which were approved by Board in July 2020.

### Risk Management

- Organisational objectives support and align with the organisation's mission;
- An up to date risk management policy is in place;
- The risk management policy has been communicated to all members of staff;
- Procedures are in place to both identify and assess new risks;
- Risks are recorded on a risk register;
- Risks are assessed by considering both the impact and the likelihood;

- The appetite for each risk is considered and documented along with details of the risk owner, implementation date, and any mitigating action that is necessary;
- The risks on the organisational risk register are clearly linked to strategic objectives;
- Risk information is captured and communicated in a timely manner across the organisation, enabling staff, management and the Audit and Risk Committee to carry out their responsibilities.

In addition to the above, we also considered any changes which have been made to the risk management control environment as a result of Covid-19 and lockdown restrictions, and we have also looked to provide guidance on how risks can be identified and managed in a new agile/virtual way of working.

Based on the work undertaken as detailed in our internal audit report for 2020/21, our overall assessment is that the classification of assurance for corporate governance is **Substantial** and for risk management is **Moderate**.

### 3. Assurance Statement

We are required to provide assurance on risk management, control and governance. In assessing the level of assurance to be given, we have taken into account:

- all internal audits undertaken between 1 April 2020 – 31 March 2021;
- the action taken in response to our audit recommendations;
- whether high or medium priority recommendations have been accepted by management, and the consequent risks;
- the effects of any material changes in the organisation's objectives or systems; and
- whether or not any limitations have been placed on the scope of internal audit.

Based on the conclusions of our work, we can provide Social Care Wales with **Substantial** assurance overall in relation to the organisation's arrangements for risk management, governance and internal control, however, we do note that there has been an increase in moderate ratings issued in 2020/21 (five) compared to 2019/20 (two).

Our opinion has not been limited by any shortfall in resources, absence of skills, or any significant limitation of scope of internal audit activity which would adversely affect our ability to form an opinion.

### 4. Sources of Assurance

To obtain the required assurance we undertook an agreed programme of work with the following objectives:

- to appraise the adequacy and effectiveness of the internal control environment;
- to seek to understand the extent to which the system of internal control ensures compliance with established policies and procedures;
- to seek to understand the extent to which the assets and interests entrusted to or funded by Social Care Wales are properly controlled and safeguarded from losses arising from fraud, irregularity or corruption;
- to seek to understand that accounting and other information is reliable as a basis for producing accounts, and financial, statistical and other returns;
- to seek to understand the integrity and reliability of financial and other information provided to management, including that used in decision making; and
- to seek to understand that systems of control are laid down and operate to promote the most economic, efficient and effective use of resources.

In Section 1, we have provided a statement of the level of assurance achieved for each system audited during the year. Substantial or Moderate assurance has been achieved for all internal audits performed where an assurance rating was provided in 2020/21.











## 5. Acknowledgement

We would like to take this opportunity to thank management and staff for the assistance and cooperation received in completing the internal audits during this period.



# Section 1 – Assurance Statement

A statement of the level of assurance achieved for each area of audit is shown below. Appendix A provides definitions for each of the assurance levels.

| Internal Audit Area                      | Level of Assurance  |
|--|---|
| Financial Systems: Purchasing & Payments |  Moderate      |
| Financial Systems: General Ledger        |  Substantial   |
| Corporate Governance                     |  Substantial   |
| Risk Management                          |  Moderate     |
| Welsh Language Standards                 |  Moderate    |
| Human Resources                          |  Moderate    |
| Workforce: Remote Hearings               |  Moderate    |
| Workforce: Applications for Registration |  Substantial |
| Grant Management                         |  Substantial |
| Apprenticeship Certification             |  Substantial |

The assurance gradings provided here are not comparable with the International Standard on Assurance Engagements (ISAE 3000) issued by the International Audit and Assurance Standards Board.

# Section 2 – Summary of 2020/21 Internal Audit Findings

This section of the report provides details of the audit recommendations raised during the year. Internal audit recommendations are graded in order of importance in accordance with the priority levels defined in Appendix A.

In 2020/21 we raised 21 new recommendations (14 in 2019/20) and no action points (one in 2019/20):

| Internal Audit Area                      | High priority | Medium Priority | Low Priority | Action Point | Total |
|--|---------------|-----------------|--------------|--------------|-------|
| Financial Systems: Purchasing & Payments | -             | 2               | 2            | -            | 4     |
| Financial Systems: General Ledger        | -             | -               | 2            | -            | 2     |
| Corporate Governance                     | -             | -               | -            | -            | -     |
| Risk Management                          | -             | 1               | 1            | -            | 2     |
| Welsh Language Standards                 | -             | 1               | 2            | -            | 3     |
| Human Resources                          | -             | 3               | 2            | -            | 5     |
| Workforce: Remote Hearings               | -             | 2               | 3            | -            | 5     |
| Workforce: Applications for Registration | -             | -               | -            | -            | -     |
| Grant Management                         | -             | -               | -            | -            | -     |
| Apprenticeship Certification             | -             | -               | -            | -            | -     |
| <b>Total</b>                             | -             | 9               | 12           | -            | 21    |

## Follow Up





Each year we follow up progress made in implementing internal audit recommendations raised in previous years. We followed up on a number of prior year recommendations in 2020/21, the status of which is as follows:

| Internal Audit Area                      | Implemented/<br>Will not be Re-raised | Partially Implemented | Re-raised | Total |
|--|---------------------------------------|-----------------------|-----------|-------|
| Corporate Governance and Risk Management | -                                     | -                     | 1         | 1     |
| Follow Up                                | -                                     | 1                     | 7         | 8     |
| <b>Total</b>                             | -                                     | 1                     | 8         | 9     |

# Appendix A – Reporting Definitions

## Audit Assurance

We have four categories by which we classify internal audit assurance over the systems we examine: Substantial, Moderate, Limited or Unsatisfactory which are defined as follows:

| Assurance level  | Definitions for Annual and Engagement assurance level  | Factors influencing choice of assurance level   |
|--|--|---|
| <br><b>Substantial</b>      | There is a reasonable framework of governance, risk management and control which should ensure that objectives are achieved.                                   |   |
| <br><b>Moderate</b>         | Some improvements are required to enhance the adequacy and effectiveness of the framework of governance, risk management and control.                          | <ul style="list-style-type: none"> <li>• Adequacy and effectiveness of the governance, risk management and control framework;</li> <li>• Impact of any weakness on delivery of objectives;</li> <li>• Extent of risk exposure;</li> <li>• Materiality: by value to the entity, by value in the engagement context and by nature (e.g. irregularity and reputational risk); and</li> <li>• We may also take account of management responses to recommendations.</li> </ul> |
| <br><b>Limited</b>        | There are significant weaknesses in the framework of governance, risk management and control such that it could be or could become inadequate and ineffective. |   |
| <br><b>Unsatisfactory</b> | There are fundamental weaknesses in the framework of governance, risk management and control such that it is inadequate and ineffective or is likely to fail.  |   |

The assurance gradings provided here are not comparable with the International Standard on Assurance Engagements (ISAE 3000) issued by the International Audit and Assurance Standards Board.





## Grading of Recommendations




In order to assist management in using our reports, we categorise our recommendations according to their level of priority as follows:

| Priority Level | Definition   |
|----------------|--|
| <b>High</b>    | Recommendations which are fundamental to the system and upon which the organisation should take immediate action;            |
| <b>Medium</b>  | Recommendations which, although not fundamental to the system, provide scope for improvements to be made; and                |
| <b>Low</b>     | Recommendations concerning issues which are considered to be of a minor nature, but which nevertheless need to be addressed. |

# Appendix B – Our Performance Assessment

A self-assessment of our performance for 2020/21 is as follows:

|  <b>The Deloitte approach to performance management – the 5Ps</b>   |  |
|--|--|
|  <p><b>Purpose and remit</b><br/><i>We have a clear focus on the purpose of our work</i></p> <ul style="list-style-type: none"> <li>• Governance framework;</li> <li>• Assurance framework; and</li> <li>• Audit charter – objectives, scope and responsibilities.</li> </ul>                                 | <p>We issued a risk based Internal Audit Plan for the period 2020/21 which was approved by the Audit and Risk Committee on 25 June 2020.</p> <p>We issued an engagement letter on 24 July 2020 which was agreed and signed by the Assistant Director Finance and IT on 6 August 2020.</p> <p>We have issued Terms of Reference for 100% of the reviews undertaken. These Terms of Reference have included the budgeted number of days, objectives, methodology, specific exclusions and reporting arrangements, as appropriate.</p>  |
|  <p><b>Position and organisation</b><br/><i>We have the right profile and structure to deliver to you.</i></p> <ul style="list-style-type: none"> <li>• Authority and reporting lines;</li> <li>• Organisational structure; and</li> <li>• Internal profile and impact on business.</li> </ul>              | <p>We have reported our internal audit findings to management and the Audit and Risk Committee throughout the year.</p> <p>The Internal Audit Partner and the Internal Audit Manager have had the relevant Internal Audit knowledge and experience throughout the year:</p> <ul style="list-style-type: none"> <li>• Internal Audit Partner – Ian Howse</li> <li>• Internal Audit Manager – Lauren Parsons</li> </ul> <p>We have provided two members of internal audit staff to complete the audits during the year:</p> <ul style="list-style-type: none"> <li>• Shona Wilcox – Senior Associate</li> <li>• Jack Mullens – Senior Associate</li> </ul> |
|  <p><b>Process and technology</b><br/><i>We have the right processes and tools to execute our responsibilities.</i></p> <ul style="list-style-type: none"> <li>• Risk assessment and planning;</li> <li>• Audit execution;</li> <li>• Report and follow up; and</li> <li>• Technology and tools.</li> </ul> | <p>See above for comments on the Plan and Terms of Reference.</p> <p>All internal audit work has been reviewed by an Internal Audit Manager. All internal audit reports have been reviewed by the Internal Audit Partner. A sample of reports were selected to go through independent quality review procedures.</p> <p>An electronic system has been used to document our internal audit work.</p>  |

|  <b>The Deloitte approach to performance management – the 5Ps</b>  |  |
|---|--|
|  <p><b>People and knowledge</b><br/> <i>We have the right mix of skills and experience to do our job.</i></p> <ul style="list-style-type: none"> <li>• Resource management;</li> <li>• Performance management;</li> <li>• Training and competence; and</li> <li>• Knowledge management.</li> </ul>                     | <p>We provided an Internal Audit Partner and an Internal Audit Manager that have professional accounting qualifications and carry out their respective roles at other Welsh public sector organisations.</p> <p>Internal audit reviews were resourced at times convenient with the Social Care Wales staff.</p> <p>All internal audit staff are subject to a performance management process.</p> |
|  <p><b>Performance and communication</b><br/> <i>We monitor how we are doing and manage good relationships with our stakeholders.</i></p> <ul style="list-style-type: none"> <li>• Quality assurance;</li> <li>• KPIs and monitoring;</li> <li>• Relationship management; and</li> <li>• Change management.</li> </ul> | <p>100% of reviews were completed within the budgeted days agreed in the Internal Audit Plan.</p> <p>100% of internal audit reports have been issued prior to the designated Audit and Risk Committee meeting.</p>   |

# Appendix C – Statement of Responsibility

We take responsibility for this report which is prepared on the basis of the limitations set out below.

The matters raised in this report are only those which came to our attention during the course of our internal audit work and are not necessarily a comprehensive statement of all the weaknesses that exist or all improvements that might be made. Recommendations for improvements should be assessed by you for their full impact before they are implemented. The performance of internal audit work is not and should not be taken as a substitute for management's responsibilities for the application of sound management practices. We emphasise that the responsibility for a sound system of internal controls and the prevention and detection of fraud and other irregularities rests with management and work performed by internal audit should not be relied upon to identify all strengths and weaknesses in internal controls, nor relied upon to identify all circumstances of fraud or irregularity. Auditors, in conducting their work, are required to have regards to the possibility of fraud or irregularities. Even sound systems of internal control can only provide reasonable and not absolute assurance and may not be proof against collusive fraud. Internal audit procedures are designed to focus on areas as identified by management as being of greatest risk and significance and as such we rely on management to provide us full access to their accounting records and transactions for the purposes of our audit work and to ensure the authenticity of these documents. Effective and timely implementation of our recommendations by management is important for the maintenance of a reliable internal control system.

Deloitte LLP

Cardiff

June 2021



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|  |   |                                       |   |                                     |                            |
|--|---|---------------------------------------|---|-------------------------------------|----------------------------|
| <b>CYFARFOD / MEETING</b>  | <b>Cyfarfod Bwrdd</b>   |                                       |   |                                     |                            |
|  | <b>PREIFAT / PRIVATE</b>  |                                       | <b>CYHOEDDUS / PUBLIC</b>                   |                                     |                            |
|  | <input type="checkbox"/>  |                                       | <input checked="" type="checkbox"/>         |                                     |                            |
| <b>DYDDIAD / DATE</b>  | <b>15.07.21</b>   |                                       |   |                                     |                            |
| <b>EITEM AGENDA AGENDA ITEM</b>  | <b>9</b>  |                                       |   |                                     |                            |
| <b>TEITL / TITLE SCW/21/21</b>   | <b>Adolygiad cyflog cyfartal 2021</b>   |                                       |   |                                     |                            |
| <b>AWDUR / AUTHOR</b>  | Rhianon Jones, Rheolwr Adnoddau Dynol a Lles  |                                       |   |                                     |                            |
| <b>CYFRANIADAU GAN/ CONTRIBUTIONS FROM:</b>  |   |                                       |   |                                     |                            |
| <b>PAPURAU CEFNOGOL / SUPPORTING PAPERS</b>  | Atodiad 1 - Proffil Cydraddoldeb Staff<br>Atodiad 2 - Graddfeydd Cyflog Gofal Cymdeithasol Cymru  |                                       |   |                                     |                            |
| <b>GWEITHGAREDD CYNLLUN BUSNES / BUSINESS PLAN ACTIVITY</b>                          | Thema flaenoriaeth 4: ar gyfer gweithlu Gofal Cymdeithasol Cymru a sefydliad effeithiol   |                                       |   |                                     |                            |
| <b>GWEITHRED / ACTION REQUIRED</b>   | <b>CYMERADWYAE TH / APPROVAL</b>  | <b>DARPARU LLYW / PROVIDE A STEER</b> | <b>DARPARU SICRWYDD / PROVIDE ASSURANCE</b> | <b>TRAFODAETH / DISCUSSION</b>      | <b>CRAFFU / SCRUTINISE</b> |
|  | <input checked="" type="checkbox"/>   | <input type="checkbox"/>              | <input checked="" type="checkbox"/>         | <input checked="" type="checkbox"/> | <input type="checkbox"/>   |
| <b>ARGYMHELLIAD / RECOMMENDATION</b>   | Gwahoddir aelodau i nodi a thrafod yr adroddiad a chymeradwyo ei gyhoeddi ar y wefan.   |                                       |   |                                     |                            |
| <b>PRIF BWYNTIAU; MATERION ALLWEDDOL I DYNNU SYLW ATYNT; CWESTIYNAU I'W YSTYRIED</b> | 1. Nid oes tystiolaeth o wahaniaethu cyflog ar sail unrhyw nodweddion gwarchoddedig. Mae unrhyw wahaniaethau o ganlyniad i hyd gwasanaeth neu drosglwyddiadau TUPE yn amddiffyn cyflogau blaenorol.<br>2. Mae ein bwch cyflog rhwng y rhywiau wedi lleihau ac ar hyn o bryd yn is na chyfartaledd y DU. |                                       |   |                                     |                            |
| <b>MAIN POINTS; KEY ISSUES TO DRAW TO ATTENTION;</b>                                 | 3. Rhaid inni beidio â llaesu dwylo a byddwn yn parhau i fonitro ac adrodd yn flynyddol. Byddwn hefyd yn sicrhau bod cyfiawnhad clir dros unrhyw achos o beidio â phenodi i'r pwynt gradd isaf.   |                                       |   |                                     |                            |



|   |   |
|---|---|
| <b>QUESTIONS TO CONSIDER</b>                          |   |
| <b>ASESIADAU<br/>EFFAITH / IMPACT<br/>ASSESSMENTS</b> | Nid oes angen asesiad effaith ychwanegol. |

## **1. Context**

- 1.1 The purpose of an Equal Pay audit is to identify if there are any actual or potential inequalities relating to pay within the organisation, and if so identified to take action to address them.
- 1.2 Historically these audits were introduced to check that organisations were not paying men and women different rates of pay for the same work or work of equal value. With the introduction of the Equality Act 2010 equal pay audits were extended to cover all the *protected characteristics* which are sex; age; disability; race; gender reassignment; pregnancy or maternity; religion or belief; sexual orientation and marriage and civil partnership.
- 1.3 In particular we want to check that we are not directly or indirectly discriminating against any employee or group of employees through our pay systems.

## **2. Objectives of the review**

- 2.1 The objectives of the review are to:
  - make sure that our pay systems are transparent
  - make sure that employees receive equal pay for equal work
  - identify and explain the reasons for any pay differences
  - identify and report our gender pay gap

## **3. Gender pay gap**

- 3.1 As of April 2017, organisations with more than 250 employees are required to publish their gender pay gap. Although we do not fall into the scope of this legislative requirement, we feel that it is good practice to include the gender pay gap data as part of our equal pay audit.
- 3.2 What is the difference between the gender pay gap and equal pay? The Equality and Human Rights Commission (EHRC) describes the difference as follows:

“Whilst both equal pay and the gender gap deal with the disparity of pay women receive in the workplace, they are two different issues:

1. Equal pay means that men and women in the same employment performing equal work must receive equal pay, as set out in the Equality Act 2010.
2. The gender pay gap is a measure of the difference between men’s and women’s average earnings across an organisation or the labour market. It is expressed as a percentage of men’s earnings.

## **3.4 Our Gender Pay Gap**

- 3.5 On 1 June 2021, our gender pay gap was **16.64%** (median)
- 3.6 In March 2018 it was 16.46% and March 2021 it had widened to 23.52%.
- 3.7 Our gender pay gap has reduced back to our 2018 levels and is below the UK median average of 17.85%.
- 3.8 Although this is good news, we do still have a gap, which can likely be explained by an overrepresentation of women both across the organisation as a whole and in the lower paid grades, with 91% of women represented in the lower quartile. Having said that, we should not become complacent and must continue to scrutinise our pay decisions to ensure they are fair and equitable across genders.

| <b>Pay Quartiles</b><br>(How many men and women are in each quartile of our payroll) |             |             |
|--|-------------|-------------|
| <b>Top Quartile</b>  | <b>2020</b> | <b>2021</b> |
| Men  | 35%         | 27%         |
| Women  | 65%         | 73%         |
| <b>Upper Middle Quartile</b>   |             |             |
| Men  | 39%         | 36%         |
| Women  | 61%         | 64%         |
| <b>Lower Middle Quartile</b>   |             |             |
| Men  | 16%         | 29%         |
| Women  | 84%         | 71%         |
| <b>Lower Quartile</b>  |             |             |
| Men  | 13%         | 9%          |
| Women  | 87%         | 91%         |

**4. Equal Pay**

**Equivalent work**

- 4.1 We compared the salaries for men and women on each pay grade within the organisation. We deemed this the best way to compare “like for like” work.
- 4.2 The tables below show the salaries for men and women on each grade and the time that they have been on that grade.
- 4.3 In general, we would expect to see salaries increase with length of service, regardless of gender.

- 4.4 It is usual practice within Social Care Wales to appoint new employees on the first (minimum) point of the relevant pay grade, and each pay grade is made up of three incremental points.
- 4.5 Where existing staff are promoted to a higher grade role within the organisation, we identify if there is an overlap in salary bands and on occasion will appoint above the minimum point of the new pay grade.

**A1**

Salaries in the A1 grade are reflective of length of service, with those in their first year of service at point 1, those in their second year of service at point two, and those with 3 years+ on the top of the grade.

We have 15 women and 2 men occupying the A1 roles, and this ratio is typical of the candidate application profile.

In the tables provided, service years represents the employees service years on that particular grade, not their service with the organisation.

| A1 | Female  |               | Male    |               |
|----|---------|---------------|---------|---------------|
|    | Salary  | Service years | Salary  | Service years |
|    | £20,780 | 0             | £23,291 | 2             |
|    | £22,035 | 1             | £23,291 | 2             |
|    | £22,035 | 2             |         |               |
|    | £22,035 | 2             |         |               |
|    | £22,035 | 2             |         |               |
|    | £22,035 | 2             |         |               |
|    | £22,035 | 2             |         |               |
|    | £22,035 | 2             |         |               |
|    | £22,035 | 2             |         |               |
|    | £22,035 | 2             |         |               |
|    | £23,291 | 2             |         |               |
|    | £23,291 | 2             |         |               |
|    | £23,291 | 3             |         |               |
|    | £23,291 | 3             |         |               |
|    | £23,291 | 5             |         |               |
|    | £23,291 | 12            |         |               |

**A2**

In A2 there are 29 women and 5 men. Salaries appear consistent with length of service.

| A2 | Female  | Service years | Male    | Service years |
|----|---------|---------------|---------|---------------|
|    | Salary  |               | Salary  |               |
|    | £24,769 | 0             | £26,090 | 2             |
|    | £24,769 | 0             | £27,414 | 5             |
|    | £24,769 | 0             | £27,414 | 12            |
|    | £24,769 | 0             | £27,414 | 13            |
|    | £24,769 | 0             | £27,414 | 17            |
|    | £24,769 | 0             |         |               |
|    | £24,769 | 1             |         |               |
|    | £24,769 | 1             |         |               |
|    | £24,769 | 1             |         |               |
|    | £24,769 | 1             |         |               |
|    | £24,769 | 1             |         |               |
|    | £26,090 | 1             |         |               |
|    | £26,090 | 1             |         |               |
|    | £26,090 | 2             |         |               |
|    | £26,090 | 2             |         |               |
|    | £26,090 | 2             |         |               |
|    | £26,090 | 2             |         |               |
|    | £27,414 | 2             |         |               |
|    | £27,414 | 3             |         |               |
|    | £27,414 | 4             |         |               |
|    | £27,414 | 4             |         |               |
|    | £27,414 | 5             |         |               |
|    | £27,414 | 5             |         |               |
|    | £27,414 | 7             |         |               |
|    | £27,414 | 7             |         |               |
|    | £27,414 | 11            |         |               |
|    | £27,414 | 15            |         |               |
|    | £27,414 | 16            |         |               |
|    | £27,414 | 16            |         |               |

### A3

In A3 there are 11 women and 3 men in post, and again salaries appear consistent with length of service.

| A3 | Female  | Service years | Male    | Service years |
|----|---------|---------------|---------|---------------|
|    | Salary  |               | Salary  |               |
|    | £28,796 | 0             | £28,796 | 0             |
|    | £28,796 | 1             | £28,796 | 0             |
|    | £28,796 | 1             | £32,351 | 4             |

|  |         |    |  |  |
|--|---------|----|--|--|
|  | £30,574 | 2  |  |  |
|  | £30,574 | 2  |  |  |
|  | £32,351 | 3  |  |  |
|  | £32,351 | 4  |  |  |
|  | £32,351 | 5  |  |  |
|  | £32,351 | 10 |  |  |
|  | £32,351 | 11 |  |  |
|  | £32,351 | 16 |  |  |

## B1

In B1 there are 17 women and 11 men in post.

Most salaries are consistent with the length in service, with the exception of 3 female employees who commenced on the second point of the salary scale.

| B1 | Female  | Service years | Male    | Service years |
|----|---------|---------------|---------|---------------|
|    | Salary  |               | Salary  |               |
|    | £34,555 | 0             | £34,555 | 0             |
|    | £34,555 | 0             | £34,555 | 0             |
|    | £34,555 | 0             | £34,555 | 0             |
|    | £36,685 | 0             | £34,555 | 0             |
|    | £36,685 | 0             | £38,813 | 3             |
|    | £36,685 | 1             | £38,813 | 3             |
|    | £36,685 | 3             | £38,813 | 6             |
|    | £38,813 | 3             | £38,813 | 12            |
|    | £38,813 | 4             | £38,813 | 13            |
|    | £38,813 | 4             | £38,813 | 15            |
|    | £38,813 | 4             | £38,813 | 15            |
|    | £38,813 | 6             |         |               |
|    | £38,813 | 11            |         |               |
|    | £38,813 | 12            |         |               |
|    | £38,813 | 12            |         |               |
|    | £38,813 | 14            |         |               |
|    | £38,813 | 16            |         |               |

## B2

In B2 there are 9 women and 4 men in post.

Salaries are consistent with the length in service and service at previous grades where any overlap in grades has been taken into account when promotions have occurred.

| B2 | Female  |               | Male    |               |
|----|---------|---------------|---------|---------------|
|    | Salary  | Service years | Salary  | Service years |
|    | £42,803 | 1             | £42,803 | 1             |
|    | £45,288 | 2             | £45,288 | 3             |
|    | £45,288 | 3             | £45,288 | 4             |
|    | £45,288 | 4             | £45,288 | 10            |
|    | £45,288 | 5             |         |               |
|    | £45,288 | 5             |         |               |
|    | £45,288 | 7             |         |               |
|    | £45,288 | 14            |         |               |
|    | £45,288 | 19            |         |               |

## C1

In C1 there are 12 women and 5 men.

One female employee was appointed at the top of the scale. This was for a role where we traditionally have difficulty attracting candidates with the skills, experience and knowledge required.

All other salaries are consistent with the length in service.

| C1 | Female  |               | Male    |               |
|----|---------|---------------|---------|---------------|
|    | Salary  | Service years | Salary  | Service years |
|    | £48,912 | 0             | £46,073 | 0             |
|    | £48,912 | 0             | £51,751 | 3             |
|    | £51,751 | 1             | £51,751 | 4             |
|    | £48,912 | 2             | £51,751 | 5             |
|    | £51,751 | 2             | £51,751 | 13            |
|    | £51,751 | 2             |         |               |
|    | £51,751 | 3             |         |               |
|    | £51,751 | 4             |         |               |
|    | £51,751 | 4             |         |               |
|    | £51,751 | 4             |         |               |
|    | £51,751 | 12            |         |               |
|    | £51,751 | 13            |         |               |

## C2

In C2 there are 4 women and 3 men.

One female employee counted here was transferred to Social Care Wales on a TUPE arrangement in April 2017 at a pay rate that sits just above our standard C2

scale. The organisation was legally required to transfer the employee across on that salary.

All other salaries are consistent with the length in service.

| C1 | Female  |               | Male    |               |
|----|---------|---------------|---------|---------------|
|    | Salary  | Service years | Salary  | Service years |
|    | £56,597 | 3             | £56,597 | 4             |
|    | £56,597 | 3             | £56,597 | 4             |
|    | £56,597 | 4             | £56,597 | 4             |
|    | £60,903 | 4             |         |               |

**D**

In D there are 2 men and 1 woman in post. All three employees are on top of the salary scale.

**Average pay by age**

4.6 Below is an analysis of average earning by age for the organisation.

| Age   | Social Care Wales |         |
|-------|-------------------|---------|
|       | Male              | Female  |
| 18-21 | 0                 | £24,063 |
| 22-29 | £23,291           | £25,244 |
| 30-39 | £35,847           | £33,495 |
| 40-49 | £38,856           | £39,398 |
| 50-59 | £49,221           | £41,534 |
| 60+   | £45,282           | £89,691 |

4.7 In terms of the UK general population the ONS report the following:

“Among full-time employees, the gap is relatively small up to and including those aged 35 to 39. From the 40 to 44 age group and upwards, the gap is much wider, with men being paid substantially more on average than women. This is likely to be connected with patterns of return to work after having children, in particular any differences between men and women in timing and nature of returning to the labour market.”

4.8 In our data, we see that the gap swings in the opposite direction by just a small amount for the age range 40-49 and by a much bigger margin in the 60+ range, which can likely be attributed to the fact that we currently employ a significantly higher proportion of females.

4.9 In the range 50 – 59 we can see that the average pay for men is higher. In this age group we have 12 males, all in grades B1 or above. Our 22 females in this age group span all our pay grades from A1 to C2.



## Average salaries per grade

4.10 The average salaries for each grade are as follows:

| Grade | Average Male | Average Female | Variation        |
|-------|--------------|----------------|------------------|
| D     | £77,627      | £77,627        | 0                |
| C2    | £56,597      | £57,674        | + 1.88% (female) |
| C1    | £50,615      | £51,041        | +0.83% (female)  |
| B2    | £44,667      | £45,012        | + 0.76% (female) |
| B1    | £37,265      | £37,561        | + 0.79% (female) |
| A3    | £29,981      | £31,058        | + 3.52% (female) |
| A2    | £27,149      | £26,137        | + 3.72% (male)   |
| A1    | £23,291      | £22,454        | +3.65% (male)    |

4.11 It is suggested by the EHRC that variations of 5% or more should merit further investigation. The figures above show that we are currently within the 5% tolerance rate across all grades.

## Other protected characteristics

### 4.12 Average pay by ethnic origin

A total of 63.44% of the workforce have declared their ethnicity.

Of these 58.94% identified as White or White-Welsh, 2.98% identified as Black African or White and Black African, 0.74% as Black Caribbean and 0.74% East African Asian / Goan

Their salaries are consistent with length of service in grade.

### 4.13 Disability

A total of 6.71% of our workforce have declared a disability, and their salaries are consistent with length of service in grade.

### 4.14 Pregnancy / Maternity

Our increment policy ensures that staff continue to be awarded their annual increments during the period of maternity leave. This means that there is no negative impact on female employees who are on maternity leave.

### 4.15 Marriage or civil partnerships

There is no evidence to show that employees are paid differently based on their marital or civil partnership status.

## **5. Conclusion and key messages**

- 5.1 There is no evidence of pay discrimination on the grounds of any protected characteristics. Any differences are as a result of length of service or TUPE transfers protecting previous salaries.
- 5.2 We must not become complacent and will continue to monitor and report annually. We will also ensure that there is clear justification for any case of not appointing to the minimum grade point.
- 5.3 Our gender pay gap has decreased and is currently below the UK average.
- 5.4 We will continue to monitor and report annually, with the ultimate aim of achieving a 0% gender pay gap.

## Organisation diversity profile

|                                     | 124 staff | April 2020 | 134 staff | June 2021 |
|-------------------------------------|-----------|------------|-----------|-----------|
| <b>Gender</b>                       |           | %          |           |           |
| Male                                |           | 25.6%      |           | 25.37%    |
| Female                              |           | 74.4%      |           | 74.62%    |
| <b>Age</b>                          |           |            |           |           |
| 18-21                               |           | 0.8%       |           | 1.49%     |
| 22-29                               |           | 18.5%      |           | 17.16%    |
| 30-39                               |           | 39.5%      |           | 32.08%    |
| 40-49                               |           | 24.1%      |           | 20.14%    |
| 50-59                               |           | 15.3%      |           | 25.37%    |
| 60+                                 |           | 1.6%       |           | 2.98%     |
| <b>Religion</b>                     |           |            |           |           |
| Prefer not to answer / not declared |           | 42.7%      |           | 36.5%     |
| Atheist                             |           | 7.25%      |           | 7.46%     |
| Agnostic                            |           | 3.2%       |           | 4.47%     |
| Catholic                            |           | 0.8%       |           | 0.74%     |
| Christian                           |           | 25%        |           | 21.64%    |
| Muslim                              |           | 1.6%       |           | 1.49%     |
| None                                |           | 19.35%     |           | 27.31%    |
| <b>Sexual orientation</b>           |           |            |           |           |
| Bisexual                            |           | -          |           | 0.74%     |
| Homosexual                          |           | 1.6%       |           | 2.23%     |
| Heterosexual                        |           | 56.45%     |           | 59.7%     |
| Prefer not to answer / not declared |           | 41.9%      |           | 37.3%     |
| <b>Disability</b>                   |           |            |           |           |
| Yes                                 |           | 4.03%      |           | 6.71%     |
| No                                  |           | 42.7%      |           | 58.2%     |
| Prefer not to answer / not declared |           | 53.2%      |           | 35.07%    |
| <b>Race</b>                         |           |            |           |           |
| Prefer not to answer / not declared |           | 45.96%     |           | 36.56%    |
| White                               |           | 45.96%     |           | 42.53%    |
| White-Welsh                         |           | 4.8%       |           | 16.41%    |
| Black African                       |           | 1.6%       |           | 1.49%     |
| White and Black African             |           | 1.6%       |           | 1.49%     |
| Black Caribbean                     |           | -          |           | 0.74%     |

|  |               |               |
|--|---------------|---------------|
| East African Asian / Goan                            | -             | <b>0.74%</b>  |
|  |               |               |
| <b>Married / Civil Partnership</b>                   |               |               |
|  |               |               |
| Prefer not to answer / not declared                  | <b>44.35%</b> | <b>38.80%</b> |
| Yes  | <b>33%</b>    | <b>31.34%</b> |
| No   | <b>22.58%</b> | <b>29.85%</b> |
|  |               |               |
| <b>Is your gender identity the same as at birth?</b> |               |               |
| Prefer not to answer / not declared                  | <b>45.16%</b> | <b>37.31%</b> |
| Yes  | <b>54.83%</b> | <b>62.68%</b> |
| No   | <b>0%</b>     | <b>0%</b>     |

## Appendix 2

### Pay scales

|     | Scale Point | April 2020 | Pension rate |
|-----|-------------|------------|--------------|
| A1  |             |            |              |
|     | 1           | £20,780    | 5.8%         |
|     | 2           | £22,035    | 5.8%         |
|     | 3           | £23,291    | 6.5%         |
| A2  |             |            |              |
|     | 4           | £24,769    | 6.5%         |
|     | 5           | £26,090    | 6.5%         |
|     | 6           | £27,414    | 6.5%         |
| A3  |             |            |              |
|     | 7           | £28,796    | 6.5%         |
|     | 8           | £30,574    | 6.5%         |
|     | 9           | £32,351    | 6.5%         |
| B1  |             |            |              |
|     | 10          | £34,555    | 6.5%         |
|     | 11          | £36,685    | 6.5%         |
|     | 12          | £38,813    | 6.8%         |
| B2  |             |            |              |
|     | 13          | £40,316    | 6.8%         |
|     | 14          | £42,803    | 6.8%         |
|     | 15          | £45,288    | 6.8%         |
| C1  |             |            |              |
|     | 16          | £46,073    | 6.8%         |
|     | 17          | £48,912    | 8.5%         |
|     | 18          | £51,751    | 8.5%         |
| C2  |             |            |              |
|     | 19          | £50,392    | 8.5%         |
|     | 20          | £53,495    | 8.5%         |
|     | 21          | £56,597    | 8.5%         |
| D   |             |            |              |
|     | 22          | £69,110    | 9.9%         |
|     | 23          | £73,368    | 9.9%         |
|     | 24          | £77,627    | 9.9%         |
| CEO | 25          | £118,478   | 11.4%        |



|  |  |                          |                             |                                     |                          |
|--|--|--------------------------|-----------------------------|-------------------------------------|--------------------------|
| <b>CYFARFOD</b>  | <b>Cyfarfod Bwrdd</b>  |                          |                             |                                     |                          |
|  | <b>PREIFAT</b>   |                          |                             | <b>CYHOEDDUS</b>                    |                          |
|  | <input type="checkbox"/>   |                          |                             | <input checked="" type="checkbox"/> |                          |
| <b>DYDDIAD</b>   | <b>15.07.21</b>  |                          |                             |                                     |                          |
| <b>EITEM AGENDA</b>  | <b>10</b>  |                          |                             |                                     |                          |
| <b>TEITL:<br/>SCW/21/22</b>  | <b>Cynllun Dirprwyo</b>  |                          |                             |                                     |                          |
| <b>AWDUR</b>   | Geraint Rowlands, Cyfarwyddwr Cynorthwyol Cyllid a TGCH  |                          |                             |                                     |                          |
| <b>CYFRANIADAU GAN</b>   | Steve Haines, Uwch Swyddog Caffael   |                          |                             |                                     |                          |
| <b>PAPURAU<br/>CEFNOGOL</b>  |  |                          |                             |                                     |                          |
| <b>GWEITHGAREDD<br/>CYNLLUN BUSNES</b>   | Sicrhau gwelliant parhaus o sut rydym yn gwneud ein gwaith i fod yn sefydliad gwasanaeth cyhoeddus Cymraeg effeithiol a effeithlon.  |                          |                             |                                     |                          |
| <b>GWEITHRED</b>   | <b>CYMERADWYA<br/>ETH</b>  | <b>DARPARU<br/>LLYW</b>  | <b>DARPARU<br/>SICRWYDD</b> | <b>TRAFODAETH</b>                   | <b>CRAFFU</b>            |
|  | <input checked="" type="checkbox"/>  | <input type="checkbox"/> | <input type="checkbox"/>    | <input type="checkbox"/>            | <input type="checkbox"/> |
| <b>ARGYMHELLIAD</b>  | Argymhellir:<br><br>Fod y Bwrdd yn <b>cymeradwyo</b> fod y Cynllun Dirprwyo yn cael ei ddiwygio i adlewyrchu'r newid yn y rheolau caffael cyn ei weithredu fel yr argymhellir gan y Pwyllgor Archwilio a Risg.   |                          |                             |                                     |                          |
| <b>PRIF BWYNTIAU;<br/>MATERION<br/>ALLWEDDOL I<br/>DYNNU SYLW<br/>ATYNT;<br/>CWESTIYNAU I'W<br/>YSTYRIED</b> | Mae ymateb siomedig mewn perthynas a thendrau wedi ein arwain i adolygu arfer cyfredol a chanllawiau cyfredol caffael.<br><br>Un maes a ystyriwyd oedd adolygu ein trothwyon mewn perthynas a gofynion tendro. Argymhellwyd ar gyfer ein caffaeliad yn yr ystod £10,000 - £25,000 mai'r gofyniad yw dim ond tri dyfynbris sydd ei angen a ein bod yn defnyddio swyddogaeth 'Dyfynbris Sydun' Sell2Wales.<br><br>Yna bydd contractau £25,000 ac uwch yn destun tendr llawn. |                          |                             |                                     |                          |

|                              |   |
|------------------------------|---|
|                              | <p>Fydd hyn yn adlewyrchu cyngor gwariant cyfredol Llywodraeth Cymru ac arfer cyfredol mewn perthynas a throthwyon caffael nwyddau a gwasanaethau.</p> <p>Cymeradwyodd y Pwyllgor Archwilio a Risg y newid hwn yn y trothwy Caffael ar gyfer tendr llawn i £25,000 a fod caffaeliad yn yr ystod £10,000 - £25,000 yn gofyn am dri dyfynbris ysgrifenedig. Cymeradwyodd y Pwyllgor Archwiliad a Risg hefyd y newid yn ein Cyfarddwyddiadau Ariannol Sefydlog i adlewyrchu'r newid yn y trothwyon Caffael.</p> <p>Yn ogystal, argymhellodd yr Pwyllgor Archwilio a Risg y dylid diwygio'r Cynllun Dirprwyo i adlewyrchu'r newid a gofynnir i'r Bwrdd nawr gymeradwyo'r newid hwn.</p> |
| <b>ASESIADAU<br/>EFFAITH</b> | Dim   |

## SOCIAL CARE WALES' FINANCIAL STANDING INSTRUCTIONS SPEND THRESHOLDS REVIEW

### 1. Context

- 1.1 Since its inception as Social Care Wales we have been procuring for goods and services using the spend thresholds set out in our Standing financial Standing Instructions (SFIs) and Scheme of Delegation. The table below sets out the thresholds as set out in our SFIs.

| Procurement of goods and services thresholds |                           |                           |  |
|--|---------------------------|---------------------------|--|
| Estimated value (Including VAT) £            | Quotation                 | Tender                    | Sign-off   |
|  | Written Min. No. Required | Written Min. No. Required | Responsibility   |
| £0 – £3,000                                  | 1<br>(Written/Electronic) |                           | Delegated Budget holder  |
| £3,001 – £5,000                              | 2<br>(Written/Electronic) |                           | Delegated Budget holder  |
| £5,001 – £10,000                             | 3<br>(Written/Electronic) |                           | Delegated Budget Holder with process review by Procurement Officer |
| £10,001 – £25,000                            |                           | 3                         | Assistant Director   |
| £25,001 – £50,000                            |                           | 4                         | Executive Director   |
| £50,000 and above                            |                           | 4                         | Chief Executive Officer  |

- 1.2 It is considered that our thresholds are now out of alignment with current Welsh Government guidance and best practice and in respect of the processes we use. This means that Social Care Wales is spending more time and money in running tender processes than is necessary. Therefore, by amending our SFIs and Scheme of Delegation there is potential to achieve savings in both staff time spent on a procurement and the financial burden involved in running a full tender process.
- 1.3 A number of Social Care Wales' tenders have been met with a very disappointing response from the available market and whilst this cannot be



wholly blamed on our current practices, it is fair to assume that for the lower value contracts where a tender is required (£10,001 to £25,000) it is considered that we would have had a better response if we had used a Request for Quote (RFQ) process. The cost (in both time and monetary) to the supplier is far less to respond to a RFQ than it is to do a full tender exercise.

- 1.4 A report was presented to the Leadership Team recently on how to improve the response rates in respect of our commissioning opportunities and changes to our financial thresholds is one of the recommendations made.

## 2. Research

- 2.1 A desktop research of various Welsh Government and Welsh Government Sponsored Bodies' websites demonstrate that current advice and best practice is that tenders are only produced for goods or services where they are over the £25,000 limit. Below that threshold the much quicker and simpler RFQ process is used.

Below is a list of websites and associated wording that demonstrate this:

1. <https://gov.wales/welsh-government-procurement-guidance>

The website states that Welsh Government advertise tenders over £25k on Sell2Wales and runs the actual tender process on eTenderWales. For more complex lower value contracts they use the Sell2Wales Quick Quote (RFQ) facility.

2. <https://naturalresources.wales/about-us/corporate-information/procurement/how-we-buy-what-we-need/?lang=en>

The table on the Natural Resources Wales (NRW) website shows their requirement for three written quotes (RFQ) up to £25k and a tender process above the threshold.

3. <https://gov.wales/winning-welsh-government-contracts>

This Welsh Government website aimed at the local Small to Medium Enterprise (SME) market again shows the demarcation between an RFQ and tender process being set at the £25K level.

4. The Chartered Institute of Procurement is currently delivering a course to the Welsh Public Sector students which one of the team is attending which has reiterated the practice of three quotes between £10k and £25k and a more formal process is to be undertaken over that level of spend.
5. Finally, prior to the newly updated (March 2021) Welsh Procurement Policy Statement (WPPS), the 2015 version stated at section 5 – Open Accessible Competition, that “The Welsh Public Sector will – Amend

standing orders to require advertisement of all contracts over £25k on Sell2Wales”.

This requirement has been written out of the 2021 WPPS update as all WGSBs and the Welsh Government have complied with this requirement, thus making it defunct.

### **3. Our present practice and implications**

3.1 Therefore, our thresholds are longer aligned with best practice and guidance.

As Social Care Wales currently require a full tender process be adopted for all spend over £10,000 this has the negative effects of:

- Increasing internal workloads preparing unnecessary tender documentation. A full tender process is neither effective, nor an efficient use of resources at this spend level.
- Reducing the amount of supplier responses received as the work required to respond is burdensome for the SME market and the Return on Investment for them is negligible.
- Larger organisations who have ‘bid teams’, do not respond as again the cost to respond to a tender rather than an RFQ for the lower value work is not cost effective for them.
- Reducing the effectiveness of Social Care Wales’ procurement activities to enable value for money to be realised when we are required to go down the ‘single source’ route due to a lack of buy-in from the suppliers.

### **4. Recommendations**

- 4.1 It is recommended that the SFI’s are amended to remove the requirement of a full tender exercise in the £10k to £25k bracket. This will also bring us into line with Welsh Government and other WGSBs in the way we procure goods and services.
- 4.2 To alleviate any concerns regarding the change in process a more detailed and robust RFQ template would be developed for the requirements in the £10,000 to £25,000 threshold to ensure we are achieving compliance, this would not require as much work either internally or externally to complete but would still demonstrate that we had undergone due diligence in the selection process.
- 4.3 We would utilise the Sell2Wales Quick Quote facility to target the relevant sector for the requirement as this functionality is built into the system. This could assist in having a more positive response rate from the suppliers, increase competition and give Social Care Wales better value for money.

The table below shows the changes to the current threshold table in the SFI's if agreed. The corresponding amendment would also be made in the Scheme of Delegation.

| Procurement of goods and services thresholds |   |                           |  |
|--|---|---------------------------|--|
| Estimated value (Including VAT) £            | Quotation (RFQ)   | Tender                    | Sign-off   |
|  | Written Min. No. Required                                       | Written Min. No. Required | Responsibility   |
| £0 – £3,000                                  | 1<br>Electronic   |                           | Delegated Budget holder  |
| £3,001 – £5,000                              | 2<br>Electronic   |                           | Delegated Budget holder  |
| £5,001 – £10,000                             | 3<br>Electronic   |                           | Delegated Budget Holder with process review by Procurement Officer |
| £10,001 – £25,000                            | 3<br>Electronic<br><br>Via Sell2Wales Quick Quote functionality | 3                         | Assistant Director   |
| £25,001 – £50,000                            |   | 4<br>Electronic           | Executive Director   |
| £50,000 and above                            |   | 4<br>Electronic           | Chief Executive Officer  |

## 5. Resource implications

- 5.1 There would be no negative impact on resources, however if the recommendations are accepted there would be less of a burden on any team procuring goods or services below £25,000 as the RFQ process is less intensive in terms of staff time as opposed to Social Care Wales running a full tender process.

## **6. Risk considerations**

- 6.1** There are no identifiable risks associated with this report. Any changes made following acceptance of this report are in line with current guidance from Welsh Government.

## **7. Impact**

- 7.1** This amendment would have a positive impact not only on the work that various teams at Social Care Wales must complete to produce a tender but also on the requirements placed on the supplier in submitting a response. There would be a positive impact across the workforce in terms of time spent in preparing documents, running full tender processes, evaluations and contract documents that follow.
- 7.2** By amending our thresholds to align with best practice we also encourage greater interaction with our supplier base thus affording greater competition and achieving better value for money.



|  |  |                                       |   |                                |                            |
|--|--|---------------------------------------|---|--------------------------------|----------------------------|
| <b>CYFARFOD / MEETING</b>  | <b>Cyfarfod Bwrdd</b>  |                                       |   |                                |                            |
|  | <b>PREIFAT / PRIVATE</b>   |                                       | <b>CYHOEDDUS / PUBLIC</b>                   |                                |                            |
|  |  |                                       |   |                                | √                          |
| <b>DYDDIAD / DATE</b>  | <b>15.07.21</b>  |                                       |   |                                |                            |
| <b>EITEM AGENDA AGENDA ITEM</b>  | <b>11</b>  |                                       |   |                                |                            |
| <b>TEITL / TITLE SCW/21/23</b>   | <b>Cynllun Busnes 2020-21: Diweddariad chwarter 1</b>  |                                       |   |                                |                            |
| <b>AWDUR / AUTHOR</b>  | Sue Evans, Chief Executive   |                                       |   |                                |                            |
| <b>CYFRANIADAU GAN/ CONTRIBUTIONS FROM:</b>  |  |                                       |   |                                |                            |
| <b>PAPURAU CEFNOGOL / SUPPORTING PAPERS</b>  | Atodiad 1 - Cynnydd y Cynllun Busnes: Diweddariad 3 mis - sylwebaeth perfformiad<br>Atodiad 2 - Adroddiad Cyllideb am y cyfnod hyd at 30 Mehefin 2021<br>Atodiad 3 - Dangosfwrdd 3 mis Adnoddau Dynol (yn ategu papur porth y Bwrdd)   |                                       |   |                                |                            |
| <b>GWEITHGAREDD CYNLLUN BUSNES / BUSINESS PLAN ACTIVITY</b>  | Holl weithgareddau'r Cynllun Busnes.   |                                       |   |                                |                            |
| <b>GWEITHRED / ACTION REQUIRED</b>   | <b>CYMERADWYAETH / APPROVAL</b>  | <b>DARPARU LLYW / PROVIDE A STEER</b> | <b>DARPARU SICRWYDD / PROVIDE ASSURANCE</b> | <b>TRAFODAETH / DISCUSSION</b> | <b>CRAFFU / SCRUTINISE</b> |
|  | x  | <input type="checkbox"/>              | <input type="checkbox"/>                    | <input type="checkbox"/>       | x                          |
| <b>ARGYMHELLIAD / RECOMMENDATION</b>   | Gofynnir i aelodau <b>graffu</b> a <b>chymeradwyo'r</b> cynnydd yn erbyn y Cynllun Busnes 2021-22 yn y cyfnod tri mis.   |                                       |   |                                |                            |
| <b>PRIF BWYNTIAU; MATERION ALLWEDDOL I DYNNU SYLW ATYNT; CWESTIYNAU I'W YSTYRIED</b><br><br><b>MAIN POINTS; KEY ISSUES TO DRAW TO ATTENTION;</b> | Mae'r adroddiad perfformiad hwn yn darparu diweddariad yn erbyn: <ul style="list-style-type: none"><li>• gynnydd yn erbyn yr holl amcanion yn atodiad 1 gan gynnwys adrodd ar eithriadau o weithgareddau melyn a hoch.</li><li>• ein sefyllfa ariannol ar ôl 3 mis yn Atodiad 2</li><li>• dangosfwrdd perfformiad lefel uchel o'n hadroddiad Adnoddau Dynol 3 mis yn Atodiad 3</li></ul> |                                       |   |                                |                            |

|   |   |
|---|---|
| <b>QUESTIONS TO CONSIDER</b>                          |   |
| <b>ASESIADAU<br/>EFFAITH / IMPACT<br/>ASSESSMENTS</b> | Cwblheir asesiadau effaith ar gyfer darnau penodol o waith. |

## Cynllun Busnes 2020-21: Diweddariad chwarter 1

### 1. Pwrpas yr adroddiad a'r argymhelliadau

- 1.1 Mae'r adroddiad hwn yn rhoi'r cynnydd 3 mis yn erbyn ein cynllun busnes yn 2021-22.
- 1.2 Ceir diweddariad ar gynnydd yn erbyn yr holl amcanion yn atodiad 1 gan gynnwys adrodd eithriad a'r weithgareddau melyn a choch. Gofynnir i'r Aelodau ystyried a chymeradwyo'r cynnydd yn erbyn y Cynllun Busnes 2021-22 yn ystod cyfnod tri mis.

### 2. Cyd-destun

- 2.1 Mae'r Cynllun Busnes 2021-22 yn nodi ein hamcanion, ein gweithgareddau a'n cyllideb ar gyfer y flwyddyn. Dyma'r offeryn y mae ein Bwrdd a Llywodraeth Cymru yn ei ddefnyddio i fonitro ein perfformiad wrth gyflawni'r targedau a osodwyd.

### 3. Perfformiad yn erbyn y cynllun busnes ar ôl 3 mis

- 3.1 Dyma statws cyffredinol cynnydd Gofal Cymdeithasol Cymru yn erbyn gweithgareddau ar ôl tri mis:

|                       | Gweithgareddau | Ar y trywyd iawn | Angen cymorth ychwanegol | Pryderon mawr | I ddechrau |
|-----------------------|----------------|------------------|--------------------------|---------------|------------|
| <b>Gweithgareddau</b> | 54             | 47               | 7                        | -             | -          |
| % ar ol 3 mis         |                | <b>87%</b>       | <b>13%</b>               | <b>0%</b>     | -          |

- 3.2 Y Dangosyddion a ddefnyddir yn yr adroddiad hwn yw asesu pa mor dda rydym yn perfformio fel sefydliad i gyflawni'r gweithgareddau yng Nghynllun Busnes 2021-22. Mae'r Dangosyddion yn darparu data meintiwl ar ein gweithgareddau a'n hallbynnau, yn helpu i asesu a yw cerrig milltir allweddol yn cael eu bodloni, cydymffurfiaeth â deddfwriaeth/rheoliadau ac a oes angen cymryd camau adferol mewn rhai meysydd. Fodd bynnag, bydd gwaith pellach a mireinio mesurau a dangosyddion yn parhau yn unol â'n gwaith mewn perthynas â mesur ein heffaith a'n diwygiad o'n Cynllun Strategol a'n fframwaith adrodd perfformiad newydd.
- 3.3 Adolygir y Gofrestr Risg Strategol gan y Tîm Rheoli Gweithredol (EMT) yn fisol. Mae'r risgiau a nodwyd yn yr adroddiadau perfformiad yn parhau yn unol â'n polisi rheoli risg blaenorol. Ar hyn o bryd rydym yn gweithio ar integreiddio ein prosesau risg mewnol i adlewyrchu'r newidiadau i'n dull o reoli risg ar ôl i'n polisi risg newydd gael ei gymeradwyo ym mis Mehefin 2021.

### 4. Rôl y Bwrdd

4.1 Dau o bedwar cyfrifoldeb y Bwrdd, fel y nodir yn y Fframwaith Llywodraethu, yw i:

- sicrhau bod gweithgareddau Gofal Cymdeithasol Cymru yn cael eu cynnal yn effeithlon ac yn effeithiol
- monitro perfformiad i sicrhau bod Gofal Cymdeithasol Cymru yn cyflawni ei nodau, ei amcanion a'i dargedau perfformiad yn llawn.

4.2 I ba raddau y mae'r wybodaeth am berfformiad (dangosyddion, sylwebaeth, cyllideb, dangosfwrdd Adnoddau Dynol) yn adlewyrchu perfformiad y thema flaenoriaeth?



## Business Plan 2021-22 - Quarter 1 update

### 1. What is in this report?

This report provides an overview of progress against our Business Plan 2021/22.

It is set out to include:

1. The relevant priority themes
2. An overview of the indicators used to support the priority theme
3. The performance commentary then provides an overview of the performance on the overall theme
4. Further detail on amber/red activities is then provided.
5. Strategic risks: where there are strategic risks associated to the objective these are included. The strategic risk register is considered and endorsed at each Audit and Risk Committee. The following is the scoring of these risks in accordance with our risk management policy:

Risk scoring:

L: Low;            M: Medium;            H: High;            E: Extreme

|            |   | Impact |    |    |    |    |
|------------|---|--------|----|----|----|----|
|            |   | 1      | 2  | 3  | 4  | 5  |
| Likelihood | 1 | 1      | 2  | 3  | 4  | 5  |
|            | 2 | 2      | 4  | 6  | 8  | 10 |
|            | 3 | 3      | 6  | 9  | 12 | 15 |
|            | 4 | 4      | 8  | 12 | 16 | 20 |
|            | 5 | 5      | 10 | 15 | 20 | 25 |

6. Our budget position as at the end of June 2021
7. A high-level performance dashboard of our 3 month HR report

|   |
|---|
| <b>Priority theme 1 - Social Care and Early Years Workforce</b> |
|---|

| Performance Indicators / Milestones / Outputs                           | QTR 1                         | QTR 2              | QTR 3  | QTR 4 | Comparator / Target                |
|---|-------------------------------|--------------------|--------|-------|------------------------------------|
| Processing times of applications*                                       | 88%                           |                    |        |       | 90% within 5 days                  |
| Number of open applications   | 574                           |                    |        |       | Less than 600 open at any one time |
| Adult Care Home Workers registered                                      | 213<br>(991 total registered) |                    |        |       | 1500 for 21/22                     |
| Number of fitness to practise cases open                                | 298                           |                    |        |       | Last quarter                       |
| Number of active cases open longer than 18 months                       | 7%<br>(21 cases)              |                    |        |       | Less than 10%                      |
| Number of appeals lodged to CST and % upheld                            | 1<br>(no decision yet)        |                    |        |       |                                    |
| Eligible students receive a bursary with a placement provided           | n/a                           | Indicative numbers | Actual |       | 100%                               |
| No. enrolled for the new digital version of the Social Care Worker card | 15,024                        |                    |        |       | 30,000 by year end                 |

\* from complete form being received to registration being granted/renewed

| <b>Performance Commentary</b> |
|-------------------------------|
|-------------------------------|

Majority of activities progressing to plan.

There is a 13% increase in open fitness to practise cases from the end of Q4 (260 open cases). Domiciliary Care Worker cases make up 47% of the overall number of cases. We have met the performance indicator of having less than 10% of cases being open over 18 months. This is the first time we've met this target for a number of months (however, the increasing number of overall cases open has helped us to reach this target).

New Social Work Bursary Scheme, taking into account residency criteria changes after Brexit is now in place and invites will begin to be sent out to all renewing students at the start of July. Five PLOF Claims have been processed totalling £103,000. These are for late placements in North Wales.

A number of workstreams in relation to workforce well-being are in train and progressing well. A draft health and wellbeing framework has been developed including draft governance standards and an initial pilot of a wellbeing survey with the sector which has tested approaches to engagement. Decisions are now needed on the further direction of this programme of work and a paper outlining the next steps will be considered by the Executive Team.

| Business plan activity | Narrative | QTR 1 | QTR 2 |
|------------------------|-----------|-------|-------|
|------------------------|-----------|-------|-------|

**Appendix 1**

|  |  |  |  |
|--|--|--|--|
| Extend professional registration to adult care home workers (AHCWs) and new managers | Almost 1,000 adult care home workers on the Register. Tender specification for the engagement materials written and published on Sell-to-Wales. Deadline for responses is 2 July. Engagement plan being re-written. Welsh Government have confirmed that the new deadline for ACHWs is October 2022. Paper for the extension of renewal dates agreed by EMT - next step is agreement by Welsh Government and the Board. Project is amber due to uncertainty over renewal date extensions and our lack of engagement with the sector to-date. |  |  |
|--|--|--|--|

|  |
|--|
| <b>Priority theme 2 - Social Care and Early Years Managers, Leaders and Owners</b> |
|--|

| <b>Performance Indicators / Milestones / Outputs</b>                               | <b>QTR 1</b>                | <b>QTR 2</b> | <b>QTR 3</b> | <b>QTR 4</b> | <b>Comparator / Target</b> |
|--|-----------------------------|--------------|--------------|--------------|----------------------------|
| Qualifications framework updated with new early years and childcare qualifications | n/a                         |              |              |              | September                  |
| Early Years Manager induction framework launched                                   | n/a                         |              |              |              | September                  |
| Number of best practice networks held including attendance levels                  | n/a                         |              |              |              | July                       |
| Number of employers registered on the jobs portal                                  | Available from next quarter |              |              |              | Previous quarter           |
| Numbers of new job seekers registered on the jobs portal                           | Available from next quarter |              |              |              | Previous quarter           |

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| <b>Performance Commentary</b> |
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Then majority of activities in this are are progressing as planned; there are two amber targets which are described below.

Monthly workshops to support implementaion of the Social Care Manager induction framework are continuing to be well attended and the induction framework well received. The First Steps in Management is now published on the website. Effective Supervision toolkit to be launched in July.

Activites around the Workforce Plans (Direct Care, Social Work, Mental Health) are continuing to progress to plan.

| <b>Business plan activity</b>      | <b>Narrative</b>   | <b>QTR 1</b> | <b>QTR 2</b> |
|------------------------------------|--|--------------|--------------|
| Review and improve how we regulate | Most if not all workstreams are on track but we've yet to appoint a project manager which is mainly why the rag status is amber although there has been slower progress in the benchmarking and Fitness to Practise support workstreams. |              |              |
| Regulate social work training      | Quality Assurance activity on track but annual report likely to be delayed.  |              |              |

|                        |                       |                       |
|------------------------|-----------------------|-----------------------|
| <b>Strategic risks</b> | <b>Inherent score</b> | <b>Residual score</b> |
|------------------------|-----------------------|-----------------------|

**Appendix 1**

|  |            |             |
|--|------------|-------------|
| If Welsh Government remove, or significantly reduce the funding for Level 2 apprenticeships, then it will reduce the amount of funding to support the achievement of qualifications in the sector. This will have an impact on the ability to provide learning and increase qualification levels of the workforce. | Red (20)   | Yellow (10) |
| If the qualifications are not fit for purpose, then they will not meet the requirements for high quality care and support in the social care and early years sector.   | Amber (15) | Yellow (10) |

|  |
|--|
| <b>Priority theme 3: Social Care and Early Years Systems Leaders</b> |
|--|

| Performance Indicators / Milestones / Outputs               | QTR 1                  | QTR 2 | QTR 3 | QTR 4 | Comparator / Target |
|---|------------------------|-------|-------|-------|---------------------|
| Workforce Strategy Implementation plans costed and approved | N/A                    |       |       |       | March 2022          |
| Visitors to data portal                                     | Available next quarter |       |       |       | Previous quarter    |
| Research support and engagement framework launched          | Delayed until Q2       |       |       |       | June 2021           |
| Evidence for Improvement Draft Strategy approved            | N/A                    |       |       |       | September 2021      |

|                               |
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| <b>Performance Commentary</b> |
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Support to children, young people and families has responded well to demands and is currently on track. However any further significant ask on the part of Welsh Government combined with capacity issues with Improvement Managers, will mean additional capacity will have to be bought in from Q3 on this agenda.

The development of the Peer Learning Programme for the All Wales Heads of Children's Services (AWHoCs) has been problematic and anxiety raising for the statutory sector; however we are now hopefully in a good place to build a programme of learning based on the Leading by Example approach. Supporting outcome & strengths based practice; the programme between Aneurin Bevan and Gwent Adult services on hospital discharge is attracting much interest (& demands) from health colleagues. Conversations at an early stage on whether there should a national training programme on discharge which we with NHS Delivery Unit will lead on.

The two key achievements in the research and data area were the delivery of an evidence 'offer', setting out how Social Care Wales will provide support for the use and generation of research and data; and the delivery by KPMG of several deliverables (draft strategy and roadmap, reports on five quick win projects, and a methodology for identifying and managing future quick wins). We have also been successful in recruiting to new posts in the team.

Some activities have been delayed until Quarter 2, mainly because of team capacity but also due to some specific delays, for example, finalising the contract with Grant Thornton for the data portal. These delayed activities include the discovery phase for the transition of the data portal; the sharing and co-development of the implementation plan for the data strategy; and the issuing of an invitation to tender for the digital solution. We anticipate making good progress with our programme of work as capacity issues are gradually resolved when our new recruits join the team over the course of Quarter 2.

| Business plan activity | Narrative | QTR 1 | QTR 2 |
|------------------------|-----------|-------|-------|
|------------------------|-----------|-------|-------|

|   |  |  |  |
|---|--|--|--|
| Implementation of the Social Care Research and Development Strategy 2018-23   | <p>The completion of the research support and engagement framework has been delayed until Q2 due to issues with team capacity, the new target date for implementation is end August 2021.</p> <p>The Invitation to Tender (ITT) for the evaluation process will be issued in July so it is anticipated the contract will be awarded and underway in Q3.</p>  |  |  |
| Develop the social care data portal and projections platform  | The design and delivery of the data portal has been delayed by additional contract negotiations and amendments. The contract was finally signed on 24 June, with the kick-off meeting on 25/6 to get the discovery phase underway.   |  |  |
| Improve how social care data is collected and used - work together with colleagues from across health and care sectors to build a comprehensive and inclusive social care data strategy (Implement actions identified in the Statement of Strategic Intent) | <p>KPMG has delivered the following deliverables for Phase 2 of the data strategy work: draft strategy and roadmap; Quick Win 1 Data Standards; Quick Win 2 Analytical Skills; Quick Win 3 Engagement; Quick Win 4 Data sharing; Quick Win 5 Workforce data visualisations; and the methodology and approach for future quick wins.</p> <p>Work on the governance of the data strategy and detailed planning is paused until our new Data &amp; Intelligence Manager joins (August).</p> |  |  |
| With HEIW develop longer term plans to support implementation of the workforce strategy   | <p>Work continues on completing the implementation plans for 2021/2022.</p> <p>Recruitment to post unsuccessful so going to readvertise with possibly looking at a commission if this fails again.</p>   |  |  |
| Work with Welsh Government CIW and Improvement Cymru to scope work needed to support care homes (including residential learning disability services) in the immediate and longer term future  | Failure to recruit to post so readvertising underway - all current obligations still being met.  |  |  |

|                                       |
|---------------------------------------|
| <b>Priority 4 - Our own workforce</b> |
|---------------------------------------|

| <b>Performance Indicators / Milestones / Outputs</b>   | <b>QTR 1</b>  | <b>QTR 2</b> | <b>QTR 3</b> | <b>QTR 4</b> | <b>Comparator / Target</b>   |
|--|---|--------------|--------------|--------------|--|
| Staff sickness levels  | 2.83%   |              |              |              | 3%   |
| Timely laying of Statutory Annual Accounts   | N/A   |              |              |              | August 2021  |
| Internal audits receive substantial or moderate assurance  | N/A   |              |              |              | 90%  |
| External accreditation awarded or maintained: <ul style="list-style-type: none"> <li>• ISO 27001</li> <li>• Disability Confidence</li> </ul> | Maintained Level 1 awarded                                      |              |              |              | Maintained   |
| Budget forecast  | No Budget overspend predicted / cash balance below 2% predicted |              |              |              | No Budget overspend and 2% cash target at end of year to be achieved |

|                               |
|-------------------------------|
| <b>Performance Commentary</b> |
|-------------------------------|

The majority of activities are progressing to plan with two activities at an amber status which are highlighted below.

Accounts on track to be laid before the end of July 2021 with draft ISA 260 raising no concerns or recommendations. The draft business plan 21/22 was approved, subject to some changes, by the Board in May. The aim is to submit our final bilingual plan to the Deputy Minister at the beginning of July.

During the quarter we identified the need to open access to our offices to staff to support their physical and mental wellbeing along with some business areas which require more access to support business operations (regulatory panels, apprenticeship certification, business continuity). We asked all staff whether they would like to be part of a pilot on accessing the offices. We are working through the requirements of this pilot approach which will 'go live' in the next quarter.

We continue to maintain our compliance with statutory organisational requirements and organisational standards in relation to the Welsh Language Scheme, Information Governance and Equalities. Work continues across the organisation to embed good practice and review and improve processes.



## Appendix 1

| Business plan activity   | Narrative   | QTR 1 | QTR 2 |
|--|---|-------|-------|
| Revise and implement the 3 year ICT strategy to support the achievement of the business plan | <p>Purchased new servers which will be installed in the next quarter.</p> <p>Two new members of staff have been recruited into the IT team to support desktop applications and infrastructure work.</p> <p>Installed new firewalls which will be configured in next quarter. Present firewalls are maintained until Autumn 2021 so no risk to the integrity of our infrastructure.</p> <p>ISO27001 interim audit due to take place on the 8th July 2021. Work has now begun on revising the new 3 year ICT strategy.</p>  |       |       |
| Maximise our digital offer across all of our business  | <p>Work on progressing our digital offer is continuing. We have an agreed approach for 21/22 with additional staffing capacity identified. The activity is marked as amber as the pace at which we are progressing this work recognises the need for us to consider the organisational and business requirements for this work. So whilst we continue to progress some of our systems review and user centered training for staff there are some activities that need to be aligned to other pieces of work - such as the telephone system, ICT infrastructure (and staffing capacity) and the CARREG work programme for the year. We are bringing all these activities with a work programme which aims to co-ordinate the various interdependencies of this work so that we can continue to develop our digital approach.</p> |       |       |

| Strategic risks   | Inherent score | Residual score |
|---|----------------|----------------|
| If we do not keep the sector engaged in the work of Social Care Wales then we start to lose credibility and not deliver our overall ambition, as we cannot achieve this in isolation. The sector is not engaged in our role and remit.  | Amber<br>(15)  | Yellow<br>(10) |
| If we do not demonstrate how we are contributing to making a positive difference to the care sector, then we will lose credibility. We are unable to manage the expectations of the sector, stakeholders (including Welsh Government) and the public.   | Yellow<br>(10) | Green<br>(5)   |
| If we don't have increased budget allocations to meet what is expected from the current and future Government term of office work programme then we will not be able to deliver our remit in future including statutory responsibilities and areas of Government priorities (such as the workforce strategy, workforce wellbeing, balancing rights and responsibilities and the data strategy). | Red<br>(20)    | Red<br>(20)    |
| If we don't manage competing Welsh Government priorities and ensure that any new work is within our scope and purpose then we could result in over committing our resources to deliver, extend our remit beyond our scope and lose our identity and unique purpose.   | Red<br>(20)    | Green<br>(6)   |
| If we don't remain engaged with 'A Healthier Wales' and maintain key relationships with Welsh Government and critical stakeholders (HEIW, PHW)  | Red<br>(20)    | Yellow<br>(8)  |

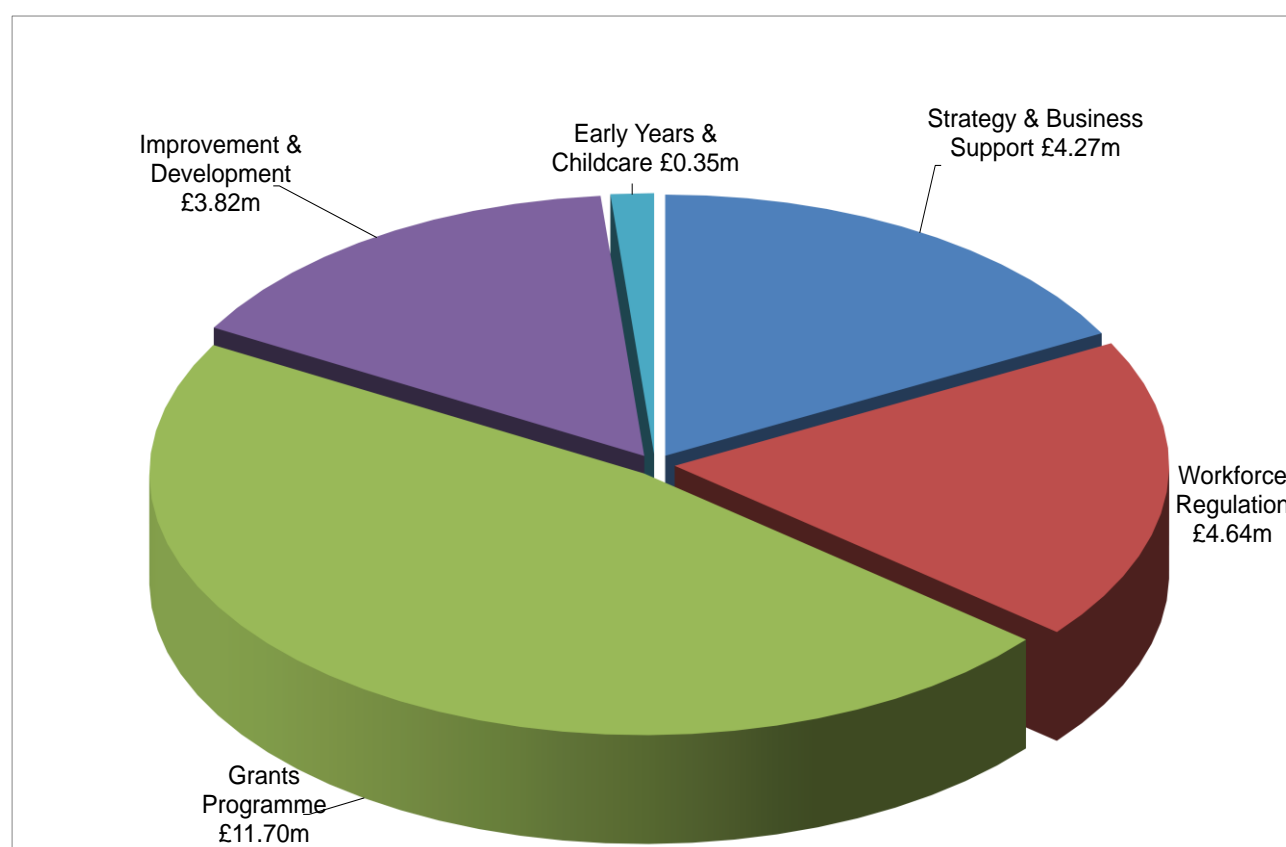
## Appendix 1

|  |               |                |
|--|---------------|----------------|
| etc) then this could impact on key deliverable priorities resulting in social care not being rebalanced within the ambition of 'A Healthier Wales' and lose confidence if we do not deliver against expectations.  |               |                |
| If we are not clear on the implications of the end of the transition period on exiting the EU for the social care and early years sector, then we will not be in a position to provide additional support and clear guidance to the sector during this period. | Amber<br>(15) | Green<br>(9)   |
| If we do not respond accordingly to the COVID-19 pandemic, then we will not be supporting the social care sector in helping them deliver front line care and support during the pandemic.  | Amber<br>(15) | Green<br>(6)   |
| If we do not demonstrate how we are supporting the health and wellbeing of the social care and early years, then there will be an impact on the sustainability of the workforce.   | Amber<br>(15) | Yellow<br>(8)  |
| If we don't support our own workforce (Social Care Wales) during this time, then we will not be an effective and efficient organisation where staff health and wellbeing is at the centre of how we work.  | Amber<br>(15) | Green<br>(6)   |
| Working remotely has increased the risk of cyber fraud, hacking and scamming. Therefore, putting vulnerabilities within our IT network and opportunities for fraud.  | Amber<br>(15) | Yellow<br>(10) |
| If we are unable to recruit Board members with the right skills, experience, and diversity then we will have a gap at Board level to support the social care and early years sector and scrutinise fully the work of the organisation.                         | Amber<br>(12) | Yellow<br>(9)  |

## Budget Report for the period to 30 June 2021

This is the first budget monitoring report for the financial year 2021-22. The report covers income and spend for the first three months to 30 June 2021. The report is based on a total annual budget of £24,782,000. This is financed from £23,251,000 Grant in Aid (including £410k internal carry forward), £1,405,000 registration fee income and £60,000 Apprenticeship certification income. In addition, £66,000 will be received in relation to our Workforce Strategy Mental Health Work

The final total annual budget differs from the financial allocations presented as part of the draft Business Plan previously presented to Board further to finalisation of budgets with budget holders. The amended financial allocations are as follows: -



## Appendix 2

|                               | Financial Allocations as per draft Business Plan | Final Financial allocations | Reallocation |
|-------------------------------|--|-----------------------------|--------------|
| Grants Programme              | £11,705,000                                      | £11,699,000                 | (£6,000)     |
| Workforce Regulation          | £4,728,000                                       | £4,649,000                  | (£79,000)    |
| Improvement and Development   | £3,744,000                                       | £3,818,000                  | £74,000      |
| Early Years and childcare     | £345,000   | £345,000                    | -            |
| Strategy and Business Support | £4,260,000                                       | £4,271,000                  | £11,000      |
| <b>Total Budget</b>           | <b>£24,782,000</b>                               | <b>£24,782,000</b>          |              |

A high-level summary of performance for the first three months is reported below and a more detailed analysis is also attached: -

### Financial Summary to 30 June 2021

|  | Annual Budget | Actual YTD   | Budget YTD   | Variance  | Outturn Prediction |
|--|---------------|--------------|--------------|-----------|--------------------|
|  | £'000         | £'000        | £'000        | £'000     | £'000              |
| <b>Income</b>                                | 24,782        | 2,434        | 2,415        | 19        | 24,788             |
| <b>Expenditure</b>                           |               |              |              |           |                    |
| Grants Programme                             | 11,699        | 150          | 151          | 1         | 11,699             |
| Workforce Regulation                         | 4,649         | 894          | 910          | 16        | 4,649              |
| Improvement and Development inc Res and Data | 3,818         | 698          | 710          | 12        | 3,818              |
| Early Years and Childcare                    | 345           | 47           | 49           | 2         | 345                |
| Strategy and Business Support                | 4,271         | 845          | 857          | 12        | 4,271              |
| <b>Totals</b>                                | <b>24,782</b> | <b>2,635</b> | <b>2,678</b> | <b>43</b> | <b>24,782</b>      |

### Income Analysis

Income after the first quarter is slightly ahead of budget with Registration fees greater than budgeted. However, we are still at this point predicting that £1,405,000 of Registration fees will be received in the financial year.

### Expenditure Analysis

As at the end of June 2021 we are currently reporting a £43k expenditure underspend against budget with minor underspends in all budgets. These are a matter of timing and is still anticipated that the budgets will be fully spent at the end of the financial year.

The largest variance is in respect of the Workforce Regulation Budget which is £16k underspent at the three-month point. The Salary budget is underspent with the primary contributor being the Panels salary element of the budget, but we are anticipating that this budget will be fully spent at the end of the financial year. The administration element of the budget is overspent by £9k but this is a matter of timing and again we are anticipating that spend will be in line with budget at the end of the financial year.

## **Appendix 2**

We will be closely monitoring all budgets in the next quarter in respect of actual and projected underspends to inform a review of budgets at the mid-year point. At the mid-year point we will have a clearer picture of progress on recruitment, likely uptake of bursaries and Panel hearing activity for the financial year.

## Financial Summary to 30 June 2021

| Income                            | Annual Budget | Actual YTD   | Budget YTD   | Variance  | Predicted Income |
|-----------------------------------|---------------|--------------|--------------|-----------|------------------|
|                                   | £'000         | £'000        | £'000        | £'000     | £'000            |
| Grant In Aid                      | 23,251        | 2,150        | 2,150        | 0         | 23,251           |
| Apprenticeship Certificate Income | 60            | 10           | 11           | (1)       | 60               |
| Registration Fee Income           | 1,405         | 253          | 238          | 15        | 1,405            |
| Mental Health Workforce           | 66            | 16           | 17           | (0)       | 66               |
| Other Income                      | 0             | 6            | 0            | 6         | 6                |
| <b>Total Income</b>               | <b>24,782</b> | <b>2,434</b> | <b>2,415</b> | <b>19</b> | <b>24,788</b>    |

| Expenditure                      | Annual Budget | Actual YTD | Budget YTD | Variance | Predicted Outturn |
|----------------------------------|---------------|------------|------------|----------|-------------------|
|                                  | £'000         | £'000      | £'000      | £'000    | £'000             |
| <b>Grants Programme</b>          |               |            |            |          |                   |
| SCWWDP                           | 7,149         | -          | -          | -        | 7,149             |
| People Using Services and Carers | 70            | -          | -          | -        | 70                |
| Regional Facilitation            | 782           | -          | -          | -        | 782               |
| Student Funding                  | 2,235         | 45         | 35         | (10)     | 2,235             |
| PLOF                             | 1,326         | 105        | 116        | 11       | 1,326             |
| SfCD                             | 14            | -          | -          | -        | 14                |
| Research                         | 123           | -          | -          | -        | 123               |
| <b>Sub-total</b>                 | <b>11,699</b> | <b>150</b> | <b>151</b> | <b>1</b> | <b>11,699</b>     |

|                             |              |            |            |           |              |
|-----------------------------|--------------|------------|------------|-----------|--------------|
| <b>Workforce Regulation</b> |              |            |            |           |              |
| Administration              | 85           | 18         | 9          | (9)       | 85           |
| Hearings                    | 1,128        | 187        | 182        | (5)       | 1,128        |
| Projects                    | 369          | 1          | 2          | 1         | 369          |
| Salaries                    | 3,067        | 688        | 718        | 30        | 3,067        |
| <b>Sub-total</b>            | <b>4,649</b> | <b>894</b> | <b>910</b> | <b>16</b> | <b>4,649</b> |

|                                    |              |            |            |           |              |
|------------------------------------|--------------|------------|------------|-----------|--------------|
| <b>Improvement and Development</b> |              |            |            |           |              |
| Administration                     | 45           | 4          | 7          | 3         | 45           |
| Intelligence and Data Admin        | 6            | -          | -          | 0         | 6            |
| Projects                           | 1,318        | 191        | 189        | (2)       | 1,318        |
| Salaries                           | 2,449        | 503        | 514        | 11        | 2,449        |
| <b>Sub-total</b>                   | <b>3,818</b> | <b>698</b> | <b>710</b> | <b>12</b> | <b>3,818</b> |

|                                  |            |           |           |          |            |
|----------------------------------|------------|-----------|-----------|----------|------------|
| <b>Early Years and Childcare</b> |            |           |           |          |            |
| Projects                         | 124        | 0         | -         | (0)      | 124        |
| Salaries                         | 221        | 47        | 49        | 2        | 221        |
| <b>Sub-total</b>                 | <b>345</b> | <b>47</b> | <b>49</b> | <b>2</b> | <b>345</b> |

|                                      |              |            |            |           |              |
|--------------------------------------|--------------|------------|------------|-----------|--------------|
| <b>Strategy and Business Support</b> |              |            |            |           |              |
| Premises                             | 602          | 144        | 144        | (0)       | 602          |
| Governance                           | 98           | 19         | 17         | (2)       | 98           |
| Communications                       | 113          | 13         | 18         | 5         | 113          |
| Carreg and IT                        | 617          | 117        | 131        | 13        | 617          |
| Finance & Grant Admin                | 10           | 1          | 1          | (0)       | 10           |
| Human Resources                      | 118          | 36         | 27         | (9)       | 118          |
| Projects                             | 308          | 2          | -          | (2)       | 308          |
| Salaries                             | 2,407        | 512        | 520        | 8         | 2,407        |
| <b>Sub-total</b>                     | <b>4,271</b> | <b>845</b> | <b>857</b> | <b>12</b> | <b>4,271</b> |

|                          |               |              |              |           |               |
|--------------------------|---------------|--------------|--------------|-----------|---------------|
| <b>Total Expenditure</b> | <b>24,782</b> | <b>2,635</b> | <b>2,678</b> | <b>43</b> | <b>24,782</b> |
|--------------------------|---------------|--------------|--------------|-----------|---------------|

HR Quarter 1: performance dashboard

| Key points from Quarter 1  | Future focus in Quarter 2  |
|--|--|
| <ul style="list-style-type: none"> <li>• We are now Level 1 Disability Confident Committed</li> <li>• All managers have completed Disability Confident training delivered by Disability Rights UK.</li> <li>• We have expanded the HR Team, successfully recruiting an additional HR and wellbeing officer who will work in a generalist HR role but with a lead on supporting delivery of our learning and development plans.</li> <li>• We have rolled out our revised Performance Management policy and procedures. We will be evaluating how the approach is being embedded with an internal review by the team following quarter</li> </ul> | <ul style="list-style-type: none"> <li>• Developing our Learning and Development Strategy in line with our 5 year strategic priorities</li> <li>• Developing principles on future flexible working policies, including hybrid working.</li> <li>• Reintroducing elements of our HR policies that had been temporarily amended, including reintroduction of the requirement to work contractual hours.</li> <li>• Working as part of the Business Continuity Team to conduct and evaluate the office working pilot which will support staff wellbeing and activities that require some level of office access.</li> </ul> |
| <p><b>Staff turnover</b></p>   | <p><b>Staff absence</b></p>  |
| <p>Quarter 1 turnover rate is 2.18 %</p> <p>We had 3 leavers in Quarter 1.</p> <p>Our target turnover rate is to remain under 15%.</p>   | <p>Currently within our &lt;3% target</p> <p>Quarter 1 total is 2.83% %</p> <p>Total excluding long term absence is 1.19%.</p> <p>Sickness absence figures include 3 long term ongoing absences that have been referred to our Occupational Health provider</p>  |
| <p><b>Recruitment:</b></p>   |  |
| <p>We have advertised and closed 23 vacancies. A further 4 are currently live.</p> <p>We have made 14 offers of appointment, so have a current success rate of 65%.</p> <p>Of those offers of appointment made, 13 were to external candidates and 2 internal.</p>   |  |