



CYFARFOD BWRDD CYHOEDDUS

16 Gorffennaf 2020

Cyfarfod rhithwir

09:30 – 13:00

Sesiwn gyhoeddus			Tudalen
09:30	1.	Croeso a sylwadau agoriadol gan y Cadeirydd	Llafar
09:35	2.	Ymddiheuriadau a Datgan Buddiannau	Llafar
09:40	3.	Cofnodion cyfarfod Bwrdd 30 Ebrill 2020 Cofnodion cyfarfod Bwrdd 28 Mai 2020 I'w cymeradwyo	SCW/20/04 3 19
09:45	4.	Log gweithredu a materion yn codi	SCW/20/05 27
09:50	5.	Diweddariad gan Gadeiryddion y Pwyllgorau I'w nodi a derbyn	Llafar
Ar gyfer penderfyniad:			
Thema Blaenoriaeth 4: Galluogi Gofal Cymdeithasol Cymru i ddarparu			
10:05	6.	Adroddiad Blynyddol a Chyfrifon Drafft 2019-20, Adroddiad ar yr archwiliad o'r cyfrifon Atodiad 1 Atodiad 2 I'w ystyried a chymeradwyo	SCW/20/06 32 35 99
10:36	7.	Adroddiad sicrwydd Cadeirydd y Pwyllgor Archwilio a Risg i'r Bwrdd Atodiad 2 I'w ystyried a chymeradwyo	SCW/20/07 117 127
10:45 – 10:55 Egwyl			
10:55	8.	Cynllun Busnes: Adroddiad cynnydd chwarter 1 I'w ystyried a chymeradwyo	SCW/20/08 140
11:25	9.	Ymgynghoriad Cynllun Strategol 2022-2026 drafft I'w ystyried a chymeradwyo	SCW/20/09 166
11:55 – 12:05 Egwyl			
12:05	10.	Diweddariad gwelliannau llywodraethu	SCW/20/10 186

I'w ystyried a chymeradwyo

12:35 11. [Covid-19 a Strategaeth y Gweithlu Iechyd a Gofal Cymdeithasol](#) SCW/20/11 203
I'w ystyried a thrafod

For discussion:

13:00 12. Effeithiolrwydd y cyfarfod Llafar
I'w drafod

Dyddiad y cyfarfod nesaf:

Dydd Iau 22 Hydref 2020

(Atebolrwydd Cyfarfod â'r Dirprwy Weinidog dros Iechyd a Gwasanaethau Cymdeithasol)



Gofal Cymdeithasol Cymru Social Care Wales

CYFARFOD BWRDD PREIFAT

30 Ebrill 2020

Cyfarfod Rhithwir Zoom

09:30 – 12:20

Yn bresennol:

Aelodau'r Bwrdd:

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

Gofal Cymdeithasol Cymru:

Sue Evans (Prif Swyddog Gweithredol)
David Pritchard (Cyfarwyddwr Rheoleiddio)
Jo Oak (Cyfarwyddwr Gwasanaethau Corfforaethol a Strategaeth)
Sarah McCarty (Cyfarwyddwr Gwella a Datblygu)
Geraint Rowlands (Cyfarwyddwyr Cynorthwyol Cyllid a TGCh)
Hywel Dafydd (Cyfarwyddwr Cynorthwyol Rheoleiddio)
Kate Salter (Cyfarwyddwr Cynorthwyol Gwasanaethau Corfforaethol)
Llinos Bradbury (Uwch Swyddog Llywodraethu - cofnodion)

Sesiwn breifat:

1. **Croeso a Sylwadau Agoriadol gan y Cadeirydd**
 - i. Croesawodd y Cadeirydd bawb i'r cyfarfod a nododd, oherwydd yr amgylchiadau presennol, y cynhelir y cyfarfod yn breifat fel y caniateir yn Rheolau Sefydlog y Bwrdd. Ni fydd cyfieithu ar y pryd yn y cyfarfod. Fodd bynnag, oherwydd y tebygolrwydd o orfod cynnal cyfarfod mis Gorffennaf ar ffurf rithwir, mae'r tîm Llywodraethu Corfforaethol yn gweithio gydag Aled Jones, o Cymen, er mwyn sicrhau y gellir gwneud hyn ar gyfer cyfarfodydd yn y dyfodol.
 - ii. Diolchodd y Cadeirydd i'r Aelodau am y cwestiynau a dderbyniwyd ymlaen llaw a gofynnwyd am ganiatâd yr Aelodau i beidio â thrafod materion tymor hirach yn y cyfarfod heddiw ac y byddai SE yn mynd i'r afael â'r rhain yn un o'i briffiau wythnosol i'r Bwrdd. Roedd aelodau'r Bwrdd yn cytuno â'r dull hwn.
 - iii. Nododd y Cadeirydd nad oedd unrhyw ymddiheuriadau wedi dod i law ar gyfer y cyfarfod.

- iv. Datganodd Grace Quantock fuddiant newydd fel aelod o Bwyllgor Comisiwn Cydraddoldeb a Hawliau Dynol Cymru, a oedd wedi'i ychwanegu at gofrestr buddiannau'r Aelodau.

2. Cofnodion y Cyfarfod Bwrdd Preifat 12 Rhagfyr 2019

- i. Cafodd y cofnodion eu harchwilio am gywirdeb a'u **cymeradwyo** gan y Bwrdd.
- ii. Rhoddodd SE y wybodaeth ddiweddaraf am gais yr ESRC a hysbysodd y Bwrdd fod y penderfyniad wedi'i ohirio o fis Gorffennaf tan fis Medi, fodd bynnag, rydym, ar sail anffurfiol, yn derbyn cwestiynau da ynghylch y cais sy'n awgrymu diddordeb.

3. Cofnodion Cyfarfod Cyhoeddus y Bwrdd 31 Ionawr 2020

- i. Cafodd y cofnodion eu harchwilio am gywirdeb a'u **cymeradwyo** gan y Bwrdd.

4. Log gweithredu a materion yn codi

- i. Tynnwyd sylw'r aelodau at y log gweithredu treigl a gyflwynwyd. Mae hyn yn rhoi'r wybodaeth ddiweddaraf i'r aelodau am gynnydd yn erbyn camau gweithredu ers y cyfarfod diwethaf. Ni chodwyd unrhyw faterion eraill a oedd yn codi.

5. Covid-19: Ein hymateb

- i. Rhoddodd KS y wybodaeth ddiweddaraf i'r Aelodau am ddatblygiadau ers ysgrifennu'r papur:
 - Mae angen cynnwys ceisiadau ychwanegol yn y Gofrestr Penderfyniadau gan fod y cerdyn gweithiwr gofal cymdeithasol wedi'i ehangu i'r gweithwyr blynyddoedd cynnar a gofal plant hynny sy'n dal i weithio;
 - Cafodd y broses o sefydlu staff ei hadolygu ar 27 Ebrill gan y tîm arweinyddiaeth a oedd yn edrych yn benodol ar gontractau cyfnod penodol, a gwneir penderfyniad yr wythnos yn dechrau 4 Mai ar y contractau hynny sydd i'w hystemyn am gyfnod penodol o amser;
 - Mae trafodaethau wedi'u cynnal ar draws y sefydliad o ran adolygu ac addasu'r Cynllun Busnes ar gyfer 2020-21 sy'n eitem i'w thrafod yn ddiweddarach yn yr agenda;
 - Mae Atodiad 2, cofrestr ar gyfer Risgiau Strategol Covid-19, yn cael ei adolygu bob pythefnos gan EMT. Ni fu unrhyw newidiadau ers ysgrifennu'r papur;
 - Mae Tudalen 42, Atodiad 3, yn nodi sut mae Gofal Cymdeithasol Cymru yn cefnogi'r sectorau gofal cymdeithasol a blynyddoedd cynnar. Mae'r camau hynny sydd wedi'u nodi fel 'I'w cadarnhau' yn y papur bellach wedi'u cyhoeddi a bydd gwybodaeth a chanllawiau ynghylch gofal diwedd oes yn cael eu cyhoeddi yn ystod yr wythnos sy'n dechrau ar 4 Mai. Gwahoddwyd yr Aelodau i gyfeirio'n ôl at y dudalen we gan ei bod yn cael ei diweddarau'n barhaus wrth i adnoddau ychwanegol gael eu cynhyrchu;

- Erbyn dydd Gwener 24 Ebrill, roedd y Cerdyn Gweithiwr Gofal Cymdeithasol wedi cael ei lawrlwytho dros 21,000 o weithiau. Bydd y profiad o gyflwyno'r cerdyn yn helpu i lywio ein gwaith digidol gyda'r sector yn y dyfodol;
- Mae nifer yr ymweliadau i dudalennau gwe ac yn arbennig y tudalennau ar Covid-19 wedi cynyddu. Yn yr wythnos yn dechrau 20 Ebrill, cafwyd 15,500 o ymweliadau i'r dudalen ar Covid-19 yn unig;
- Mae negeseuon cyfryngau cymdeithasol y Prif Swyddog Gweithredol hefyd yn denu nifer fawr o ymweliadau gyda thros 3,800 o ymweliadau hyd yn hyn;
- O ran cyfathrebu'n uniongyrchol â'r rhai sydd ar y gofrestr, roedd hanner y rheini a gafodd y wybodaeth ddiweddaraf am waith y sefydliad yn ystod yr wythnos yn dechrau 27 Ebrill, wedi edrych ar y wybodaeth o fewn 24 awr;
- Mae Gofal Cymdeithasol Cymru yn rhan o'r gwaith o lunio bwletin wythnosol ADSS Cymru sydd wedi'i dargedu'n benodol at ddarparwyr a chyflogwyr;
- Anfonwyd holiadur ar weithio gartref at aelodau staff Gofal Cymdeithasol Cymru. Mae 92% wedi cwblhau'r holiadur ac mae'r 9 sydd eto i'w gwblhau yn cael eu hannog i wneud hynny. Mae pob asesiad risg uchel wedi'i gwblhau;
- Mewn perthynas ag effaith COVID-19 ar ein haelodau staff, mae un unigolyn wedi cael prawf cadarnhaol yn swyddogol ac mae bellach yn ôl yn ei waith yn dilyn triniaeth ysbyty fel claf mewnol. Mae nifer o bobl eraill wedi nodi symptomau ond heb gael eu profi'n swyddogol;
- Cwblhawyd yr asesiad Buddsoddwyr mewn Pobl (BmP) yn gynt na'r disgwyl ac mae'r sefydliad wedi cyrraedd Safon Arian. Bydd yr adborth a gafwyd gan yr aseswyr yn llywio ein cynlluniau ar gyfer gwella'r sefydliad yn y dyfodol;
- Cyfarfu KS, SE a Cathryn Thomas (Cyfarwyddwr Cynorthwyol Gwella) â thîm Cyfnewidfa Arfer Da (GPX) Archwilio Cymru ar 22 Ebrill er mwyn archwilio sut gall Gofal Cymdeithasol Cymru addasu ei fethodoleg, sydd wedi hen ennill ei phlwyf, er mwyn canfod y dysgu sy'n dod i'r amlwg o weithio yn yr amgylchedd COVID-19 presennol;
- Mae'r grŵp lechyd a Lles yn cyfarfod yn wythnosol ac yn gweithio ar fentrau i gefnogi staff a helpu pawb i aros mewn cysylltiad wrth weithio gartref;
- I gefnogi rheolwyr, bwriedir cynnal arolygon ychwanegol er mwyn rhoi arweiniad ar reoli eu timau, datblygu eu gwaith a gofalu amdanynt eu hunain;
- Mewn ymateb i gwestiynau yn ymwneud â gwyliau blynyddol, dywedodd KS wrth y Bwrdd fod staff yn dal i gael eu hannog i gymryd gwyliau blynyddol yn ystod y trefniadau presennol, ar hyn o bryd dyma ddechrau'r flwyddyn wyliau flynyddol a bydd y sefydliad yn cadw llygad ar hyn;
- Derbyniwyd nifer o llythyrau Annwyl Swyddog Cyfrifyddu yn gofyn am wybodaeth am ymateb COVID-19 y sefydliad a bydd y papur sy'n cael ei gyflwyno i'r Bwrdd yn cael ei ddefnyddio i ymateb i'r llythyrau hynny.

- ii. Ar ran y Bwrdd, llongyfarchodd y Cadeirydd y rhai a fu'n gysylltiedig â chyflawni gwobr Arian BmP. Roedd y Cadeirydd hefyd yn canmol y Prif Swyddog Gweithredol a'r uwch dîm am y ffordd yr oedd y sefydliad wedi ymateb i COVID-19 ar y dechrau. Roedd cyflymder ymateb y sefydliad wedi cael cryn argraff ar yr Aelodau yn ogystal â'r agwedd flaengar a oedd wedi'i mabwysiadu mewn adfyd.
- iii. Rhoddodd JO y wybodaeth ddiweddaraf i'r Bwrdd am yr amserlen ar gyfer llunio'r adroddiad blynyddol a'r cyfrifon yn dilyn cwestiynau gan aelodau. Mae JO, SE a GR wedi trafod y sefyllfa bresennol gydag archwilwyr mewnol ac allanol ac maent yn

bwrw ymlaen ar sail yr amserlen a bennwyd yn wreiddiol. Y bwriad yw i'r Bwrdd gytuno a llofnodi'r adroddiad blynyddol a'r cyfrifon yn ei gyfarfod ym mis Gorffennaf. Fodd bynnag, roedd rhai amodau a all effeithio ar hynny.

- iv. Cynhaliwyd yr archwiliad interim cyntaf gan Archwilio Cymru yn ystod yr wythnos yn dechrau 20 Ebrill. Derbyniwyd llythyr gan yr Archwilydd Cyffredinol yn cydnabod y bydd angen agwedd pragmatig o dan yr amgylchiadau presennol. Mae angen cydnabod hefyd nad yw'r broses mor syml ag arfer o bosibl gan ein bod yn dibynnu ar wybodaeth trydydd parti (e.e. pensiynau) a allai gael ei hoedi. Mae'n bosibl y bydd gallu Archwilio Cymru i gynnal yr archwiliad terfynol yn her hefyd o ran adnoddau dynol. Os bydd yr archwiliad terfynol yn llithro ddiwedd mis Mai, mae'n bosibl na fydd modd cyflwyno'r cyfrifon terfynol yng nghyfarfod mis Mehefin o gyfarfod y Pwyllgor Archwilio a Risg. Fodd bynnag, y nod o hyd fydd eu cyflwyno i'r Bwrdd ym mis Gorffennaf a bydd angen nodi dull amgen o weithredu. Os oes unrhyw newidiadau sylweddol yn y broses, bydd SE yn rhoi'r wybodaeth ddiweddaraf i Aelodau'r Bwrdd drwy'r sesiynau briffio COVID-19 y mae hi'n eu darparu bob pythefnos ar hyn o bryd.
- v. Nododd EB ei bod yn gwerthfawrogi'r heriau yr oedd yr amgylchiadau presennol yn eu cyflwyno ac roedd clywed bod y gwaith o lunio'r cyfrifon yn parhau ar y trywydd cywir wedi ei chalonogi.
- vi. Darparodd DP ymateb i gwestiynau a gyflwynwyd gan EB cyn y cyfarfod mewn perthynas â safonau addasrwydd i ymarfer a graddau gwaith cymdeithasol:
 - Mae Gofal Cymdeithasol Cymru wedi bod yn cydweithio'n agos â rheoleiddwyr eraill y DU ac, yn rhinwedd Deddf Argyfwng y Coronafeirws, mae wedi sefydlu cofrestr dros dro ar gyfer gweithwyr cymdeithasol sy'n dychwelyd. Mae fframwaith wedi'i roi ar waith er mwyn sicrhau bod y rhai sy'n ymuno â'r gofrestr yn addas i ymarfer. Mae'n ofynnol i ymgeiswyr wneud datganiadau ac mae proses ar gael er mwyn mynd i'r afael ag unrhyw bryderon a nodir. Mae'n ofynnol hefyd i awdurdodau lleol arfer diwydrwydd dyladwy mewn perthynas â chyflogi gweithwyr cymdeithasol o'r gofrestr dros dro.
 - Mewn perthynas â graddau gwaith cymdeithasol, aethpwyd ati'n pragmatig gan alluogi carfannau eleni i gwblhau eu graddau, a chymhwyso fel Gweithwyr Cymdeithasol a symud i wasanaeth. Fodd bynnag, mae'r trafodaethau ynghylch effaith gostyngiad sylweddol nifer y myfyrwyr yn y dyfodol yn y camau cynnar. Bydd DP yn rhoi'r wybodaeth ddiweddaraf i'r Bwrdd am unrhyw ddatblygiadau yn y dyfodol mewn perthynas â hyn wrth i'r trafodaethau ddatblygu. **GWEITHREDU**
- vii. Cadarnhaodd EB ei bod yn fodlon â'r ymatebion i'w chwestiynau. Rhannodd ei phrofiad personol o wneud gradd Meistr ac mae'n pwysleisio'r effaith bosibl ar y cwrs yn y dyfodol o ganlyniad i ofynion cadw pellter cymdeithasol.
- viii. Rhoddodd SMCc y wybodaeth ddiweddaraf am y Gwobrau mewn ymateb i gwestiynau a gyflwynwyd ymlaen llaw gan aelodau:
 - Mae seremoni'r Gwobrau wedi'i gohirio ac mae dyddiad dros dro wedi'i neilltuo ar gyfer mis Tachwedd 2020. Fodd bynnag, bydd hyn yn dibynnu ar ofynion cadw pellter cymdeithasol yn y dyfodol. Dros y mis nesaf, bydd gwaith yn cael

ei wneud i archwilio sut y gellid cynnal y seremoni ac os na wneir hynny, byddwn yn ystyried a ellid cynnal y seremoni ar ffurf rithwir.

- O ran casglu arferion da o'r ymateb i COVID-19, mae'r ffocws hyd yma wedi bod ar gydnabod gweithwyr. Mae Llywodraeth Cymru wedi lansio dull o rannu arferion arloesol a anfonwyd at y rhanbarthau tua phythefnos yn ôl. Nid yw'n glir eto pa mor llwyddiannus y bu hyn, felly efallai y gellir gwneud rhagor o waith o ran casglu straeon newyddion da. Mae unrhyw beth y mae'r sefydliad yn ei nodi yn cael ei rannu drwy'r ymgyrch Gofalwn Cymru.
- Mae angen rhannu a hyrwyddo arferion arloesol, ond mae'n rhaid cydbwysu hyn yn ofalus o ystyried nifer y ceisiadau am wybodaeth gan y wasg a graddau'r wybodaeth sy'n cael ei chylchredeg yn y cyfryngau.

- ix. Diolchodd PM i SMcC am y wybodaeth ddiweddaraf ond gofynnodd a oedd unrhyw beth y gellid ei wneud i hyrwyddo'r gwaith da sy'n cael ei amlygu ar y cyfryngau cymdeithasol ledled Cymru. Dywedodd SMcC fod arfer da yn cael ei rannu drwy'r ymgyrch Gofalwn; Mae 200 a mwy o negeseuon cyfryngau cymdeithasol wedi'u cyhoeddi ers mis Ionawr. Fodd bynnag, ar hyn o bryd, nid oes mecanwaith i gysylltu hyn â'r Gwobrau. Mae cyngor gan y tîm Cyfathrebu yn awgrymu bod mwy na 5 'neges drydar' y dydd yn golygu bod negeseuon yn cael eu colli ac felly mae angen ystyried yn ofalus pa neges sy'n cael ei hyrwyddo.
- x. Holodd JM a oedd yr enillwyr wedi cael eu hysbysu ac roedd yn credu y gallai hyn roi hwb i forâd dan yr amgylchiadau presennol. Dywedodd SMcC nad yw'r enillwyr wedi cael eu hysbysu er bod y categori'r rownd derfynol yn ymwybodol o gofio bod gwahoddiadau wedi cael eu hanfon ar gyfer y seremoni cyn y gohiriad. Bydd angen ystyried sut i rannu a hyrwyddo'r enillwyr a bydd hynny'n ddibynnol ar yr hyn a benderfynir o ran fformat ac amseru seremoni'r Gwobrau.
- xi. Mewn ymateb i gwestiwn gan JM am y posibilrwydd o gronni gwyliau blynyddol wrth i staff weithio gartref, dywedodd JO fod y flwyddyn newydd ar gyfer gwyliau blynyddol wedi cychwyn ym mis Ebrill. Mae'r staff yn cael eu hannog i gymryd eu gwyliau blynyddol fel arfer yn ystod y sefyllfa bresennol gan fod hyn yn bwysig ar gyfer eu lles. Dylid ystyried yr effaith y bydd dwyn ymlaen sylweddol ar wyliau blynyddol yn ei gael ar y gallu i gyflawni'r cynllun busnes. Dywedodd JO fod hyn yn cael ei fonitro'n ofalus ac y bydd yr adnoddau sydd ar gael yn cael eu hystyried wrth ailfodelu'r cynllun busnes.
- xii. Gofynnodd CC beth fyddai tebygolrwydd ac effaith adleoli aelodau staff i Lywodraeth Cymru i gynorthwyo gyda'r ymateb i COVID-19. Dywedodd SE wrth y Bwrdd nad oedd neb wedi cael ei adleoli ar hyn o bryd a'i bod wedi mynd yn ôl at Lywodraeth Cymru i ofyn am ragor o fanylion am y sgiliau y maent yn chwilio amdanynt. Mae hi hefyd wedi gofyn i'r Cyfarwyddwyr Cynorthwyol ystyried y gallu sydd gan eu timau ac a oes modd rhyddhau unrhyw un ond pwysleisiodd yr angen i sicrhau bod anghenion busnes y sefydliad yn gallu cael eu diwallu o hyd.
- xiii. Holodd CC am yr effaith ar y gyllideb mewn perthynas â chost cynhyrchu a gweinyddu'r cerdyn Gweithiwr Gofal Cymdeithasol. Dywedodd SE fod y gost wedi'i nodi yn y papur a bod modd ei chyrraedd o fewn y cyllidebau presennol, yn enwedig yn wyneb y ffaith bod y trafodaethau gyda Llywodraeth Cymru i sicrhau cyllid

ychwanegol ar gyfer 2020/21 yn mynd rhagddynt yn dda. Fodd bynnag, bydd sefyllfa'r gyllideb yn dod yn gliriach wrth ail-lunio'r Cynllun Busnes ar gyfer 2020-21.

- xiv. Holodd CC ynghylch yr hyn a oedd wedi'i ddysgu hefyd yn ystod y cyfnod hwn a'r cyfle i'r Bwrdd fyfyrion ar hynny. Dywedodd SE fod GPX Archwilio Cymru yn defnyddio technoleg sense maker, a bod KS yn ystyried y ffordd orau o gael y sefydliad i'w ddefnyddio er mwyn dysgu gan ei fod yn digwydd yn ystod yr ymateb i'r COVID-19. Bydd y dysgu'n cael ei rannu gyda'r Bwrdd a fydd yn rhan annatod o'r broses. Rhagwelir y bydd cynllun gwella'r sefydliad yn dod i'r amlwg ac y bydd y Bwrdd yn ymwneud yn agos â'r gwaith o'i ddatblygu.
- xv. Diolchodd AH i SE a'i huwch dîm am lwyddo i newid model gweithredu'r sefydliad i fodol o weithio gartref mor gyflym a gofynnodd a fyddai ymgyrch recriwtio genedlaethol gan y GIG yn peri risg posibl i'r gweithlu gofal cymdeithasol, ac a oedd y mater hwnnw'n cael ei ystyried. Dywedodd AH fod yna, yn ôl ei phrofiad hi, berthynas waith agos gyda llywodraeth leol ar lefel leol, ac nid oedd hyn i'w weld yn digwydd. Fodd bynnag, gofynnodd a oedd hyn yn broblem ar lefel Cymru gyfan. Hysbysodd y Cadeirydd y Bwrdd ei fod wedi trafod y mater hwn yn ddiweddar gyda Chadeirydd AaGIC a oedd wedi pwysleisio'r angen i sicrhau nad yw ymgyrch y GIG yn effeithio ar y gweithlu gofal cymdeithasol sy'n adlewyrchiad o aeddfedrwydd y berthynas sy'n bodoli rhwng y ddau sefydliad. Dywedodd SE wrth yr Aelodau hefyd y cynhaliwyd cyfarfod ar y cyd â Chyfarwyddwr a Chadeirydd Cydffederasiwn y GIG yn ddiweddar lle trafodwyd y gwaith o reoli'r gweithlu iechyd a gofal yn ystod yr argyfwng presennol. Dywedodd SE fod lefel y risg bellach yn cael ei hystyried bellach i fod yn is nag yr oedd pan grëwyd y cofnod ar y gofrestr risgiau ac y byddai'r mater yn cael ei adolygu y tro nesaf y bydd EMT yn ystyried y gofrestr risgiau.
- xvi. Gofynnodd AH a fydd angen ychwanegu'r ymateb Covid-19 at y gofrestr ar gyfer risgiau strategol. Cadarnhaodd SE y byddai hyn yn digwydd.
- xvii. Cyfeiriodd AH at agoriad ysbyty Calon y Ddraig yng Nghaerdydd fel enghraifft o waith partneriaeth da gyda'r Awdurdod Lleol. Mae aelodau staff y tîm "get me home" wedi dod yn bennaf o'r timau tai a byw'n annibynnol, ac felly mae'n darparu cyfuniad o brofiad yn y maes gofal cymdeithasol a thai. O ran ymgyrchoedd cenedlaethol i ddenu gweithwyr, dywedodd AH fod byrddau iechyd, yn mynd ati'n lleol i ddilyn eu prosesau recriwtio eu hunain, yn annibynnol ar ymgyrchoedd cenedlaethol a gwasanaethau a rennir, oherwydd yr angen i recriwtio'n gyflym.
- xviii. Roedd MB yn cytuno â sylwadau AH ar y prosesau recriwtio lleol a wnaed mewn partneriaeth ag awdurdodau lleol. Yn lleol, yn y gorllewin, roedd grŵp dysgu ac arloesi wedi'i sefydlu i gasglu'r dysgu ac mae hynny'n cynnwys gofal cymdeithasol a'r trydydd sector.
- xix. Diolchodd y Cadeirydd i'r Aelodau am eu cwestiynau a'u sylwadau ar y papur hwn. Cytunodd yr Aelodau eu bod wedi **trafod** ymateb y sefydliad i COVID-19, ac wedi **craffu arno**, gan dalu sylw arbennig i'r gofrestr penderfyniadau, y gofrestr ar gyfer risgiau strategol, gan gefnogi'r sector (y cynnydd hyd yn hyn) a chefnogi iechyd a lles gweithlu Gofal Cymdeithasol Cymru.

6. Cynllun Busnes: diweddariad chwarter 4

- i. Cyflwynodd KS y wybodaeth ddiweddaraf am y Cynllun Busnes a nododd fod ffigurau diweddaraaf ar gyfer ymgyrch Gofalwn Cymru bellach wedi dod i law ac y byddant yn cael eu rhannu ag Aelodau y tu allan i'r cyfarfod.
- ii. Gofynnodd EB a fu unrhyw faterion o ran diogelu data yn ystod y cyfnod gweithio o bell. Hysbysodd KS yr Aelodau fod achos o dorri data wedi'i gyfeirio at Swyddfa'r Comisiynydd Gwybodaeth a'u bod yn disgwyl ymateb ganddynt. Bydd yr aelodau staff yn cael eu holi ymhellach yn ystod yr wythnosau nesaf am y cymorth ychwanegol a fydd angen ar gyfer rheoli data wrth weithio o bell.
- iii. Mewn ymateb i gwestiynau a godwyd ymlaen llaw gan KH am gwblhau dyfarniadau cymhwyster, cynghorodd SMcC y cafwyd cyfres o sgysiau partneriaeth rhwng Gofal Cymdeithasol Cymru, Cymwysterau Cymru, y Consortiwm ac AaGIC er mwyn ceisio dod o hyd i'r atebion gorau posibl. Teimlwyd bod y marciwr o 70% ar gyfer cwblhau yn deg ac yn bragmataidd. Dywedodd KH y bydd y trefniadau hyn yn golygu na fydd colegau'n derbyn myfyrwyr ym mis Medi gan y bydd myfyrwyr sy'n parhau a chyfraddau cymwysterau a chwblhau yn aros yn debyg ar y cyfan. Gofynnodd hefyd am y goblygiadau os bydd myfyrwyr yn mynd yn syth i'r gweithlu heb gwblhau eu cymhwyster, er y bydd y meincnod o 70% yn caniatáu i bobl gwblhau eu cymwysterau cyn ymuno â'r gweithlu. Cydnabu SMcC hyn gan ddweud y bydd angen parhau i ddysgu, yn enwedig mewn unrhyw gyfnod estynedig o gadw pellter cymdeithasol er mwyn deall beth mae hynny'n ei olygu i ddysgwyr.
- iv. Gofynnodd PM a oedd mwy y gellid ei wneud gan ddefnyddio offer cyfathrebu rhith i ymgysylltu â rhanddeiliaid, o gofio bod llawer mwy o bobl gartref ac y gallai fod yn haws eu cyrraedd. Dywedodd SMcC fod swyddogion yn cydweithio â Grant Thornton i ddiwygio ein dull gweithredu yng ngoleuni sefyllfa Covid-19. Bydd y cynllun busnes yn pennu pa adnoddau sydd eu hangen i gefnogi'r gweithgareddau hynny wrth symud ymlaen. Bydd angen i'r broses o ymgysylltu â'r sector gael ei strwythuro'n unol â mathau eraill o waith sy'n gysylltiedig â'r strategaeth ddata a'r gwaith y mae Cordis Bright yn ei wneud i'n helpu i asesu a dangos ein heffaith. Dywedodd JO fod y sefyllfa bresennol wedi rhoi'r cyfle i feddwl o'r newydd a chyflymu rhywfaint ar y gwaith digidol gyda'r sector. Cadarnhaodd JO hefyd y gofynnwyd i Grant Thornton ailosod rhywfaint o'r gwaith, gan ddysgu o Covid-19, er mwyn llywio'r ffordd y gallai gweithgareddau gael eu cydlynu'n well ar draws y sefydliad, yn hytrach na chanolbwyntio'n unig ar yr hyn y gallwn gynnig ei wella. Bydd hyn hefyd yn cefnogi ein camau nesaf ar gyfer y cynllun strategol.
- v. Rhoddodd GR drosolwg i'r aelodau o'r gyllideb. Ar ddiwedd y flwyddyn ariannol, roedd yr incwm yn £338,000 yn uwch na'r gwariant. Roedd hyn yn rhannol oherwydd bod incwm yn £150,000 yn fwy nag a gyllidebwyd gan fod nifer y gweithwyr gofal cartref a gofrestrodd yn uwch na'r disgwyl. O ran tanwario, cafwyd tanwariant o £ 187,000 ar fwrsariau lle cafodd dim ond 194 o'r 227 o grantiau a oedd ar gael eu dyrannu a chafodd hyn hefyd effaith ar Gyllid Cyfleoedd Dysgu Ymarfer (PLOF). Tynnodd GR sylw hefyd at y gorwariant yng nghyllideb y gwrandawiadau fel yr adroddwyd yn ystod diweddariad y trydydd chwarter. Oherwydd y sefyllfa Covid-19, nid oedd modd gwario rhai elfennau o'r gyllideb ar gyfer 2019-20 ac felly bydd rhai costau a oedd i'w talu ym mis Mawrth yn cael eu talu yn y flwyddyn ariannol newydd ac mae 1% wedi'i ddwyn

ymlaen i dalu'r costau hynny. Mae'r targed arian parod o 2% ar ddiwedd y flwyddyn wedi'i gyrraedd er gwaethaf anawsterau wythnosau olaf y flwyddyn ariannol.

- vi. Ni chafwyd unrhyw gwestiynau gan yr Aelodau am y sefyllfa ariannol ar ddiwedd chwarter pedwar
- vii. Cytunodd yr Aelodau eu bod wedi **craffu** ar y cynnydd yn erbyn y Cynllun Busnes 2019 – 2020 ar y cyfnod diwedd blwyddyn ac wedi'i **gymeradwyo**.

7. Cynllun Busnes 2020-21

- i. Nododd y Cadeirydd y byddai'r Bwrdd wedi cytuno ar y Cynllun Busnes ar gyfer 2020-21 yn y cyfarfod hwn o dan amgylchiadau arferol. Fodd bynnag, oherwydd effaith y sefyllfa Covid-19, mae'n rhaid ail-weithio'r cynllun a bydd angen i'r Bwrdd gymeradwyo'r Cynllun Busnes y tu allan i'r cyfarfodydd a drefnwyd ar gyfer y Bwrdd.
GWEITHREDU
- ii. Atgoffodd JO y Bwrdd eu bod wedi cael cyflwyniad ar y fframwaith ar gyfer Cynllun Busnes 2020-21 yng nghyfarfod mis Ionawr yn unol â deg amcan strategol y sefydliad. O ran cyllid, roedd yr aelodau wedi cael gwybod am y diffyg posibl a'r trafodaethau parhaus gyda Llywodraeth Cymru ynghylch y gyllideb. Cyn y pandemig Covid-19, cafwyd ymateb ffafriol gan y Llywodraeth mewn perthynas â'r diffyg, gan awgrymu, yn ychwanegol at y dyraniad Cymorth Grant o £19 miliwn, byddai £1.3 miliwn yn ychwanegol yn cael ei ddarparu i'w neilltuo ar gyfer y diffyg o £700,000 yn y pensiwn a chostau gweithredol eraill, gan gynnwys blaenoriaethau Gofal Cymdeithasol Cymru a gytunwyd a chymorth i flaenoriaethau newydd y Llywodraeth, gan gynnwys datblygu ffynonellau data i gefnogi fframwaith perfformiad Llywodraeth Cymru. Ers Covid-19, bu nifer o drafodaethau gyda chydweithwyr yn Llywodraeth Cymru ac ar draws y maes gofal cymdeithasol a'r blynyddoedd cynnar ynghylch y cynllun arfaethedig. Ar hyn o bryd, ni nodwyd unrhyw flaenoriaethau newydd. Y flaenoriaeth i'r sefydliad yw symud gweithgarwch er mwyn ymateb i Covid-19 a chefnogi adferiad a chynnaladwyedd y sector. Mae eisoes yn dod yn amlwg y bydd proses graffu ddwys o ran y llyfudd y mae'r sefydliad yn ychwanegu gwerth a'r ffordd y mae'n cefnogi'r ymateb i'r argyfwng a'r broses adfer.
- iii. Atgoffodd JO yr Aelodau fod gan y sefydliad gyfrifoldebau statudol craidd o hyd i'w cyflawni yn ystod y cyfnod hwn, gan gydnabod yr un pryd y gall fod angen eu haddasu hefyd mewn ymateb i Covid-19.
- iv. O ran yr amserlen ar gyfer cwblhau a chymeradwyo, tynnodd JO sylw at y ffaith mai cyfnod byr sydd ar gael i lunio'r Cynllun Busnes a'r Llythyr Cylch Gwaith ar y cyd gan fod Llywodraeth Cymru yn aros am wybodaeth gan y sefydliad er mwyn egluro sut mae'r Cynllun Busnes yn cael ei addasu i gefnogi'r sefyllfa bresennol. Mae fframwaith lefel uchel yn cael ei ddrafftio ar hyn o bryd a bydd y tîm Arweinyddiaeth a'r rheolwyr yn mynd ati wedyn i weithio ar y cynigion sydd wedi'u costio cyn mynd yn ôl at EMT i gael cytundeb, a'r gobaith yw y bydd hynny'n digwydd ar 26 Mai. Bydd angen cyflwyno'r Cynllun Busnes i Lywodraeth Cymru erbyn diwedd mis Mai. Mae hynny'n golygu y bydd angen cyfarfod Bwrdd ychwanegol rhwng y cyfarfod EMT a'i roi gerbron Llywodraeth Cymru fel y gall y Bwrdd gytuno ar y Cynllun Busnes. Yn y cyfamser,

mae angen ailfeddwl ynglŷn â'r ffordd y mae adnoddau'n cael eu dyrannu a nodi'n feirniadol beth yw busnes craidd a'r ffordd y mae adnoddau'n cael eu symud i gefnogi blaenoriaethau mwy newydd. Nododd JO fod angen i ni gofio y creffir ar bob gweithgaredd a chost y gweithgaredd hwnnw. Mae Llywodraeth Cymru eisoes wedi gofyn a oes angen y £1.3 miliwn ychwanegol o hyd ac mae'n bosibl y gellid cael adolygiad canol blwyddyn a gellir gofyn am rywfaint o'r gyllideb yn ôl. Mae'r isadran blynnyddoedd cynnar eisoes wedi awgrymu y byddant yn ymrwymo i 6 mis cyntaf y gyllideb yn unig ac yna'n ei hadolygu.

- v. Rhoddodd SMCc drosolwg lefel uchel o'r Cynllun Busnes i'r Aelodau, a fydd yn cael ei gylchredeg i'r aelodau yn ystod yr wythnos nesaf. **GWEITHREDU**
- vi. Nododd SMCc yr angen i gamu i ffwrdd o'r fframwaith arferol ar gyfer Cynllun Busnes fel y gellir disgrifio ein rôl bresennol yn y ffordd orau a ffyrdd o gefnogi'r sector wrth symud ymlaen. Roedd yn cynnig y dylid canolbwyntio ar dri maes allweddol, sef:-
 - Cyflawni swyddogaethau craidd a statudol
 - Mentrau ymateb cyflym Covid-19
 - Cefnogi adferiad a chynaliadwyedd ar gyfer y sector a'r sefydliad.
- vii. Bydd gweithgareddau yn y meysydd hyn yn cael eu llunio yn erbyn y tair cynulleidfa allweddol yr ydym yn gweithio gyda hwy, sef:-
 - Y gweithlu gofal cymdeithasol a'r gweithlu blynnyddoedd cynnar;
 - Rheolwyr, arweinwyr a pherchnogion safleoedd gofal cymdeithasol a'r blynnyddoedd cynnar;
 - Arweinwyr gofal cymdeithasol a systemau ehangach.
- viii. Bydd hyn oll seiliedig ar faterion trawsbynciol fel ystyried y cynnig digidol a'r dull gweithredu wrth symud ymlaen. Bydd angen adolygu'r cynllun strategol er mwyn ystyried uchelgais tymor hir y sefydliad, gan adeiladu ar ganfyddiadau'r gwaith a ddechreuwyd eisoes gyda Grant Thornton a Cordis Bright.
- ix. Tynnodd SE sylw at yr angen i ystyried eleni fel blwyddyn ailasesu gan ddefnyddio'r wybodaeth gan gyfeillion beirniadol annibynnol. Dylai hyn sicrhau bod y sefydliad mewn sefyllfa llawer cryfach i ddangos effaith a gwerth ychwanegol ei weithgareddau.
- x. O ran codi proffil y sector, pwysleisiodd SE fod y Llywodraeth hefyd yn canolbwyntio ar gefnogi adferiad yr economi a bod cyfle i aildefnyddio'r adroddiad a gomisiynwyd ar werth economaidd gofal cymdeithasol i oedolion. Bydd angen atgoffa'r llywodraeth hefyd o strategaeth y gweithlu na chafwyd ymateb iddi eto a bydd llythyr yn cael ei anfon ar y cyd rhwng Gofal Gymdeithasol Cymru ac AaGIC er mwyn annog ymateb i'r strategaeth, pan fydd yr amseru'n briodol. Mae'r Cynulliad Cenedlaethol yn ymgymryd â gwaith craffu ynghylch effaith Covid-19; mae un elfen o'r gwaith yn cynnwys ystyried yr effaith ar blant a phobl ifanc a bydd elfen arall yn ystyried effaith darparu gwasanaethau iechyd a gofal cymdeithasol. Bydd hyn yn rhoi cyfle i Gofal Cymdeithasol Cymru rannu'r dystiolaeth a'r dysgu sy'n deillio o'n hymateb i'r argyfwng.

- xi. Mae'r ymgyrch Gofalwn Cymru a'r broses o gyflwyno cerdyn adnabod ar gyfer gweithiwr gofal cymdeithasol yn creu "brand" ar gyfer gofal cymdeithasol yng Nghymru ac mae'n pwysleisio pwysigrwydd codi proffil y sector. Cyfeiriodd SE hefyd at y data amser real sydd ar gael i'r GIG, oherwydd y gallu sefydliadol sydd ar gael yn y seilwaith cenedlaethol, nad yw ar gael i'r sector gofal cymdeithasol. Gofynnwyd i Gofal Cymdeithasol Cymru ddatblygu strategaeth ddata newydd, a fydd yn cefnogi ac yn galluogi'r sector i wella ei allu i ddadansoddi data. Bydd hyn yn arbennig o bwysig o ran dangos effaith a manteision gofal cymdeithasol i gymdeithas, wrth i arian cyhoeddus leihau o bosibl.
- xii. Nododd SB fod natur wasgaredig y sector gofal cymdeithasol yn golygu bod negeseuon mewn perthynas â Covid-19 ar ddechrau'r argyfwng wedi'u colli o'u cymharu â negeseuon y GIG. Mae angen dod o hyd i ffordd o gael y llais unigol hwnnw sy'n gallu gweithredu ar yr un lefel â'r GIG.
- xiii. Diolchodd y Cadeirydd i JO a SMcC am eu cyfraniadau a nododd y bydd y Bwrdd yn gweld cynllun busnes lefel uchel gyda'r cyfle i gyfrannu sylwadau cyn cyfarfod Bwrdd yn ddiweddarach ym mis Mai er mwyn cytuno ar y Cynllun Busnes a'i gymeradwyo.

8. Materion Rheoleiddio

- i. Cyflwynodd HD yr adroddiad i'r Aelodau. Tynnodd HD sylw at y ffaith fod yr adroddiad mewn dwy ran, y naill yn egwyddorion Cymhwyster i Ymarfer (AiY) a'r llall yn darged y cynllun busnes ar gyfer achosion AiY sydd ar agor ers dros 18 mis. Tynnodd HD sylw at yr egwyddorion AiY a oedd wedi'u cynnwys yn y papur ac aeth ati i atgoffa'r aelodau o drafodaeth ar ddiwrnod datblygu'r Bwrdd yn trafod egwyddorion strategol y Cyngor Nyrsio a Bydwreigiaeth fel man cychwyn ar gyfer datblygu cyfres o egwyddorion a fyddai'n llywio'r rhaglen reoleiddio ar gyfer gwella.
- ii. Mewn perthynas â'r egwyddorion, tynnodd HD sylw at rai pwyntiau allweddol:
 - Mae'r egwyddor gyntaf yn disgrifio egwyddor gyffredinol AiY sef ei fod yn ymwneud â rheoli'r risg y mae person cofrestredig yn ei beri i bobl sy'n defnyddio gofal a chymorth nawr ac yn y dyfodol. Gallai hyn fod yn her i bobl sy'n ceisio sicrhau bod pobl eraill yn atebol naill ai ar lefel bersonol neu ar lefel sefydliadol;
 - Mae'r egwyddorion yn adlewyrchu llawer o arferion gwaith cyfredol er bod yr egwyddor mewn perthynas â gweithredu dim ond pan fo risg uchel, neu bryder difrifol yn golygu newid sylweddol mewn ymarfer gan fod achosion o risg is wedi'u hymchwilio'n flaenorol hefyd;
 - Caiff dyfarniadau mewn perthynas â lefel y risg dan sylw eu gwneud gan y tîm AiY, drwy'r broses atgyfeirio a thrwy ystyriaeth mewn cynhadledd achos;
 - O ran trothwyon, mae risg uchel yn cyfeirio at y risg a berir gan yr unigolyn cofrestredig i'r rhai sy'n defnyddio gofal a chymorth – mae'n debygol y bydd yr heddlu a'r gwasanaeth diogelu yn rhan o'r broses ac mae'n bosibl bod yr unigolyn cofrestredig wedi'i atal neu wedi ei gadael ei fan gwaith neu efallai fod yna ddiffyg ymgysylltu gan yr unigolyn cofrestredig.
 - Achosion risg canolig fydd y rhai lle mae'r wybodaeth sydd wedi'i chynnwys yn yr atgyfeiriad yn gyfyngedig ond ymddengys bod pryderon ynghylch ymarfer er

y gall fod angen rhagor o wybodaeth cyn pennu'r ffordd orau o benderfynu'r achos;

- Gall yr unigolyn cofrestredig ail-gyfryngu achosion risg isel pan fydd y cyflogwr wedi ymdrin â'r mater yn briodol a gall fod cynllun gweithredu ar waith;
- Wrth symud ymlaen, ni fyddai achosion risg isel yn cael eu hagor a byddai adnoddau'n canolbwyntio ar yr achosion risg ganolig a risg uchel.

- iii. Nid oedd unrhyw gwestiynau gan aelodau am yr egwyddorion ar wahân i'r rhai a godwyd ymlaen llaw ac y soniodd HD amdanynt yn ei sylwadau agoriadol.
- iv. Cyfeiriodd HD at y drafodaeth fanwl a gynhaliwyd yng nghyfarfod y Bwrdd ym mis Ionawr ynghylch achosion yr 18 mis diwethaf. Mae'r mater hwn hefyd yn cael ei drafod fel mater o drefn yn y Pwyllgor Rheoleiddio a Safonau. Mae dadansoddiad o achosion wedi'i gynnwys yn y papur sy'n dangos y ffactorau sy'n gysylltiedig â'r achosion hynny.
- v. Mewn ymateb i gwestiynau a godwyd gan SB cyn y cyfarfodydd, dywedodd HD ei fod yn credu y byddai addasu'r targed yn gwella morâl y tîm AiY, er nad yw morâl yn isel ar hyn o bryd ac mae'r tîm wedi addasu'n dda i weithio o bell o dan yr amgylchiadau presennol. Fodd bynnag, mae gweithio i darged yr ystyrir ei fod yn afrealistig wedi achosi rhwystredigaeth o fewn y tîm.
- vi. Mewn perthynas â datganiadau tystion, nododd HD ein bod yn ceisio gweithio mewn partneriaeth â chyflogwyr a gweithwyr proffesiynol eraill sy'n un o ofynion y Cod Ymarfer ar gyfer y rhai sy'n ymwneud â phrosesau AiY. Nid yw tystion bob amser yn ymateb mor gyflym â'r disgwyl a gall y broses o gael datganiadau gan gyflogwyr fod yn un fiwrocraidd. Gellid gwneud mwy o ddefnydd o Adran 160 Deddf Rheoleiddio ac Arolygu Gofal Cymdeithasol, gan ei bod yn rhoi'r pŵer i fynnu gwybodaeth gan unigolion neu gyrff sy'n ymwneud ag achosion AiY. Cytunodd HD i gydweithio â'r tîm AiY er mwyn datblygu meini prawf ynghylch pa bryd y dylid defnyddio'r pwerau hyn.

GWEITHREDU

- vii. Nododd HD, gan fod nifer o wrandawiadau wedi eu gohirio oherwydd Covid-19, ei bod yn debygol yn ystod 3-6 mis cyntaf 2020-21, y bydd nifer yr achosion dros 18 mis yn parhau i fod yn uchel. Mae cynnal gwrandawiadau o bell yn cael ei ystyried ac mae gwrandawiadau gorchymyn interim yn cael eu cynnal o bell ar hyn o bryd. Bydd effaith y newidiadau mewn perthynas â'r egwyddorion yn golygu y bydd yr adnoddau yn canolbwyntio ar achosion risg canolig ac uwch ac mae'n debygol y bydd cynnydd yn y nifer oherwydd bod y Gofrestr wedi cynyddu. Gall hyn effeithio ar berfformiad ac mae'n golygu y bydd angen mynd ati'n rheolaidd i ystyried mesurau effeithlonrwydd.
- viii. Gofynnodd y Cadeirydd a oedd gan yr aelodau gwestiynau neu sylwadau am y mater fel a ganlyn:-
- Gofynnodd EB a oedd modelau amgen y gellid eu hystyried, fel model dau gam. Cadarnhaodd HD fod swyddogion yn agored i syniadau ond pwysleisiodd fod y newid arfaethedig i darged y cynllun busnes yn ymwneud â sut caiff prydlondeb ei adrodd yn y dull presennol o weithio. Mae rheolyddion y DU, gyda'i gilydd, yn ystyried metrigau, a bydd hyn hefyd yn llywio'r ffordd y byddwn yn meddwl am ddulliau gweithredu yn y dyfodol.

- Gofynnodd EB a oedd cyllideb y gwrandawiadau wedi ei chynyddu yn 2020-21 er mwyn dwyn i ystyriaeth y cynnydd mewn gweithgarwch. Cadarnhaodd HD fod y gyllideb wedi'i chynyddu yn unol â'r cynnydd mewn gweithgarwch. Fodd bynnag, mae rhai arbedion effeithlonrwydd hefyd, megis gwrandawiadau symlach, swyddogion yn cyflwyno gwrandawiadau o bell ac yn clystyru gwrandawiadau, a allai arwain at arbedion yn y gyllideb.
- Gofynnodd PM a allai'r Bwrdd gael yr holl wybodaeth am gynnydd hen achosion a bod y broses o adrodd ar berfformiad yn cynnwys data sylfaenol ar gyfer yr achosion hynny lle nad yw'r oedi o ganlyniad i ffactorau allanol. Cadarnhaodd HD fod y Pwyllgor Rheoleiddio a Safonau yn craffu ar adroddiadau manwl a'u bod yn cael data am hyd cyfartalog yr amser er mwyn mynd ar drywydd achos. Awgrymodd y byddai'n bosibl sicrhau bod y wybodaeth honno ar gael i holl aelodau'r Bwrdd ar y porth.
- Holodd PM ynghylch monitro perfformiad a sut y byddai aelodau'r Bwrdd yn cael eu diweddarau yn y dyfodol. Ymatebodd DP gan dynnu sylw at broses y flwyddyn ddiwethaf er mwyn cael gwell dealltwriaeth o'r prosesau. Mae hyn wedi dangos, wrth fynd ati i asesu'r ffordd y caiff AiY ei gyflawni, nad achosion dros 18 mis yw'r unig ddangosydd; Mae angen darlun mwy cyflawn ac eang, a'r cam nesaf fydd datblygu'r dangosyddion mwyaf ystyrion. Mae Cymru'n arwain y gwaith ar sail y DU er mwyn datblygu cyfres o ddangosyddion a fydd yn caniatáu rhannu data ledled y DU. Bydd y wybodaeth ddiweddaraf am gynnydd yn cael ei rhoi'n rheolaidd i'r Pwyllgor Rheoleiddio a Safonau a'r Bwrdd ac ar ba mor dda y mae'r sefydliad yn cyflawni o'i gymharu â'r hyn yr oeddem yn arfer ei wneud a sut mae hynny'n cymharu â rheoleiddwyr eraill y DU.
- Gofynnodd RWJ a gadarnhawyd yn bendant na ellir mynd ar drywydd achosion AiY yr u pryd ag ymchwiliad gan yr heddlu. Ymatebodd HD fod hyn yn bendant, er mwyn sicrhau gwrandawriad teg.
- Ychwanegodd DH nad yw effaith ymchwiliadau'r heddlu yn fater sy'n gyfyngedig i ofal cymdeithasol. Cadarnhaodd HD fod hyn yn wir, gan fod rheoleiddwyr eraill yn wynebu'r un materion a'u bod wedi ceisio dylanwadu ar y Llywodraeth i wneud newidiadau, er yr ymddengys nad oes llawer o gynnydd ar hyn.
- Cododd JK fater yr oedi cyn cymryd datganiadau. Nododd HD fod rhai rheolyddion yn defnyddio cyfreithwyr i gael datganiadau a bod graddau llwyddiant y rheiny'n amrywio. Mae hyn yn rhywbeth y gellir ei ystyried, ond efallai mai defnyddio Adran 160 Deddf Rheoleiddio ac Arolygu Gofal Cymdeithasol fydd y dewis cyntaf i'w ystyried er mwyn cael ymateb yn gynt.

- ix. Gofynnodd PM a ellir cyfeirio a gwirio'r cwestiynau a ofynnwyd heddiw yn erbyn y broses o ddatblygu metrigau newydd. **GWEITHREDU**
- x. Roedd DB yn croesawu'r awgrym y gellid defnyddio pwerau rheoleiddio yn amlach a gofynnodd a fyddai defnyddio cyfreithwyr i gael datganiadau tyst yn arwain at gost ychwanegol. Cytunodd HD y byddai cost ychwanegol wrth ddefnyddio cyfreithwyr ac y byddai angen bod yn ofalus o ran cydbwysedd yr adnoddau, gwerth am arian a chynnal diogelwch y cyhoedd.
- xi. Gofynnodd GQ sut rydym yn sicrhau cydbwysedd rhwng ethos deniadol sy'n canolbwyntio ar yr unigolyn â chymryd datganiadau yn brydlon, hyd yn oed os yw hyn yn golygu proses fwy ffurfiol. Cytunodd HD fod dull sy'n canolbwyntio ar yr unigolyn yn

bwysig; fodd bynnag, mae angen cydnabod, fel rheoleiddiwr, bod prosesau ffurfiol i'w dilyn.

- xii. Rhoddodd y Cadeirydd grynodedb o'r trafodaethau a nododd fod cytundeb ar yr egwyddorion. Fodd bynnag, roedd y cynnig i newid targed y cynllun busnes ar gyfer achosion AiY sy'n bodoli ers dros 18 mis yn ddyfarniad anodd o gofio mai'r ateb yn y tymor hirach yw cyfres wahanol o ddangosyddion perfformiad sy'n caniatáu i Gofal Cymdeithasol Cymru feincnodi ei berfformiad yn erbyn sefydliadau tebyg eraill. Ar y sail honno, awgrymodd y Cadeirydd fod tri opsiwn i'w hystyried:-
 - Gadael y targed fel y mae;
 - Amrywio'r targed i 10%;
 - Peidio â gosod targed rhifiadol ac yn hytrach monitro achosion sy'n bodoli ers dros 18 mis drwy'r Pwyllgor Rheoleiddio a Safonau.
- xiii. Nododd DP y bydd angen targed a ffordd o fesur y targed hwnnw gan ei fod yn un o ofynion Llywodraeth Cymru. Awgrymodd y byddai symud i 10% yn dangos bod y Bwrdd yn gwrando ar bryderon aelodau staff ac yn adlewyrchu realiti'r sefyllfa.
- xiv. Roedd barn yr Aelodau ar yr opsiynau yn gymysg. Nododd SE ei bod yn ffafrio mabwysiadu'r targed o 10% a argymhellir, oni bai y caiff newidiadau eu hawgrymu yng ngoleuni'r hyn y mae rheoleiddwyr eraill yn ei wneud. Gofynnodd EB a ellid newid y targed i 15% a allai fod yn fwy realistig o ystyried cwmpas y perfformiad dros y 12-18 mis diwethaf.
- xv. Ymatebodd DP i'r safbwyntiau a fynegwyd gan yr Aelodau ac er bod y targed presennol yn afrealistig, mae angen sicrhau bod gan aelodau staff rywbeth i ganolbwyntio arno ac ysgogiad i gyflymu'r prosesau ac osgoi llithro. Atgoffwyd yr aelodau fod hyn yn rhan o'r ffordd y mae sefydliadau'n adrodd i Lywodraeth Cymru ac y bydd angen cynnal trafodaethau â hwy er mwyn cadarnhau unrhyw newidiadau i'r targedau.
- xvi. Ar ôl trafod, awgrymodd y Cadeirydd ei bod yn ymddangos bod consensws o blaid gosod targed interim o 10%, a gofynnodd a fyddai unrhyw un a oedd yn gwrthwynebu i fynegi hynny. Nid oedd unrhyw arwyddion o anghytundeb.
- xvii. Cytunodd yr Aelodau i **nodi** a **chraffu** ar benderfyniad y Tîm Rheoli Gweithredol i dreialu cyfres o egwyddorion strategol ar gyfer gwaith AiY a **chytunwyd** ar newid yn nharged y cynllun busnes o 5% i 10% o gyfanswm yr achosion addasrwydd i ymarfer a oedd ar agor dros 18 mis ar gyfer cyfnod adrodd 2020/21.

9. Cyfleodd i gryfhau Llywodraethu Corfforaethol

- i. Atgoffodd y Cadeirydd yr Aelodau o'r cyd-destun ar gyfer y papur hwn. Dangosodd dystiolaeth o amrywiaeth o ffynonellau allanol fod trefniadau llywodraethu'r Bwrdd yn gadarn ac yn addas i'r diben ar y cyfan. Fodd bynnag, mae angen mynd ati bob amser i geisio gwella a chryfhau'r trefniadau presennol yn barhaus.

- ii. Yn dilyn sesiwn Datblygu'r Bwrdd ym mis Rhagfyr, nodwyd nifer o gyfleoedd i gryfhau'r trefniant presennol. Yn dilyn hynny, anfonwyd holiadur at yr Aelodau er mwyn cael syniad o'r hyn yr oedd aelodau'n teimlo sy'n werth ei ddilyn ymhellach. Mae'r ymatebion hynny bellach wedi dwyn ynghyd mewn papur ac mae awgrym wedi'i fapio, gan gynnwys llinell amser ar gyfer gweithredu.
- iii. Atgoffwyd yr Aelodau nad oedd gofyn iddynt gytuno ar unrhyw beth penodol heddiw, dim ond i gefnogi'r ffordd ymlaen fel y nodwyd yn y papur. Byddai cynigion penodol yn cael eu dwyn yn ôl i'r Bwrdd i'w hystyried yn unol â'r amserlen a sefydlwyd.
- iv. Ymatebodd y Cadeirydd i nifer o gwestiynau a oedd wedi'u cyflwyno cyn y cyfarfod:-
- Dywedodd SB, o ystyried y sefyllfa bresennol, nad ydym yn ceisio mynd â chyfarfodydd Bwrdd allan i'r gymuned am y 12 mis nesaf. Aeth y Cadeirydd ati i sicrhau'r aelodau mai'r bwriad ar hyn o bryd yw, yn syml, archwilio'r manteision posibl o wneud hynny a chwilio am enghreifftiau o'r hyn sy'n gweithio mewn sectorau eraill. Byddai'r mater yn dod yn ôl gerbron y Bwrdd i'w drafod cyn y byddai unrhyw drefniadau'n cael eu gwneud ond nid oedd hyn yn flaenoriaeth ar hyn o bryd;
 - Gofynnodd EB ynghylch aelodaeth a chworwm y Pwyllgor. Nododd y Cadeirydd enghraifft o'r angen i addasu agenda cyfarfod oherwydd nad oedd cworwm yn y Pwyllgor gydol y cyfarfod. Cadarnhaodd LIB fod cyfarfod Mehefin 2019 o Bwyllgor Rheoleiddio a Safonau wedi'i ohirio tan fis Gorffennaf oherwydd absenoldeb ac oherwydd mai dim ond tri aelod sydd wedi bod yn bresennol mewn nifer o gyfarfodydd Pwyllgor yn ddiweddar, sef yr isafswm sydd ei angen i fod â chworwm.
 - Cadarnhaodd y Cadeirydd fod dod o hyd i rai ar gyfer cyfarfodydd Pwyllgor yn ymwneud ag absenoldebau a gynlluniwyd ymlaen llaw, lle byddai'r Aelod yn nodi ei absenoldeb i'r tîm Llywodraethu Corfforaethol a fyddai wedyn yn ceisio dod o hyd i aelod arall i sefyll i mewn. Nid oedd yn fwriad i'r Aelodau orfod dod o hyd i rywun yn eu lle pe bai yna absenoldeb funud olaf heb ei gynllunio;
 - Gofynnodd EB am sicrwydd, wrth geisio mynd i'r afael â bylchau mewn sgiliau o fewn y Bwrdd drwy recriwtio, y bydd y dull presennol, sy'n seiliedig ar werthoedd, yn cael ei gynnal. Dywedodd y Cadeirydd fod yr holl brosesau ar gyfer Penodiadau Cyhoeddus wedi'u gohirio am 12 mis oherwydd yr argyfwng presennol, sy'n golygu y bydd tymor aelodau'r Bwrdd yn cael ei ymestyn am flwyddyn, yn amodol ar eu cytundeb a pherfformiad boddhaol. Sicrhaodd y Cadeirydd yr Aelodau y bydd y broses yn parhau'n seiliedig ar werthoedd pan fydd y broses penodiadau cyhoeddus yn ailddechrau, a byddant hefyd yn chwilio am setiau sgiliau sy'n ychwanegu gwerth at gymhwysedd cyffredinol y Bwrdd.
 - Cododd PM y mater o amlygrwydd a hygyrchedd y Bwrdd i aelodau staff a gofynnodd a oedd cyfleoedd i ymgysylltu â staff dros ginio a chyfle i aelodau staff rannu unrhyw bryderon. Ymatebodd y Cadeirydd y byddai hyn yn cael ei ystyried ac yn cael ei adlewyrchu yn yr amserlen ddatblygu. **GWEITHREDU**
 - Fe wnaeth CC gyfeirio at sylwadau PM a nodi bod angen ystyried yn ofalus y broses 'Bwrdd i'r Llawr', sy'n cael ei mabwysiadu mewn rhai sefydliadau, er mwyn sicrhau y byddai'n gweithio yn y cyd-destun y mae Gofal Cymdeithasol Cymru yn gweithredu ynddo.

- iii. Diolchodd y Cadeirydd i'r Aelodau am eu cwestiynau a'u sylwadau a chadarnhaodd y bydd y wybodaeth ddiweddaraf am y gwaith hwn yn cael ei ddarparu yn y cyfarfod ym mis Gorffennaf. **GWEITHREDU**

Er gwybodaeth:

10. Negeseuon allweddol gan y Prif Weithredwr

- i. Gofynnodd y Cadeirydd i SE dynnu sylw'r Aelodau at unrhyw ddatblygiadau allweddol.
- ii. Hysbysodd SE yr Aelodau y cynhaliwyd cyfarfod o reoleiddwyr iechyd a gofal cymdeithasol y DU ar 29 Ebrill. Mae hwn yn grŵp newydd a ddechreuodd gyfarfod tua diwedd 2019. Roedd eitemau allweddol y drafodaeth fel a ganlyn:-
- Roedd y rhai a oedd yn bresennol yn cymharu eu hymatebion i Covid-19 ac yn trafod sut y bydd yr hyn a ddysgir yn cael ei ddefnyddio. Mae'r Cyngor Nyrsio a Bydwreigiaeth wedi cynnal 180 o baneli rhith ac mae wedi rhannu rhai o'r anawsterau a gafwyd o ran prydlondeb a pharatoi ar gyfer ôl-drafodaethau uwch. Mae elfennau gweinyddol wedi bod yn fwy costus, a bydd rhagor o waith dadansoddi yn cael ei wneud a allai lywio dull Gofal Cymdeithasol Cymru wrth symud ymlaen. Trafodwyd diogelwch systemau rhith hefyd wrth ymdrin â materion sensitif.
 - O ran cofrestru brys dros dro, nid yw'r ymateb wedi bod mor arwyddocaol ag a ddisgwyliwyd yn wreiddiol. Efallai fod hynny oherwydd pryderon personol ynghylch dychwelyd i ymarfer yn ystod yr argyfwng. Fodd bynnag, credir y bydd mwy o alw o bosibl yn ystod y cyfnod adfer. Er enghraifft, fe wnaeth y Cyngor Meddygol Cyffredinol gynnwys 30,000 o feddygon ond dim ond 3,000 a gadarnhaodd eu hunain eu bod yn barod i weithio a dim ond 50% o'r rheini a leolwyd ar y rheng flaen i ymdrin â Covid-19. Mae eraill yn bwriadu cynorthwyo gyda'r gwaith adfer a gwaith dewisol. Mae diffyg cyfathrebu hefyd rhwng cyflogwyr a'r cyrff rheoleiddio o ran cadw golwg ar leoliad y gweithwyr.
 - Mae rhai sydd wedi cofrestru â fframweithiau rheoleiddio eraill yn galw am hepgor eu ffioedd yn y cyd-destun presennol. Atgoffodd SE yr Aelodau nad oedd ffi ar gyfer cofrestr argyfwng Gofal Cymdeithasol Cymru. Mae'r Cyngor Nyrsio a Bydwreigiaeth wedi derbyn deiseb ac mae cwestiwn wedi ei godi yn Senedd yr Alban. Fodd bynnag, mae'n bwysig nodi bod ffioedd yn rhan bwysig o incwm ac, mewn unrhyw achos, nid ydynt yn talu'n llawn am gostau rheoleiddio i'r rhan fwyaf o reoleiddwyr gofal cymdeithasol. Mae rhai cyrff rheoleiddio ar gyfer gweithwyr proffesiynol yn y maes iechyd yn cael eu hariannu'n llwyr gan incwm ffioedd sy'n gwneud y syniad o hepgor ffioedd yn anymarferol.
 - I rai rheolyddion iechyd, sy'n ymdrin â darparwyr annibynnol fel optegwyr, gan fod y stryd fawr ar gau, mae risg y bydd y busnes yn cau a fydd yn cael effaith ar y rhai sydd wedi cofrestru a'r cyrff rheoleiddio drwy'r ffioedd a dderbynnir.
 - Mae Sefydliadau Addysg Uwch yn hyblyg gyda chyrtsiau cymhwysol ac maen nhw'n cefnogi myfyrwyr, er eu bod yn wynebu heriau sylweddol o ran incwm gan fyfyrwyr tramor a bydd angen i swyddogion barhau i siarad â phrifysgolion Cymru.

- Mae rhywfaint o anffodlonrwydd nad yw rhai fferyllwyr cymunedol yn gymwys efallai ar gyfer y cynllun "marw yn y swydd" gwerth £60,000.
- Mae rhai cyrff yn rhagweld y bydd angen y gofrestr argyfwng dros dro ar ôl yr argyfwng presennol, gan ei bod yn debygol y bydd mwy o alw yn ystod y cyfnod adfer. Ar gyfer y sector gofal cymdeithasol, disgwylir y bydd mwy o alw yn debygol ar gyfer materion yn ymwneud â cham-drin domestig, iechyd meddwl, camddefnyddio sylweddau, gamblo ar-lein a materion diogelu ehangach. Cytunodd pob corff nad yw trosglwyddo awtomatig i'r gofrestr barhaol yn briodol ar gyfer y rhai sy'n gofyn am gael eu derbyn.
- Mae trafodaethau yn mynd rhagddynt am gofeb DU gyfan ar gyfer cydweithwyr iechyd a gofal cymdeithasol sydd wedi marw, sy'n cael ei datblygu gan Lywodraeth y DU

iii. **Nododd** yr aelodau y wybodaeth ddiweddaraf gan SE.

11. Effeithiolrwydd y cyfarfod

i. Gofynnodd y Cadeirydd gyfres o gwestiynau i'r Aelodau ynghylch effeithiolrwydd y cyfarfod.

ii. **Cytunodd** yr Aelodau ar y canlynol:

- Roeddent wedi bod yn glir ynghylch yr hyn a oedd yn cael ei ofyn ganddynt yn y papurau;
- Nid oeddent yn teimlo bod unrhyw bapurau lle byddai gwybodaeth bellach neu ddarllen cefndirol wedi bod yn ddefnyddiol;
- Aeth y Bwrdd ati i ddatblygu eitemau allweddol mewn modd effeithlon;
- Roedd yr holl eitemau ar yr agenda a ystyriwyd yn amserol ac yn berthnasol ac roedd yr Aelodau wedi bod yn glir ynghylch y penderfyniadau a wnaed.

iii. Gan mai hwn oedd cyfarfod o bell cyntaf y Bwrdd, cynigiodd y Cadeirydd y dylid cynnal ôl-drafodaeth ar-lein i nodi'r hyn a weithiodd yn dda, yr hyn nad oedd yn gweithio cystal â'r hyn y gellid ei ddysgu ar gyfer cyfarfodydd yn y dyfodol.

GWEITHREDU.

12. Unrhyw Fater Arall

i. Diolchodd y Cadeirydd a Chadeiryddion y Pwyllgorau i JO am ei chyfraniad a'i hymrwymiad i Gofal Cymdeithasol Cymru wrth iddi symud i'w rôl newydd fel Prif Swyddog Gweithredol y gymdeithas tai Valleys to Coast.

Dyddiad y cyfarfod nesaf:

Dydd Iau 16 Gorffennaf 2020, gyda chyfarfod arbennig i'w drefnu cyn diwedd Mai er mwyn cymeradwyo Cynllun Busnes 2020-21.



Gofal Cymdeithasol Cymru Social Care Wales

CYFARFOD PREIFAT O'R BWRDD

28 Mai 2020

Cyfarfod Rhithwir Zoom

13:00 – 14:40

Yn bresennol:

Aelodau o'r Bwrdd:

Mick Giannasi
Carl Cooper
Damian Bridgeman
Emma Britton
Grace Quantock
Jane Moore
Jo Kember
Kate Hawkins
Peter Max
Rhian Watcyn Jones
Simon Burch
Trystan Pritchard

Swyddogion Gofal Cymdeithasol Cymru:

Sue Evans (Prif Swyddog Gweithredol)
David Pritchard (Cyfarwyddwr Rheoleiddio)
Sarah McCarty (Cyfarwyddwr Gwella a Datblygu)
Geraint Rowlands (Cyfarwyddwyr Cynorthwyol Cyllid a TGCh)
Kate Salter (Cyfarwyddwr Cynorthwyol Gwasanaethau Corfforaethol)
Llinos Bradbury (Uwch Swyddog Llywodraethu - cofnodion)

Yn bresennol:

Matthew Thomas, Y Gangen Lles a Gwella, Llywodraeth Cymru
Natalie Price

Sesiwn breifat:

1. Croeso a Sylwadau Agoriadol gan y Cadeirydd

- i. Croesawodd y Cadeirydd bawb i gyfarfod arbennig y Bwrdd lle'r oedd y ffocws ar Gynllun Busnes 2020-21. Estynnwyd croeso cynnes i Matthew Thomas o'n tîm noddi yn Llywodraeth Cymru a oedd yn arsylwi ar y cyfarfod.
- ii. Nododd y Cadeirydd nad oedd unrhyw ymddiheuriadau wedi dod i law ar gyfer y cyfarfod. Cadarnhaodd LIB fod Abigail Harris a Maria Battle yn mynychu cyfarfodydd eu Bwrdd lechyd ac y gallent ymuno'n nes ymlaen os ydynt ar gael. Nodwyd bod Donna Hutton yn absennol o'r cyfarfod.
- iii. Ni chafwyd unrhyw ddatganiadau newydd o fuddiant.

2. Cynllun Busnes 2020-21

- i. Atgoffodd y Cadeirydd yr aelodau o drafodaethau blaenorol ar y Cynllun Busnes, a oedd yn cynnwys y fframwaith drafft ym mis Ionawr a throsolwg o'r fframwaith diwygiedig yn wyneb Covid-19 yng nghyfarfod y Bwrdd ym mis Ebrill. Mae'r Cynllun

Busnes wedi cael ei ailddrafftio gyda ffocws ar gefnogi'r sector gofal cymdeithasol a'r blynyddoedd cynnar yn dilyn Covid-19. Diolchwyd i'r Aelodau am eu hadborth cychwynnol ar y cynllun yn dilyn trafodaethau yng nghyfarfod y Bwrdd ym mis Ebrill.

- ii. Cyflwynodd SE y papur gan nodi bod y Cynllun Busnes yn adlewyrchu'r dysgu a gafwyd o'r adolygiad o'r Cynllun Strategol a'r gwaith sy'n cael ei wneud gan Cordis Bright ar effaith y sefydliad a'r gwaith a wnaed gan Grant Thornton ar yr agwedd gwella a thystiolaeth ar waith y sefydliad. Cadarnhaodd SE y bydd gan bob gweithgaredd yn y Cynllun Busnes ddogfen cychwyn prosiect sy'n nodi'r risgiau, y manteision, y targedau a'r llinellau amser; bydd y manylion yn cael eu trafod ar lefel pwyllgor. Bydd y gweithgareddau a gyflawnir yn dibynnu ar gadarnhad o'r adnoddau sydd ar gael yn ogystal â gwaith partneriaeth. Er bod y cynllun busnes drafft wedi'i drafod gyda chydweithwyr Polisi Llywodraeth Cymru, dywedodd SE wrth y Bwrdd nad yw'r gyllideb gyfredol wedi'i chadarnhau eto ac nad yw'r Llythyr Cylch Gwaith ar gyfer 2020-21 wedi'i dderbyn. Nododd SE drafodaethau cadarnhaol gyda Llywodraeth Cymru ar y pwysau cyllidebol, sydd wedi'u trafod yn flaenorol, a'r gobaiith yw y bydd dyraniad y gyllideb yn caniatáu i'r gweithgareddau yn y cynllun busnes gael eu datblygu. Fodd bynnag, rhagwelir y bydd pwysau ariannol yn cynyddu'r flwyddyn nesaf gyda gostyngiadau posibl yn y gyllideb, felly mae cynllun busnes eleni yn cynnwys cynigion gwariant er mwyn helpu gyda gostyngiadau posibl yn y dyfodol, mae hyn yn cynnwys adolygu opsiynau pensiwn, buddsoddi mewn seilwaith TG a meddalwedd, comisiynu arbenigedd, a chwilio am arbedion effeithlonrwydd drwy'r rhaglen waith rheoleiddio ar gyfer gwella.
- iii. Pwysleisiodd SE nad yw tôn na geiriad y Cynllun Busnes wedi'u cwblhau eto hyd nes y bydd adborth a mewnbwn wedi dod i law oddi wrth y Bwrdd a chydweithwyr yn Llywodraeth Cymru. Dymunai SE ddiolch i'r holl swyddogion a fu'n rhan o'r gwaith o lunio'r cynllun busnes diwygiedig. Atgoffodd SE yr aelodau o themâu'r cynllun busnes:
 - Gweithlu uniongyrchol y blynyddoedd cynnar a gofal cymdeithasol
 - Rheolwyr, arweinwyr a pherchnogion
 - Arweinwyr systemau a rhanddeiliaid
 - Gofal Cymdeithasol Cymru fel sefydliad
- iv. Ategododd DP fod y cynllun busnes diwygiedig wedi cael ei lunio mewn cyfnod byr ac felly mae adborth ar gysondeb iaith wedi bod yn ddefnyddiol. Nododd DP fod y Cynllun Busnes yn wahanol i'r ffordd y byddai'n cael ei gyflwyno fel arfer oherwydd effaith Covid-19 a'r dystiolaeth a gasglwyd, gan gynnwys sgysiau gyda'r Bwrdd ynghylch rheoleiddio ar gyfer gwella, a'r cynnig o ran gwelliant a thystiolaeth. Cyfeiriodd DP at y cynllun ar y dudalen fel rhan o'r cynllun busnes sy'n dangos matrices yr amrywiaeth o randdeiliaid rydym yn gweithio gyda nhw â'r ffordd rydym yn gweithio â nhw. Mae yna gyfeiriad at yr ymateb i'r pandemig Covid-19, ac at adeiladu a chefnogi adferiad ar gyfer y sector. Cyfeiriodd DP at drafodaethau gyda Llywodraeth Cymru mewn perthynas â'r sector blynyddoedd cynnar a gofal plant a'r ffordd y bydd Gofal Cymdeithasol Cymru yn mynd ati i gefnogi'r effaith a'r gwaith ail-lunio er mwyn cynorthwyo sector gwahanol ag anghenion gwahanol a fydd yn dod i'r amlwg yn dilyn y pandemig. Tynnodd DP sylw at feysydd allweddol yn y cynllun busnes:
 - O fewn rhaglen 1 – newid y cynnig a roddwn i'r gweithlu uniongyrchol, gan gynyddu'r cynnig digidol drwy newid y porth cofrestru i alluogi pobl i gael

mynediad at hyfforddiant, cadw gwybodaeth, rhwydweithio, casglu portffolio o dystiolaeth; yr ail faes yw llesiant, lle caiff tystiolaeth o Strategaeth y Gweithlu ei datblygu

- Mae Rhaglen 2 yn ymwneud â chydweithio â darparwyr, rheolwyr a chyflogwyr mewn sectorau annibynnol, gwirfoddol a statudol, fel rhan o hyn y mae'r gwasanaeth cyswllt cyflogwyr sy'n cysylltu gweithgarwch rheoleiddio a'r broses o ddatblygu cysylltiad â'r rhai sy'n gyfrifol am ddarparu gwasanaethau.
- Mae Rhaglen 3 yn canolbwyntio ar waith ymchwil a gwybodaeth ar gyfer y rhai sy'n gyfrifol am gynllunio a chomisiynu gwasanaethau; caiff hyn ei lywio gan waith Grant Thornton
- Mae rhaglen 4 yn ymwneud â Gofal Cymdeithasol Cymru fel sefydliad ac mae'n ymrwymo i drawsnewid i sefydliad digidol yn gyntaf sy'n deall ac yn croesawu pŵer technoleg.

v. Nododd DP fod y cynllun busnes drafft wedi cael ei rannu â Llywodraeth Cymru a chafwyd adborth ar y cynnig ychwanegol o fwrsariaeth, a fydd yn golygu newid yn yr iaith a ddefnyddir yn y cyswllt hwn.

vi. Yn dilyn y cyflwyniad gan SE a DP, nododd y Cadeirydd fod anodiadau wedi'u derbyn ar y papur gan JK a GQ, ac mae SE wedi ymateb iddynt. Felly, symudodd y Cadeirydd ymlaen at gwestiynau a sylwadau gan Aelodau:

- Roedd PM wedi cyflwyno cwestiynau cyn y cyfarfod, ac ymdrinnir â rhai ohonynt y tu allan i'r cyfarfod, ond roedd PM am dynnu sylw at y ffaith bod gofalcwyr di-dâl wedi'u hepgor yn y Cynllun Busnes. Nododd SMcC y bydd gweithgareddau amrywiol ar gael i unigolion sy'n defnyddio cymorth, teuluoedd a gofalcwyr di-dâl a dyma un o uchelgeisiau'r gwaith, ond, yn y bôn, y rhai y byddwn yn gweithio gyda nhw y cyfeiriwyd atynt yn flaenorol fydd yn cael y prif sylw. Atgoffodd SMcC yr Aelodau fod Gofal Cymdeithasol Cymru yn aelod o'r Grŵp Cynghori'r Gweinidog ar ofalcwyr, sy'n ystyried cynlluniau gweithredu a goblygiadau Covid-19.
- Gofynnodd PM a fyddai proses adolygu'r Cynllun Busnes yn wahanol eleni. Cadarnhaodd SMcC y byddai adolygiadau chwarterol yn parhau i gael eu cyflwyno i'r Bwrdd; Fodd bynnag, gan fod ansicrwydd ynghylch ail don o Covid-19 byddai angen diwygio ac addasu'r Cynllun Busnes ar sail hynny, er mwyn sicrhau bod y sector yn parhau i gael ei gefnogi. Mae'r cynllun presennol yn cynnwys gweithgareddau sy'n gofyn am ymgysylltu gan y sector ac felly bydd angen iddo fod yn ddeinamig ac yn ystwyth.
- Roedd PM yn credu bod yr uchelgais ddigidol yn galonogol, ac os oes modd, dylid ceisio ei hymestyn ymhellach. Nododd SMcC fod dysgu a rhwydweithiau digidol yn rhywbeth sydd wedi'i ystyried ers peth amser ond hyd yn hyn mae wedi bod yn anodd ymgysylltu â'r sector ynghylch dulliau digidol; Fodd bynnag, oherwydd newidiadau diweddar, mae'r sector mewn sefyllfa llawer gwell bellach i fanteisio ar dechnoleg newydd. O ran dysgu'r gweithlu, nododd SMcC y cyfle i gynnig dull mwy integredig i unigolion cofrestredig yn benodol. Nododd DP fod y berthynas ddigidol bresennol â'r gweithlu wedi'i chyfyngu i gofrestru, Hyfforddiant a Dysgu Ôl-gofrestru (PRTL). Yr uchelgais yw gweld Gofal Cymdeithasol Cymru fel yr hyb y maen nhw'n troi ato am gyngor ac arweiniad, i gael yr adnoddau sydd eu hangen arnynt yn ogystal â'r cyfle i siarad ag eraill yn y sector.

- Roedd EB yn cefnogi'r cynnig digidol gwell i'r rhai yn y sector. Gan fod y gweithlu'n gweithio o bell ar hyn o bryd, bydd y gallu i gael rhwydweithiau digidol a rhyngweithio'n amhrisiadwy.
- Gofynnodd JK am i'r gwaith digidol gael ei ddiogelu at y dyfodol, a allai gynnwys datblygiadau i gofnodi Datblygiad Proffesiynol Parhaus (DPP) ar-lein. Cadarnhaodd DP mai'r uchelgais yw i bobl allu olrhain eu horiau PRTL yn rhwydd. Ychwanegodd SMcC fod darparwyr wedi holi'n flaenorol ynghylch y syniad o basbort gwybodaeth a sgiliau er mwyn osgoi dyblygu dysgu ac felly mae hyn yn bosibilrwydd arall i'w archwilio dan y cynnig digidol gwell.
- Roedd DB yn falch o weld beiddgarwch y cynnig digidol a gofynnodd a fyddai'r sefydliad yn ystyried yr hyn sydd ar y farchnad ar hyn o bryd gan fod yna nifer o blatfformau digidol eisoes y gellid eu defnyddio. Gofynnodd DB a fyddai modd sicrhau hefyd bod y platfformau digidol yn hygyrch ac yn hwylus i ffonau symudol.
- Gofynnodd y Cadeirydd a oedd gan y sefydliad y modd a'r gallu i fwrw ymlaen â'r uchelgais ddigidol. Nododd SE y bydd arbenigwyr yn cael eu comisiynu i helpu gyda'r rhaglen waith ddigidol.
- Nid oedd PM o'r farn bod cwmpasu ymarfer sy'n sefydlu o'r Gwobrau yn ddigon uchelgeisiol, ond roedd yn cydnabod hefyd y bydd angen gweithio mewn partneriaeth. Nododd SMcC fod y cynllun busnes yn cynnwys gweithgaredd i rannu ymarfer nodedig mewn perthynas â Covid-19 ac mae angen ei gysylltu â'r gwobrau. Soniodd SMcC am yr anawsterau o ran sut i rannu fel y gellir sefydlu ymarfer da. Mae yna ymrwymiad i fynd ymhellach na chwmpasu ac i geisio edrych ar sut y gellid gwneud hynny. Mae nifer o sefydliadau'n gofyn i'r sefydliad sut y gellid defnyddio'r dysgu o Covid-19 yn enwedig pe bai ail don yn digwydd. Nododd SMcC fod trafodaethau wedi dechrau a bod arbenigwyr ar gael a'n bod yn ystyried cydweithio â nhw a dysgu ganddynt.
- Roedd PM yn teimlo y gellid gwneud mwy o ran mesur effaith a mesur y cwmpas, neu o ran gwella cwmpas yr ymarfer sy'n canolbwyntio ar ganlyniadau. Nododd SMcC, er y gellir casglu adborth gan y rhai sydd wedi dilyn yr hyfforddiant, ni allwn fesur pa wahaniaeth y mae hynny'n ei wneud i deuluoedd drwy gael y sgysiau 'beth sy'n bwysig iddynt'. Tynnodd SMcC sylw at y gwerthusiad a arweinir gan Lywodraeth Cymru o'r Ddeddf Gwasanaethau Cymdeithasol a Llesiant lle dylid cael adborth ar gynnydd ymarfer sy'n canolbwyntio ar ganlyniadau. Dywedodd PM fod angen i'r Cynllun Busnes fod yn realistig o ran y data a'r adborth y gellir ei gasglu.
- Cyfeiriodd RWJ at y gwaith o newid ffocws y cynllun busnes yn y cyfnod byr o amser sy'n gosod sylfaen dda ar gyfer yr hyn sy'n mynd i gael ei gwblhau. Gofynnodd pa weithgareddau fyddai wedi cael eu gwneud ond nad ydynt yno bellach oherwydd yr angen i newid ffocws. Efallai y bydd angen egluro pa weithgareddau sy'n cael eu hoedi er mwyn canolbwyntio ar y pandemig. Nododd SE na fydd yr holl weithgareddau a'r holl ddysgu wyneb yn wyneb a grŵp a fyddai wedi cael eu gwneud ledled Cymru yn digwydd bellach, sy'n gofyn am lawer iawn o adnoddau fel arfer. Bydd swyddogion yn defnyddio'r gyllideb i gomisiynu cymorth a gallu allanol mewn ffyrdd amrywiol sy'n ofynnol er mwyn cefnogi gweithgareddau'r Cynllun Busnes. Nododd DP fod yna newidiadau o ganlyniad i Covid-19, gwelwyd newid mewn ffocws gyda rhai pethau, er enghraifft bydd y broses o gasglu a darparu tystiolaeth yn cynnwys y gwersi a ddysgwyd o ganlyniad i Covid-19 yn awr. Mae rhywfaint o waith wedi'i aildrefnu o ran amseru, er enghraifft, bydd y penderfyniad ar gofrestru

gweithlu'r blynyddoedd cynnar a gofal plant fel rhan o'r rhaglen waith pontio yn cael ei wneud yn ystod 2021-22 ac nid yn 2020-21 fel y bwriadwyd yn wreiddiol. Hysbysodd SMcC y Bwrdd na fydd y gwaith mewn perthynas â chynllun peilot Cymraeg Gwaith yn parhau gan fod cyllid wedi'i dynnu'n ôl ar gyfer y sector gofal cymdeithasol yn ogystal â nifer o sectorau eraill gan fod Llywodraeth Cymru wedi symud adnoddau i feysydd eraill.

- Gofynnodd RWJ i swyddogion edrych ar y defnydd o'r gair 'cefnogaeth' sy'n ymddangos yn gyson drwy'r ddogfen er mwyn bod yn gliriach ynghylch natur y berthynas. Roedd RWJ yn croesawu'r cysylltiad rhwng llesiant y gweithlu a Strategaeth ddrafft y Gweithlu fel ffordd o gadw strategaeth y gweithlu ar yr agenda yn y tymor hir.
- Gofynnodd GQ sut mae data'n cael ei gasglu ar yr effaith ar y sector nawr, er mwyn sicrhau bod y cymorth sydd ar gael yn ystod yr adferiad yn seiliedig ar ymchwil. Nododd SMcC nad oes unrhyw ddata ychwanegol yn cael ei gasglu gan Gofal Cymdeithasol Cymru gan fod y cyfrifoldeb hwn yn perthyn i sefydliadau eraill. Fodd bynnag, mae strategaeth ddata yn cael ei chwmpasu ar gais Llywodraeth Cymru, er mwyn sicrhau y gellir mynd i'r afael ag unrhyw fylchau mewn data gofal cymdeithasol. Cyn Covid-19, roedd Gofal Cymdeithasol Cymru yn cefnogi gweithredu fframwaith perfformiad awdurdodau lleol, ond mae'r gwaith hwnnw wedi'i oedi ar hyn o bryd oherwydd Covid-19. Bydd swyddogion yn ystyried ceisio dylanwadu ar flaenoriaethau ymchwil sy'n ymwneud â Covid-19 hefyd lle mae cyfleoedd cyllido.
- Gofynnodd GQ am y risg o ran cofrestriadau prifysgol a'r effaith ar hyfforddiant gweithwyr cymdeithasol, a'r opsiynau o ddefnyddio dull hybrid ar gyfer dysgu yn y dyfodol. Nododd DP berthynas waith agos â sefydliadau addysg uwch yng Nghymru fel rheoleiddwyr cyrsiau Gwaith Cymdeithasol. O ran recriwtio ar gyfer y flwyddyn nesaf, mae'r sefyllfa'n edrych yn annisgwyl o gadarnhaol, gyda llawer o brifysgolion ar y trywydd cywir a nifer o geisiadau wedi dod i law. Hefyd, cytunwyd ar drefniadau ar gyfer myfyrwyr sy'n graddio eleni a'r hyn sy'n ofynnol o ran ymarfer ychwanegol ôl-gymhwysio er mwyn gwneud iawn am y meysydd a fethwyd yn ystod y misoedd diwethaf.
- Nododd CC y dylai fod yna gysylltiad cryfach â'r cynllun strategol cyfredol; holodd a oedd iaith yr uchelgais yn ddigon cryf; yn ogystal â gwella'r ymateb i Covid-19, a ddylem fod yn ceisio gwneud y gorau o gyfleoedd hefyd; ac a ellid cynnwys y sector gwirfoddol ym mlaenoriaethau strategaeth y gweithlu. Dywedodd CC hefyd fod yr adran 'pwy ydym ni?' yn ateb y cwestiwn hwnnw ond mae'n nodi arwyddocâd y sector gofal. Diolchodd SE i CC am ei sylwadau a nododd y bydd tŷn ac iaith y ddogfen yn cael eu mireinio. Yn sgil y pandemig, mae naratif newydd ar gyfer gofal cymdeithasol yn cael ei drafod ar lefel y DU ond hefyd yng Nghymru gyda CLILC ac ADSS Cymru. Rydym hefyd yn trafod â Chyddfederasiwn y GIG, yr angen am naratif diwygiedig ar gyfer iechyd a gofal cymdeithasol. Bydd angen naratif gofal cymdeithasol ar wahân er mwyn dangos yr effaith ehangach o lawer y mae gofal cymdeithasol yn ei chael ar ddiogelu a grymuso plant ac oedolion, yn ogystal â'r rhyngwyneb â'r GIG ar gyfer y rhai sydd ag anghenion clinigol. Ychwanegodd SE fod swyddogion yn ystyried ychwanegu cwestiynau at arolwg Omnibws Llywodraeth Cymru yn ymwneud â chanfyddiad pobl o ofal cymdeithasol yn ystod Covid-19 ac ers y pandemig i'w defnyddio fel tystiolaeth ar gyfer llywodraethau'r dyfodol.
- Gwnaeth JM sylwadau ar y cyflwyniad ar y clawr blaen, y defnydd o lythrennau bach a'r dudalen gynnwys. Gofynnodd JM, o gofio proffil uchel gofal

cymdeithasol ar hyn o bryd, ble mae hyn yn gadael Gwaith Cymdeithasol, a'i deimlad oedd nad yw'r broses o ymgysylltu â defnyddwyr gwasanaethau yn cael ei hadlewyrchu'n ddigonol yn y cynllun. Atgoffodd SE yr aelodau bod gwaith yn dal i fynd rhagddo o ran rôl Gweithwyr Cymdeithasol a'u gofynion ôl-gymhwyso, fel rhan o strategaeth y gweithlu.

- Ategododd KH y sylwadau a oedd eisoes wedi'u gwneud a gofynnodd a fyddai modd newid llun y clawr ar gyfer cynllun y flwyddyn hon. Roedd yn croesawu'r syniad o wrando ar brofiadau presennol hefyd, er mwyn llywio'r strategaeth i gefnogi llesiant y gweithlu, gan y gallai fod yna newid yn y ffordd y bydd pobl yn teimlo ar ôl Covid-19.
- Cyfeiriodd JK at ei sylwadau ar y ddogfen y gallai'r amserlenni fod yn uchelgeisiol. Nododd SE eu bod yn uchelgeisiol, ond gellir eu cwtogi os oes angen. Argymhellodd SE fod y Bwrdd yn cydnabod yr angen am fwy o hyblygrwydd nag arfer, oherwydd ansicrwydd y cyd-destun presennol.
- Nododd DP fod dull rhaglen traws-sefydliadol yn cael ei roi ar waith ar gyfer y gwaith eleni, a fydd yn dangos yn gyflym os nad yw cerrig milltir yn cael eu cyflawni ac felly bydd angen ailystyried y gweithgareddau.

vii. Aeth y Cadeirydd ati i grynhoi'r drafodaeth gan nodi bod cefnogaeth i'r Cynllun Busnes a'r uchelgais; yn ogystal â chefnogaeth i'r ffordd y mae'r cynllun wedi'i strwythuro a'r ffordd y mae'n cyfleu'r cyd-destun presennol. Mae problemau manwl wedi'u nodi a byddant yn cael sylw, mae bod yn glir ynghylch yr hyn sydd ddim yn cael ei wneud yn bwysig yn ogystal â'r cysylltiad â'r cynllun strategol.

viii. **Trafododd a chymeradwyodd** y Bwrdd y Cynllun Busnes drafft ar gyfer 2020-2021.

ix. Oherwydd yr amseru, mae'r Aelodau wedi **dirprwyo'r** gymeradwyaeth derfynol i'r Prif Weithredwr a Chadeirydd y Bwrdd yn amodol ar dderbyn y llythyr Cylch Gwaith gan y Dirprwy Weinidog dros lechyd a Gwasanaethau Cymdeithasol.

x. Os, ar ôl derbyn y llythyr Cylch Gwaith, y bydd goblygiadau sylweddol o ran yr hyn y gellir ei gyflawni o'r hyn a amlinellwyd yn y Cynllun Busnes drafft hwn, oherwydd blaenoriaethau ariannol neu flaenoriaethau ychwanegol a nodwyd, caiff y Cynllun Busnes drafft ei gyflwyno i Aelodau'r Bwrdd i'w gymeradwyo'n derfynol yng nghyfarfod mis Gorffennaf o'r Bwrdd.

3. Y wybodaeth ddiweddaraf am Gynllun Strategol Gofal Cymdeithasol Cymru

i. Cyflwynodd SMcC yr eitem i'r Bwrdd. Dywedodd SMcC bod y Cynllun Busnes yn Gynllun Busnes blynyddol ond nid yw'r cyfeiriad at y Cynllun Strategol eleni cyn gryfed ag yr oedd yn flaenorol, ond gellir cywiro hyn. Nodwyd bod angen adolygu'r cynllun strategol yng ngoleuni nifer o newidiadau. Cyfeiriodd SMcC at y sleid PowerPoint a oedd yn cynnwys:

- Pam adolygu nawr
- Egwyddorion allweddol ar gyfer yr adolygiad
- Y dystiolaeth allweddol a gaiff ei hystyried fel rhan o'r adolygiad
- Amserlen yr adolygiad gan gynnwys dyddiadau allweddol i'r aelodau eu nodi:
 - Drafft lefel uchel i'w rannu ag aelodau ganol mis Mehefin

- Grant Thornton i gyflwyno eu canfyddiad i'r Pwyllgor Gwella ar 24 Mehefin am 12:00pm gyda gwahoddiad agored i'r holl aelodau ymuno â'r sesiwn honno
- Y Bwrdd i gymeradwyo'r ddogfen ymgynghori ym mis Gorffennaf
- Gorffennaf - Hydref cynnal ymgynghoriad
- Cyhoeddi cynllun strategol newydd ym mis Rhagfyr
- Gweithredu cynllun strategol newydd a newidiadau o fis Ebrill 2021

ii. Yn dilyn cyflwyniad SMcC, gwahoddod y Cadeirydd yr aelodau i ofyn unrhyw gwestiynau neu sylwadau, nodwyd y canlynol:

- Nododd SB yr angen i weithredu'n adweithiol ac yn effeithiol i Covid-19 ond i fwrw iddi hefyd tra bo ffocws sylweddol ar y sector gofal cymdeithasol a defnyddio'r ffocws hwnnw i fynd ar drywydd uchelgeisiau fel tegwch. Gofynnodd hefyd a yw'r rhaglen waith rheoleiddio ar gyfer gwella yn debygol o ddylanwadu ar y strategaeth ddiwygiedig. Ymatebodd DP gan nodi bod y gwaith ar y rhaglen reoleiddio yn adeiladu ar waith a wnaed eisoes tra bod Covid-19 wedi pwysleisio bod angen i rai pethau yn y sector wella nid yn unig mewn ymateb i Covid-19 ond o ganlyniad i'r pwysau a'r straen arferol; mae angen sector sydd mewn sefyllfa well i rannu arferion gorau, sy'n denu'r doniau gorau posibl, er mwyn datblygu pobl.
- Soniodd y Cadeirydd am yr argyfwng Covid-19 a'r dystiolaeth a fydd yn deillio ohono, gan gynnwys cryfderau, gwendidau, cyfleoedd ac felly bydd yn bwysig sicrhau bod y dystiolaeth hon yn cael ei chasglu.
- Soniodd PM am yr angen i weithio gydag eraill er mwyn cyflawni uchelgeisiau. Nododd SE fod gweithio gyda phartneriaid yn ail natur ac mae'r gwaith y mae Cordis Bright wedi ymgymryd ag ef ar yr adolygiad o'r rhaglen Gofal a Chymorth yn y Cartref yn cydnabod, er ein bod ni fel sefydliad yn arwain yn strategol, ein bod yn dibynnu ar eraill o ran cyflawni. Roedd cyfarfodydd diweddar gyda Chyddfederasiwn y GIG yn canolbwyntio ar gael nodau ac amcanion cyffredin. Mae angen parhau i wthio er mwyn osgoi dyblygu, mae swyddogion yn treulio llawer iawn o'u hamser yn meithrin perthynas ag eraill ac yn cydgysylltu lle y bo'n bosibl.
- Cyfeiriodd PM at lythyr cylch gwaith tymor y Llywodraeth ac a allai'r holl randdeiliaid allweddol gael y sgwrs gyda'i gilydd, er mwyn sicrhau cysondeb. Nododd SE fod Llywodraeth Cymru yn cynnal adolygiad mewnol drwy rannu llythyrau cylch gwaith ar draws adrannau, ac mae llythyrau cylch gwaith sefydliadau eraill yn cael eu rhannu â chydweithwyr ym maes polisi gofal cymdeithasol a'r blynyddoedd cynnar. Nododd SE fod y sefydliad yn rhan o Grwpiau Cynghori'r Gweinidog (MAGs) a grwpiau gorchwyl a gorffen yn ôl y gofyn, ac fel arfer yn cael eu gwahodd fel arfer, os nad yw yna byddwn yn ceisio dod o hyd i ffordd o gymryd rhan.
- Holodd JO am iechyd meddwl a'r cyfraniad at gynllun iechyd meddwl y gweithlu. Nododd SE ein bod yn aelod o'r grŵp gweithredu iechyd meddwl a sefydlwyd mewn ymateb i newidiadau i'r ddeddfwriaeth iechyd meddwl. Mae aelod o'r adran Gwella a Datblygu yn uwch ymarferydd iechyd meddwl ac felly mae'n ymwneud â'r gwaith hwn.

iii. **Nododd** yr Aelodau yr wybodaeth ddiweddaraf a'r amserlen ar gyfer yr adolygiad o'r Cynllun Strategol.

4. Effeithiolrwydd y cyfarfod

i. Gofynnodd y Cadeirydd gyfres o gwestiynau i'r aelodau ynghylch effeithiolrwydd y cyfarfod.

ii.

Cytunodd yr Aelodau ar y canlynol:

- Roeddent wedi bod yn glir ynghylch yr hyn a oedd yn cael ei ofyn ganddynt yn y papurau;
- Nid oeddent yn teimlo bod unrhyw bapurau lle byddai gwybodaeth bellach neu ddarllen cefndirol wedi bod yn ddefnyddiol;
- Aeth y Bwrdd ati i ddatblygu eitemau allweddol mewn modd effeithlon;
- Roedd yr holl eitemau ar yr agenda a ystyriwyd yn amserol ac yn berthnasol ac roedd yr Aelodau wedi bod yn glir ynghylch y penderfyniadau a wnaed.

12. Unrhyw Fater Arall

i. Ni thrafodwyd unrhyw fater arall.

Dyddiad y cyfarfod nesaf:

Dydd Iau 16 Gorffennaf 2020

Gweithrediadau cyfarfodydd Bwrdd Gorfal Cymdeithasol Cymru

Log gweithredu 2020-21

Dyddiad cyfarfod	Eitem	Gweithred	Gweithred gan	Dyddiad targed	Canlyniad / diweddariad	Statws cyfredol	Dyddiad cwblhau
30.04.20	Eitem 5 – Covid-19: Ein hymateb	Y Bwrdd i gael ei ddiweddarau ar niferoedd cofrestru yn y dyfodol ar gyfer y radd Gwaith Cymdeithasol	David Pritchard, Cyfarwyddwr Rheoleiddio	16.07.20	Mae'r niferoedd yn well na'r disgwyl o'r blaen gan fod y mwyafrif o gyrsiau wedi recriwtio'n llwyddiannus ac yn cario rhestrau wrth gefn.	Caewyd	16.07.20
30.04.20	Eitem 7 – Cynllun Busnes 2020-21	Cyfarfod Bwrdd anghyffredin i'w drefnu ym mis Mai i'r Bwrdd gymeradwyo Cynllun Busnes 2020-21 cyn ei gyflwyno i Lywodraeth Cymru	Llinos Bradbury, Uwch Swyddog Llywodraethu	31.05.20	Trefnwyd cyfarfod Bwrdd anghyffredin ar gyfer 28 Mai, yn dilyn hyn cyflwynwyd y cynllun busnes drafft i Lywodraeth Cymru ar 9 Mehefin.	Caewyd	28.05.20
30.04.20	Item 7 – Cynllun Busnes 2020-21	Trosolwg lefel uchel o'r Cynllun Busnes i'w gylchredeg i'r aelodau am sylwadau cychwynnol	Sarah McCarty, Cyfarwyddwr Gwelliant a Datblygu	08.05.20	Rhannwyd trosolwg lefel uchel gydag aelodau ar y porth ar 4 Mai a derbyniwyd adborth gan aelodau.	Caewyd	11.05.20
30.04.20	Item 8 – Maerion rheoleiddio	Gweithio gyda'r tîm FtP i ddatblygu meini prawf ar gyfer pryd	Hywel Dafydd, Cyfarwyddwr	16.07.20	Rydym yn cynnal trafodaethau â chyfreithwyr	Agored	

		gellid defnyddio mwy ar adran 160 o'r Ddeddf Rheoleiddio ac Arolygu (RISCA), gan ei bod yn rhoi'r pŵer i fynnu gwybodaeth gan bersonau neu gyrff sy'n ymwneud ag achosion FtP.	Cynorthwyol Rheoleiddio		Llywodraeth Cymru i weithredu adran 160. Unwaith y cyflawnir hyn, byddwn yn 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.		
30.04.20	Item 8 – Materion rheoleiddio	Cwestiynau y gofynnir iddynt gan aelodau yn gael eu cyfeirio fel rhan o ddatblygiad dangosyddion a metrigau data rheoleiddio ledled y DU	David Pritchard, Cyfarwyddwr Rheoleiddio	Parhaus	Mae David yn parhau i weithio gyda chydweithwyr ledled y DU ond mae'r gwaith hwn wedi cael llai o flaenoriaeth i wneud lle i ymateb i Covid-19.	Agored	
30.04.20	Item 9 – Cyfleoedd i gryfhau llywodraethu corfforaethol	Gwelededd a hygyrchedd aelodau'r Bwrdd i aelodau staff i'w hystyried fel rhan o'r amserlen ddatblygu	Mick Giannasi	Parhaus	I'w drafod ymhellach gyda'r Grŵp Cydlynu Cadeiryddion ar ôl ei sefydlu	Agored	

30.04.20	Item 9 – Cyfleoedd i gryfhau llywodraethu corfforaethol	Diweddariad ar yr amserlen waith mewn perthynas â chryfhau llywodraethu corfforaethol at the July Board meeting	Mick Giannasi	16.07.20	Diweddariad ar: - ToR pwyllgor tal diwygiedig - Aelodaeth pwyllgor - Cadeiryddion yn cydlynu ToR Grŵp - Proses Gweithredu Cadeiryddion I'w drafod yng nghyfarfod mis Gorffennaf	Caewyd	16.07.20
30.04.20	Item 11 – Effeithiolrwydd y cyfarfod	Ôl-drafodaeth ar-lein yn dilyn y cyfarfod rhithwir cyntaf i'w gynnal	Mick Giannasi	01.06.20	Dad-friffio wedi'i gynnal, rhannu canlyniadau a themâu allweddol gyda'r Bwrdd	Caewyd	12.06.20
30.01.20	Item 6 – Gwaith Cymdeithasol yng Nghymru	Rhoi'r wybodaeth ddiweddaraaf i'r Bwrdd wrth i'r cynllun gweithredu a'r llywodraethu gael ei ddatblygu	Sarah McCarty, Cyfarwyddwr Gwelliant a Datblygu	2020-21	O fewn Cynllun Busnes 2020-21 mae rhaglen waith i ddatblygu cynllun gweithlu gwaith cymdeithasol a bwrw ymlaen â hyn. Bydd cynnydd yn erbyn y gwaith hwn yn cael ei ddarparu fel rhan o adroddiad cynnydd chwarterol y cynllun busnes i'r Bwrdd.	Caewyd	16.07.20

30.01.20	Item 6 – Gwaith Cymdeithasol yng Nghymru	Cynhwys drafodaeth ar ddatblygiadau gwleidyddol yn sesiwn datblygu'r Bwrdd ym mis Ebrill	Llinos Bradbury, Uwch Swyddog Llywodraethu	30.04.20	Trafodwyd yn sesiwn datblygu'r Bwrdd 02 Gorffennaf	Caewyd	02.07.20
30.01.20	Item 8 – Negeseuon allweddol gan y Prif Weithredwr a'r Cyfarwyddwyr	Gwahodd y tîm Cofrestru i gyfarfod y Bwrdd ym mis Ebrill i sicrhau bod eu cyflawniadau'n cael eu cydnabod yn briodol	Llinos Bradbury, Uwch Swyddog Llywodraethu	30.04.20	Oherwydd gorfod cynnal cyfarfodydd y Bwrdd yn rithwir, gwahoddir y tîm Cofrestru i fynychu'r cyfarfod priodol nesaf	Agored	

Gwethrediadau a gaewyd yn flaenorol

30.01.20	Item 5 – Diweddariad cynllun busnes	Edrych ar sut mae nifer yr achosion FtP agored yn cael eu cyflwyno yn y Cynllun Busnes	Hywel Dafydd, Cyfarwyddwr Cynorthwyol Rheoleiddio	Ebrill 2020	Papur ar agenda'r Bwrdd Ebrill i drafod newid yn y targed cynllun busnes ar gyfer 2020-21	Caewyd	30.04.20
30.01.20	Item 5 – Diweddariad cynllun busnes	Mwy o fanylion i'w cynnwys ar nifer yr achosion FTP dros 18 mis yn y dyfodol a sicrwydd craffu ar lefel Pwyllgor	Hywel Dafydd, Cyfarwyddwr Cynorthwyol Rheoleiddio	Ebrill 2020	Diweddariad chwarter 4 wedi'i gyflwyno i'r Bwrdd ar 30 Ebrill gyda manylion pellach.	Caewyd	30.04.20
30.01.20	Item 5 – Diweddariad cynllun busnes	Anfon gwybodaeth am reoli prosesau ystadegol at swyddogion	Grace Quantock	Chwefror 2020	Gwybodaeth a anfonwyd gan Grace ac sy'n cael ei hystyried gan	Caewyd	17.04.20

					Swyddogion fel rhan o gynllun Busnes 2020-21 yn adrodd i'r Bwrdd ynghyd â'r gofynion a osodwyd gan Lywodraeth Cymru ar adrodd ar atebolrwydd.		
30.01.20	Item 5 – Diweddariad cynllun busnes	Mwy o fanylion ar reoli salwch tymor hir i'w cynnwys mewn adroddiadau yn y dyfodol	Kate Salter, Cyfwrwyddwr Cynorthwyol Gwasanaethau Corfforaethol	Ebrill 2020	Diweddariad chwarter 4 wedi'i gyflwyno i'r Bwrdd ar 30 Ebrill gyda manylion pellach.	Caewyd	30.04.20
30.01.20	Item 8 - Negeseuon allweddol gan y Prif Weithredwr a'r Cyfarwyddwyr	Ystyried gyflwyno Proses Gweithredu Cadeiryddion fel ffordd ffurfiol o ddirprwyo penderfyniadau	Mick Giannasi, Cadeirydd	30.04.30	Wedi'i gynnwys fel rhan o'r papur gwella llywodraethu a ystyriwyd yng nghyfarfod y Bwrdd ym mis Ebrill	Caewyd	30.04.20



CYFARFOD / MEETING	Cyfarfod Bwrdd				
	PREIFAT / PRIVATE		CYHOEDDUS / PUBLIC		
	<input type="checkbox"/>		<input checked="" type="checkbox"/>		
DYDDIAD / DATE	16.07.20				
EITEM AGENDA / AGENDA ITEM	6				
TEITL / TITLE / SCW/20/06	Adroddiad Blynyddol a Chyfrifon Drafft 2019-20, Adroddiad ar yr Archwiliad o'r Cyfrifon				
AWDUR / AUTHOR	Geraint Rowlands, Cyfarwyddwr Cynorthwyol Cyllid a TG				
CYFRANIADAU GAN/ CONTRIBUTIONS FROM:	Archwilio Cymru				
PAPURAU CEFNOGOL / SUPPORTING PAPERS	Atodiad 1 - Adroddiad Blynyddol a Chyfrifon Drafft 2019-20 Atodiad 2 - Adroddiad ar yr Archwiliad o'r Cyfrifon				
GWEITHGAREDD CYNLLUN BUSNES / BUSINESS PLAN ACTIVITY	Thema flaenoriaeth 4: Galluogi Gofal Cymdeithasol Cymru i gyflawni				
GWEITHRED / ACTION REQUIRED	CYMERADWYAETH / APPROVAL	DARPARU LLYW / PROVIDE A STEER	DARPARU SICRWYDD / PROVIDE ASSURANCE	TRAFODAETH / DISCUSSION	CRAFFU / SCRUTINISE
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
ARGYMHELLIAD / RECOMMENDATION	Gwahoddir y Bwrdd i graffu a chymeradwyo'r Adroddiad Blynyddol Drafft a Chyfrifon a chraffu a chymeradwyo'r Adroddiad ar yr Archwiliad o'r Cyfrifon.				
PRIF BWYNTIAU; MATERION ALLWEDDOL I DYNNU SYLW ATYNT; CWESTIYNAU I'W YSTYRIED	Mae'r Adroddiad Blynyddol a'r Cyfrifon drafft 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.				
MAIN POINTS; KEY ISSUES TO DRAW TO ATTENTION;	Mae'r Adroddiad ar yr Archwiliad o'r Cyfrifon yn amlinellu bod yr Archwilydd Cyffredinol yn bwriadu cyhoeddi adroddiad archwilio diamad. Mae un argymhelliad sy'n codi o'r gwaith archwilio wedi'i nodi yn yr adroddiad.				

QUESTIONS TO CONSIDER	
ASESIADAU EFFAITH / IMPACT ASSESSMENTS	

Adroddiad Blynyddol a Chyfrifon Drafft 2019-20 ac Adroddiad ar yr Archwiliad o'r 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 a'r naratif a grynhoir yn yr Adroddiad ar yr Archwiliad o'r Cyfrifon.
- 1.2 Mae'r Adroddiad ar yr Archwiliad o'r Cyfrifon yn nodi mai bwriad yr Archwilydd Cyffredinol yw cyhoeddi adroddiad archwilio diamedd ar y datganiadau ariannol. Mae un argymhelliad yn codi o'r gwaith archwilio mewn perthynas â thrafodion partiön cysylltiedig y mae'r swyddogion wedi ymateb iddynt.
- 1.3 Yn y Pwyllgor Archwilio a Risg, nododd yr Adroddiad ar yr Archwiliad o'r Cyfrifon drafft fod un maes o waith archwilio ar ôl ar y pryd, sef derbyn cadarnhad gan archwilywyr allanol cronfa bensiwn RCT ynghylch datgelu pensiwn yn ein datganiadau ariannol. Derbyniwyd hwn bellach ac roedd Archwiliad Cymru yn fodlon ar y sicrwydd archwilio a ddarparwyd.
- 1.4 Ar ôl cael eu cymeradwyo gan y Bwrdd, bwriedir llofnodi'r Cyfrifon gan y Swyddog Cyfrifyddu ar 17 Gorffennaf i'w llofnodi gan yr Archwilydd Cyffredinol ar 28 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. Impact

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



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



Annual Report and Accounts 2019-2020

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 2020 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

We are in our third year of delivery against our 2017-22 strategic plan. Thanks to the professionalism, dedication and hard work of our staff and partners, we have been successful in achieving almost the entire programme of work as set out in our business plan and 100 per cent of the priorities as set out in our remit letter from the Welsh Government. We have included a summary of some of our achievements in the performance commentary to provide an overview of what we have achieved this year.

The social care and early years sectors have an important role in improving the well-being of children and adults in Wales. Our work contributes to the ambitions of *A Healthier Wales* and the Welsh Government's 10-year Childcare, Play and Early Years workforce plan.

Our work, in partnership with others, supports the implementation of the legislative 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.

Every day, in every community in Wales, the hidden army of social care workers is battling away on the frontline, providing care and support to our most vulnerable friends, families and neighbours.

During the current Covid-19 crisis this has never been so evident, and we adapted our work at the end of the last financial year to respond proactively to the situation. This work included:

- creating a temporary register to enable former social workers to re-register
- publishing information and resources to guide workers through Covid-19
- enabling managers to register once they enrolled on a relevant course



- developing a social care worker recognition card to provide access to a range of benefits.

Hopefully, when this crisis is over, and care workers will, as ever, have demonstrated how valuable they are to our society, they will continue to be recognised as key workers. It is hoped investment will continue to be made in the workforce to ensure a sustainable way forward 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.

We are committed to responding to the views and needs of people who use care and support, their families and those working in the sector to inform our work. This approach includes the design, delivery and governance of our work in setting and promoting high standards of practice and training.

Some of our main achievements have been delivered in partnership with others. These include the draft health and social care workforce strategy, the review, re-design and launch of the new Level 2 and Level 3 qualifications, and the WeCare Wales attraction, recruitment and retention campaign.

Through our work to regulate and support the workforce, we will maintain our approach to professional registration, communicating the standards set out in the *Code of Professional Practice for Social Care* to help registered people understand what's required of them. The focus is one of regulating for improvement, and assuring the public of the quality and safety of the social work and social care workforce.

There are now more than 30,000 people on the Register of Social Care Workers in Wales, which is a considerable increase over the last two years (there were 11,500 people on the Register in March 2018). We will consider how new groups of social care and early years workers may become professionally registered with us, working closely with the sector to find ways to do this that adds value during these challenging times.

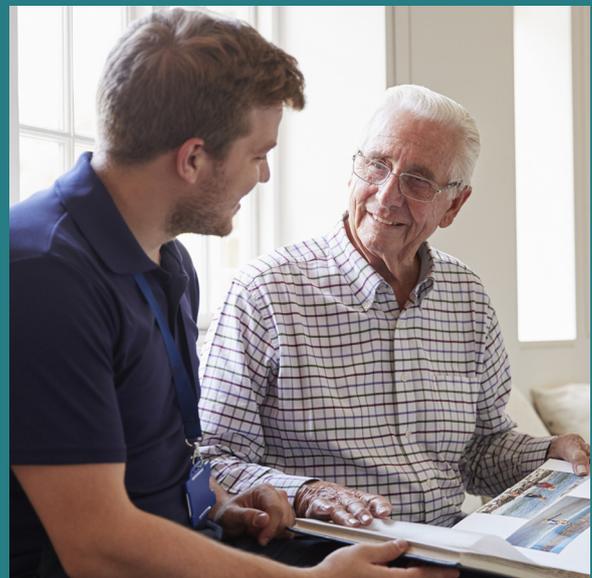
Looking forward to our work programme in 2020-21, we will continue to work with partners to lead and support improvement in social care, and to take forward the long-term vision for seamless health and social care in Wales as set out in *A Healthier Wales*.

Our priorities for 2020-21 include:

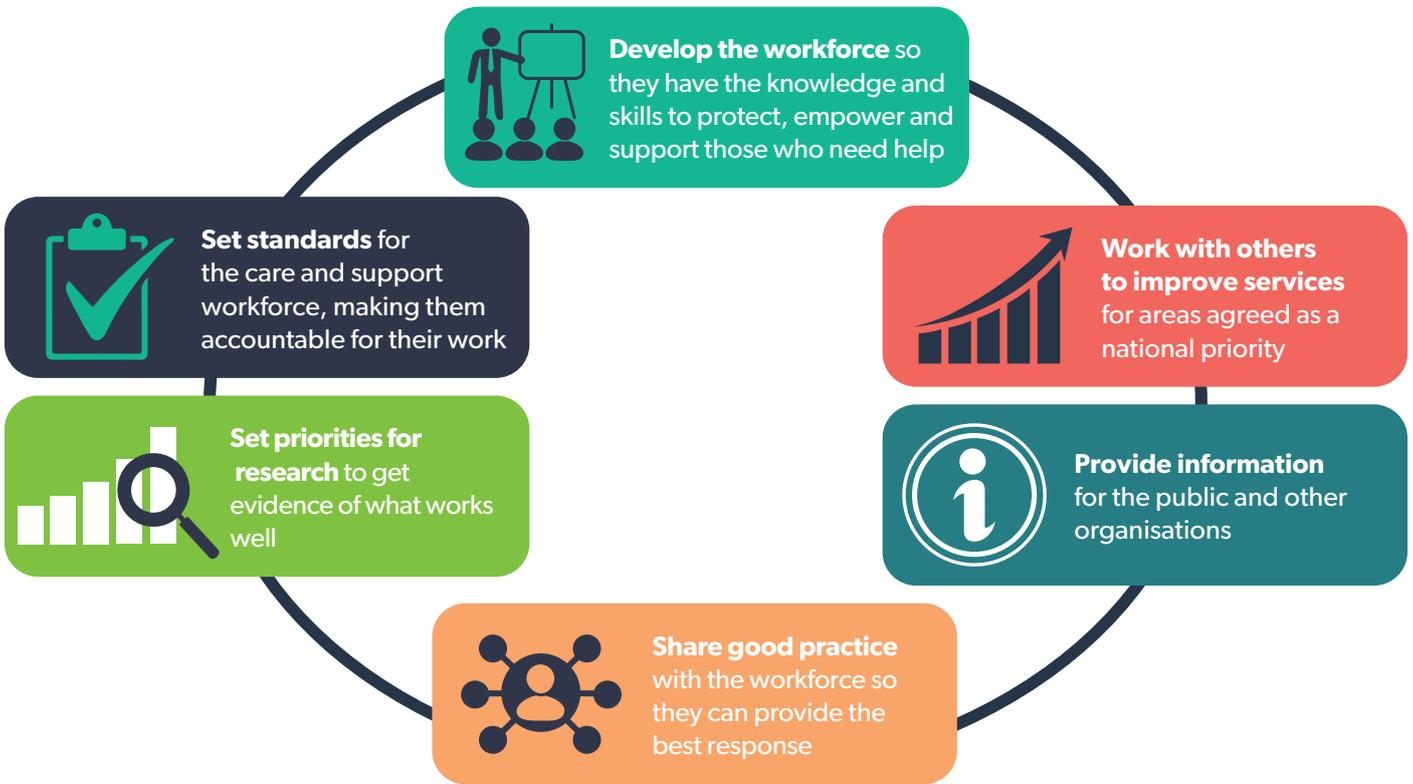
- extension of registration to adult care home workers and new managers
- developing an ambitious new digital offer for our registered persons
- strengthening and extending our WeCare Wales campaign to support the sector
- developing proposals for an employer liaison service to be operational from April 2021
- progressing the workforce strategy
- developing expert guidance on evidence and good practice, including COVID-19 resources
- strengthening our data and influencing research and development activities to increase our intelligence
- learning from our COVID-19 related activities and from independent analysis to feed into a review of our strategic plan
- continuing to support the Welsh Government's improvement priorities.

Sue Evans
Chief Executive and Accounting Officer

Date: 17 July 2020



Role of Social Care Wales – who we are



Our vision and strategic objectives

Our purpose

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

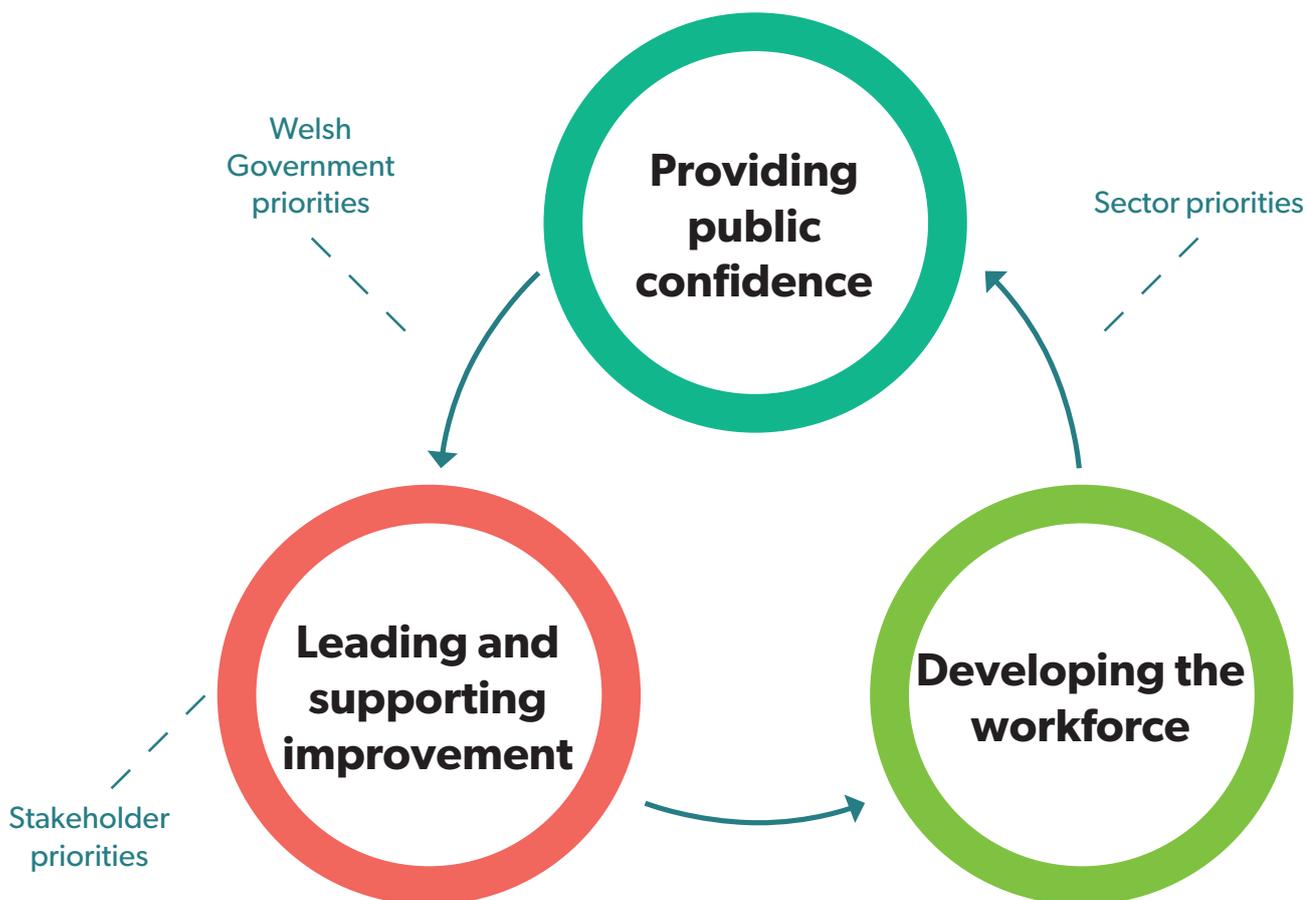
Our vision

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

Our aims

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

- 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
- people having confidence in the social care workforce, including the early years workforce, and the effectiveness of Social Care Wales.



Issues and risks we face

Information about our risk management and the main risks we face is provided in the Governance Statement on page 18.

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-19 on the social care and early years sector in supporting people and children
- remaining in a period of financial constraint
- the complex policy landscape.

Performance analysis

Our annual Business Plan for 2019-20 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.

Overall, we achieved all the priorities set out in our remit letter from the Welsh Government and we have highlighted some of our main achievements below.

This is a report about our work in 2019-20, but we recognise the significant impact COVID-19 had on the social care and early years sector towards the end of the financial year.

Providing public confidence

We want people to have confidence in the social care sector and in the effectiveness of Social Care Wales.

Registration

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

This year has been our busiest registration period by far as we registered more than 17,000 domiciliary care workers, while also maintaining the registration of the other groups of social care workers.

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.

30,152
people were on our Register

17,711
domiciliary care workers were
registered with us by 31 March 2020

1,371
people left the Register

Registration is changing

Our consultation in autumn 2019, 'Registration is changing', set out new arrangements that covered:

- ways to register for adult care home workers
- practice guidance for adult care home workers
- ways to register for residential family centre support workers
- a new way for residential child care workers to qualify for registration
- a more flexible way of recognising a social care worker as a manager for the purposes of registration
- the payment of fees in years two and three of registration
- the streamlining of categories of worker on the Register.

We did all we could to make sure that those who might be affected by the proposed changes had a chance to comment. We sent the consultation document to more than 12,000 people, held workshops to help people understand the proposed changes and sent information about the consultation to registered persons and employers.

We received 136 responses to the consultation. We also took other opportunities to gather opinions from the sector throughout the 12-week consultation period and didn't rely on consultation responses alone, meeting with more than 500 people at a range of events. As a result, we now have a good understanding of the things people want us to do to support them if we go ahead with the proposals.

socialcare.wales/consultations/registration-is-changing

Covid-19 response

To assist the workforce during the emergency period, we put the following arrangements in place:

- we created a temporary register and social workers who left the Register in the last three years were invited to return to practise
- social workers registered in England, Northern Ireland or Scotland can now work in Wales without having to register with us
- residential child care workers and domiciliary care workers now have up to 12 months from the date they started in their role to complete their registration
- the confirmed competence route has been extended for domiciliary care workers applying to register
- we brought forward new routes for manager registration:
 - managers enrolled on the level 5 qualification can apply to register
 - nurses, occupational therapists or social workers can apply to register as managers.

Fitness to practise

Engagement work with employers, regulators and safeguarding

We have been working to change the emphasis of our investigation work towards supporting workers to develop and improve if they've been referred to us. To involve people in this approach, we:

- held numerous events throughout the year, including workshops
- supported inspector training for Care Inspectorate Wales
- attended local authority and provider training events across Wales.

We also increased our levels of active engagement with other regulators and worked with them on improving the way in which we carry out our work to maximise efficiency while protecting the public. One way in which we did this was by being proactive in sharing intelligence to support our collective aims.

Through our on-going engagement, organisations and employers have a better understanding of our regulatory work, and their responsibilities to support us in professionalising the social care sector. Early indications show organisations and employers are carrying out better internal disciplinary investigations, which means we are able to progress their referrals more efficiently. This has also meant we have been able to carry out more fitness to practise investigations as the number of registered workers has increased.

227
(0.75% of
the Register)

the number of registered persons about whom we received allegations that called into question their fitness to practise and suitability to remain on the Register

99
(44%)

of referrals related to registered persons who were subject to disciplinary processes

42

final hearings were held

25

people were removed from the Register

Of those removed, their roles were:

- 36%** residential child care workers
- 20%** adult care home managers
- 36%** social workers
- 4%** domiciliary care managers

Working with you to be effective

Strategy and Governance

During the year, Mick Giannasi was appointed our new Chair, following a public appointment recruitment process. Two new Board members were also appointed.

You can find out more about our governance effectiveness and achievements in our Governance Statement.

Engagement and communication

We have a detailed engagement strategy for 2018-22, and a detailed activity plan to put it into practice. The plan focuses on:

- the stakeholders we should engage with
- the level the engagement should take
- the methods for engagement and how they would be evaluated
- desired outcomes.

Our focus in 2019-20 was mainly, but not exclusively, on:

- the joint health and social care workforce strategy
- the attraction and recruitment campaign
- registering domiciliary care workers and preparing to register other groups
- the new health, social care and childcare qualifications
- implementation of the agreed national improvement plans
- our new, extended role in relation to the early years workforce.

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.

Current workforce

126 staff



31 posts were recruited to

13.76%
staff turnover

3.74%
sickness
absence rate

143,664
resources were downloaded
from the website



10%
of these resource
downloads are the Code of
Professional Practice

1,523,225
website pageviews



38,818
reach of our best-
performing tweet

8,100
followers on Twitter



Developing the workforce

We want Wales to have a sufficient, high quality and skilled social care, and early years and childcare workforce.

Workforce strategy

To support the realisation of A Healthier Wales, the Welsh Government commissioned Health Education and Improvement Wales (HEIW) and us to develop a long-term workforce strategy. We did this in partnership with NHS Wales and local government, the voluntary and independent sectors, as well as regulators, professional bodies and education providers.

We employed a comprehensive engagement strategy, which involved contributions from nearly 1,900 people through a variety of methods. These methods included online surveys, workshops, webinars, one-to-one meetings and attending a range of professional meetings, and network and conference events.

The responses, along with reviews of recent literature, good practice and innovation, workforce intelligence, workforce trends and the implications of national legislation and policy on the workforce, have helped us in shaping this strategy.

This strategy is underpinned by seven key themes, which have been shaped by the engagement and consultation we carried out, and this work will influence our priorities for business planning for 2020-21.

The draft strategy was submitted to Welsh Government after it was approved by our board and that of HEIW.

WeCare Wales campaign

Launched in March 2019, the campaign aims to help attract more people into roles in care in Wales because we know that over the next 10 years, we will need around 20,000 more care workers.

The campaign was shaped by the feedback of people who are already working in the sector and more than 1,200 members of the public, who shared their perceptions about the social care, and early years and childcare sectors.

The campaign has been well received so far.

26
WeCare Wales stories
films were made



714,663
the number of times the
WeCare Wales stories
films were viewed



49,749
visitors to the WeCare
Wales website



3,938
followers across all
social media platforms
with a reach of 5.5
million people



“What better way to demonstrate how rewarding and diverse a career in Social Care and Early Years offers, than seeing people share their real experiences in the WeCare Wales campaign in Wales.”

Jonathan Griffiths, Director of Social Services, Pembrokeshire Council

“PACEY Cymru have supported the development of the WeCare Wales campaign and continue to work closely to promote the campaign. WeCare Wales inspires others, promotes the roles to potential recruits and creates a sense of pride in the work.”

Claire Protheroe, National Manager for Wales, PACEY

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

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

Qualifications

New qualifications at levels 1, 2 and 3 were launched in September 2019. These were designed to strengthen the care profession for the future, provide a recognised and consistent standard, as well as a clear pathway for those wanting to progress in their careers.

The qualifications were developed in partnership by Qualifications Wales, Health Education and Improvement Wales, and us, and will be delivered by a consortium of the Welsh Joint Education Committee (WJEC) and City & Guilds.

The number of qualifications has been significantly reduced to provide more clarity to learners, learning providers and employers about the most appropriate route to follow.

These new qualifications will build on the excellent work already being carried out and will enable the sector to take on the challenges that lie ahead. We would also like to recognise the valuable contribution of so many colleagues from social care, health, and early years and childcare in helping develop the new qualifications. Their input and feedback were so important, as they reflected the voices of those working in the sector.

Level 4 and 5 qualifications will be available for delivery from September 2020. There will be a transition period across all the qualifications for those already studying existing qualifications to make sure they can complete their current studies.

Caring in Welsh award

The Caring in Welsh award was a new initiative for 2019 to help raise awareness of the importance and value of using the Welsh language when providing care and support. The award recognised and celebrated paid care workers in social care, early years and childcare who provide excellent care through the medium of Welsh. The workers could be a fluent Welsh speaker, know a little Welsh or be a learner, and needed to use the language when providing care and support.

Twenty-two care workers were nominated for the award. These were whittled down to six finalists from across Wales by our panel of three judges and more than 850 people took part in a public vote to decide the winner. The winner was announced at a ceremony at the National Eisteddfod in Llanrwst on 6 August 2019, attended by the First Minister, the Welsh Language Commissioner and the Strategic Director of Social Care and Education at Conwy County Borough Council.

Leading and supporting improvement

We want improved outcomes for children and adults who rely on care and support, their families and carers.

Providing outcomes-focused training to local authorities

In partnership with Achieving Sustainable Change Ltd (ASC Ltd), we continue to deliver the Collaborative Communications Skills (CCS) training programme to councils across Wales.

The programme aims to equip workers with the skills needed to work in an outcomes focused way. The aim of an outcomes approach is to make sure that people who receive care and support and their family or unpaid carers are supported to live the best lives possible, building on their own strengths and capabilities. It also requires organisations to focus their resources on the impact they have, as well as the activities they carry out. The programme also helps managers understand and think about what they need to do to embed and sustain change.

The training programme is delivered in four phases:

- briefing and planning session for the senior management team
- staff training: two consecutive days with two follow-up sessions at four weekly intervals. The follow-up days review progress and look at what opportunities and barriers the teams are facing
- further training (two consecutive days with follow-up sessions) for those who will act as mentors/champions within the authority. Mentors support the embedding of the approach across their department and with partners
- a review of the training that's taken place involving senior managers and mentors. This is followed by a strategic planning session for moving the work forward.

Online resource to support the Improving Outcomes for Children programme

A new online resource was launched in October to help people find out more about the Welsh Government's Improving Outcomes for Children programme and to access its research and reports.

The programme has three aims, which are to:

- safely reduce the number of children in need of care
- make sure there are sufficient placements of a high quality
- support children to have the best possible journeys through care and into adulthood.

The resource helps answer the recommendation made by the Public Accounts Committee in November 2018 to improve the visibility of the programme's work, to increase its accountability and allow for scrutiny.

socialcare.wales/service-improvement/improving-outcomes-for-children-programme

One in a Million: Dementia training resource

During the year, we launched the One in a Million training resource, a two-and-a-half hour classroom-based training package to help those who work with people with dementia. The session gives staff a better understanding of dementia and its different forms and helps achieve the aims of the Good work dementia learning and development framework. Staff also learn practical tips about improving the day-to-day experiences of people with dementia.

One in a Million is available free on request, so that it can be delivered by any trainer in Wales, and we've created a supporting guide and video to help them.

socialcare.wales/service-improvement/people-with-dementia

"I firstly wanted to thank you for the fantastic training package that you have provided. I've had a look through the presentation and material and it all looks very comprehensive and insightful. It will be very beneficial for our home."

Care home training manager

"I've had an overview, and it looks great! I am already training Dementia packages quite widely, and wanted something fresh and new. This looks ideal and I particularly like the freedom within it to meet a variety of delegates requirements."

Staff development manager – third sector provider

National Social Care Data Portal for Wales

In December, we launched our improved National Social Care Data Portal for Wales. There are many sources of social care data in Wales and finding them can be confusing. The portal brings together data about social care services in one place. It aims to help local authorities, regional partnership boards and others understand the social care sector in Wales and find the right sources of data.

We have developed the portal so it's easier to use, accessible and provides a comprehensive evidence base for decision-making in the sector. The portal has a 'core set' of the most useful data and, in the future, it will signpost to other, more detailed, sources of information.

The new portal includes a range of thematic dashboards on specific topics including children who are looked after, workforce, dementia, and care and support at home. These are intended to help users interrogate and understand the data.

www.socialcaredata.wales/IAS/eng

Residential child care conference

More than 130 people came together to share good practice across the residential care workforce and to celebrate success within the sector. Residential child care is a positive choice for some of our most vulnerable children and young people in Wales, providing invaluable opportunities for supporting them to recognise and achieve their full potential.

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 third prepared as Social Care Wales. Sixteen 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 2020 there were fifteen members including the Chair who have been appointed by the Minister for Public Health and Social Services with two additional members joining prior to the 31st March 2020. In addition the term of Arwel Ellis Owen as Chair ended on the 31 July 2019 and was replaced on the 1 August 2019 by Mick Giannasi.

Members serving 1 April 2019 to 31 March 2020

Members

Arwel Ellis Owen – Chair (term ended 31 July 2019)
 Mick Giannasi – Chair (term started 1 August 2019)
 Abigail Harris
 Carl Cooper
 Damian Bridgeman
 Donna Hutton
 Emma Britton
 Grace Quantock
 Joanne Kember
 Jane Moore
 Kate Hawkins
 Maria Battle (term started 1 July 2019)
 Peter Max
 Rhian Watcyn Jones
 Simon Burch
 Trystan Pritchard (term started 1 July 2019)

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

The Chair's term will end on the 31 July 2023. All other existing terms will end on the 31 March 2021 (may be extended for a further year in light of the impact on COVID-19 on Public Appointments) other than Maria Battle and Trystan Pritchard who's term will end on the 30 June 2023.

In addition Daxa Varsani was an independent member of the Audit and Risk Committee from 1 May 2019 and her term will end on the 30 April 2021.

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 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: 17 July 2020

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.

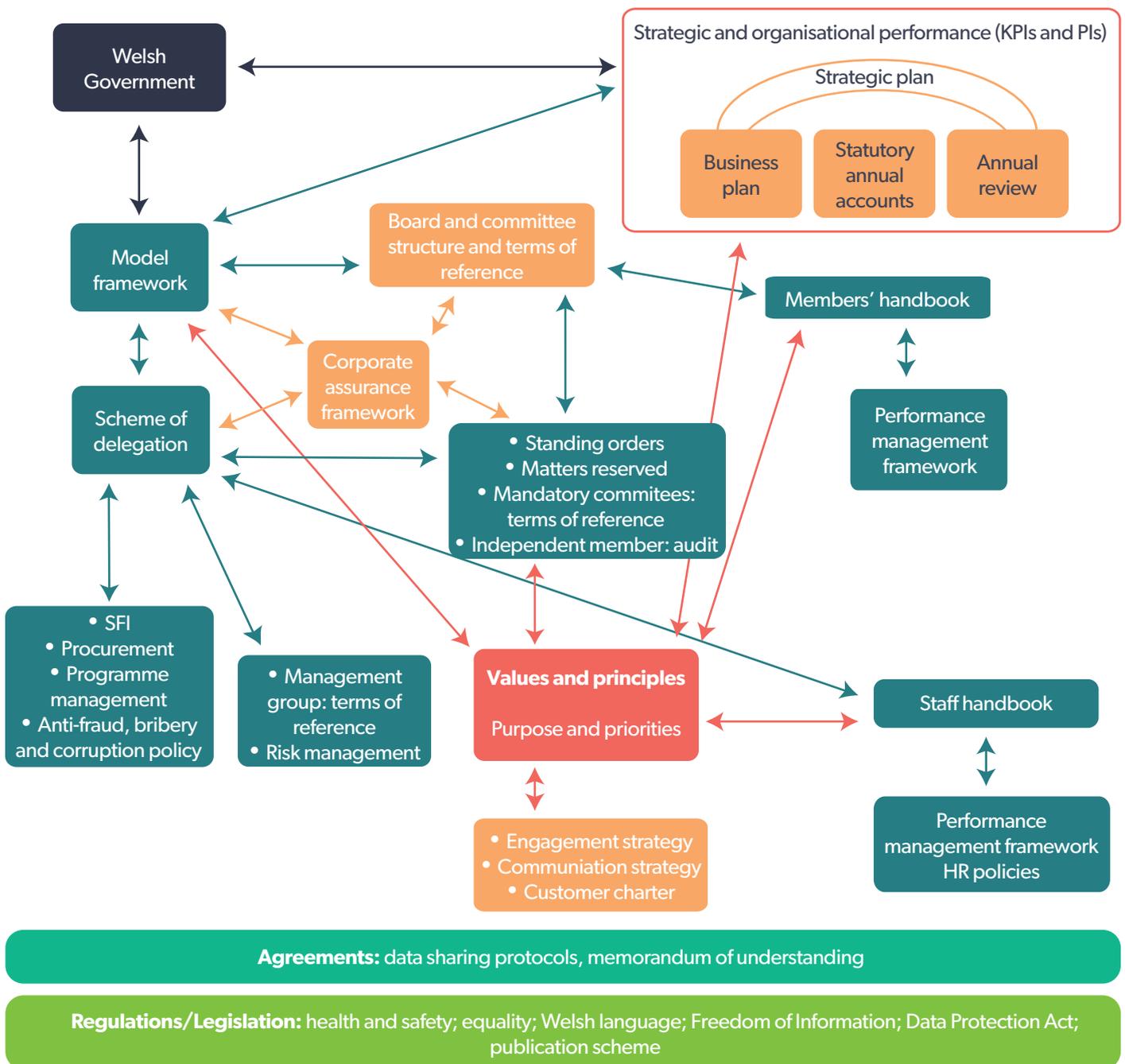
We were set up under the Regulation and Inspection of Social Care (Wales) Act 2016 in April 2017 “to continue the work previously undertaken by Care Council for Wales regulating and developing the social care workforce, while also taking on a new responsibility to lead and support improvement across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



Our governance and accountability structure

In accordance with the 'International Framework: Good governance in the public sector' governance 'comprises the arrangements¹ put in place to ensure that the intended outcomes for stakeholders are defined and achieved'.

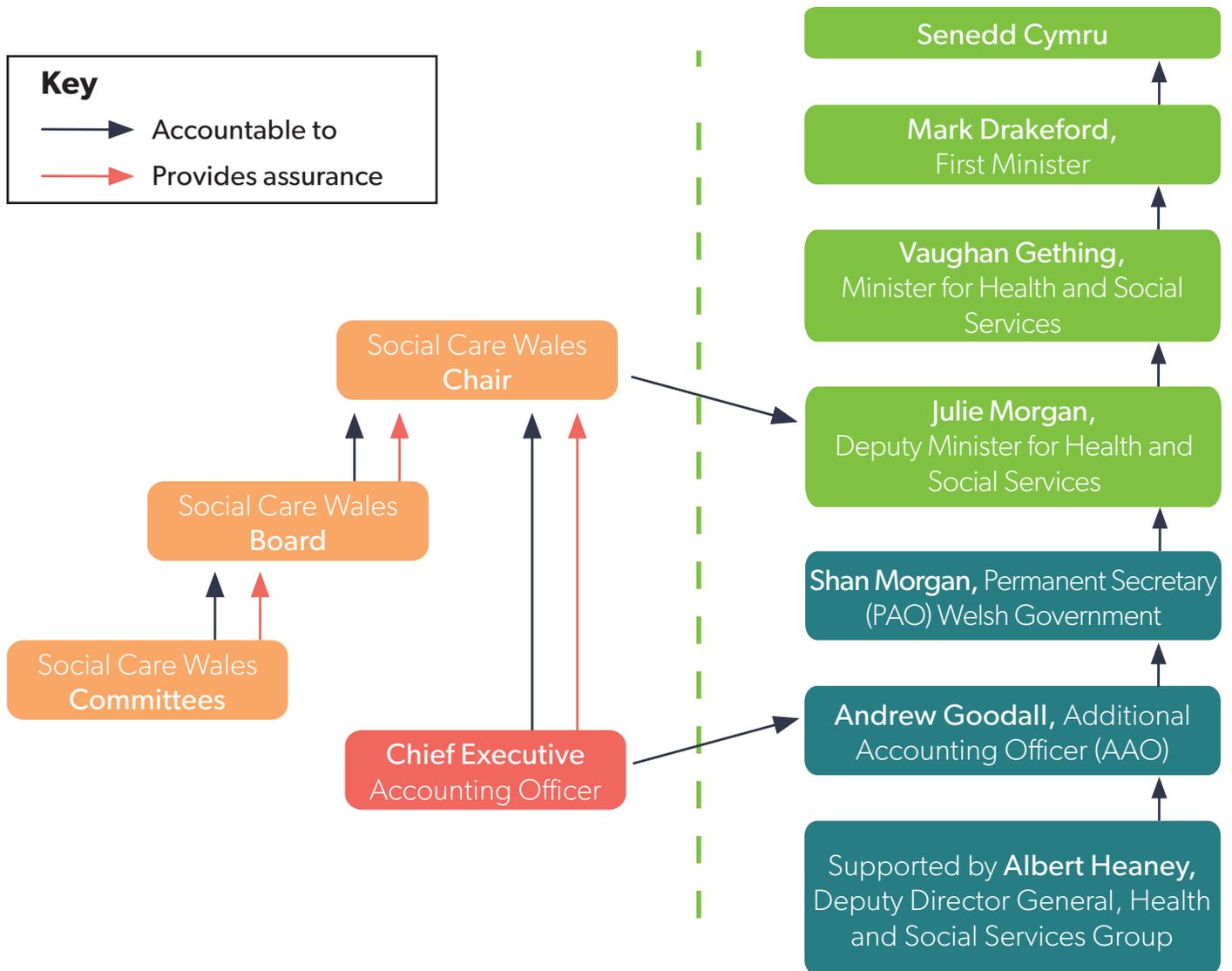
We have a governance framework which supports how we work. This is illustrated in the diagram below – our governance framework:



1. 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 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 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 September 2019.
- Our Board had its annual meeting with the Deputy Minister for Health and Social Services in September 2019.

Our Board and committees

At the end of July 2019 we said goodbye to our Chair Arwel Ellis Owen following 10 years as Chair of the Care Council for Wales and Social Care Wales. In August we welcomed [Mick Giannasi](#) as our new Chair.

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.

This diagram illustrates our Board and Committee structure as at 31 March 2020:

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
- demonstrates high standards of corporate governance – agreeing Board and committee terms of reference
- received messages and advice from the Executive Management Team

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

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

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
- HR governance, policy and employee engagement data by scrutinising our performance

Board development and engagement

Board members continued their learning and development with a series of seminars during 2019-20 the topics were:

Providing public confidence

- Horizon scanning of future opportunities and risks
- Measuring our impact
- Stakeholder mapping
- Public sector governance update (David Richards, Director of Government and Ethics & Julia Douch, Head of Public Bodies Unit, Welsh Government)
- Principles of regulation
- Strategic risks review
- Organisational reflections and suggestions for improvement (facilitated by the new Chair and new Director of Regulation)
- The social care sector's financial outlook (Jon Rae, Director of Resources, WLGA)
- Social Care Wales future financial scenarios
- Review of our Strategic Plan

Developing the workforce

- Overview of the early years and childcare sector
- Overview of the Canterbury, New Zealand model of integrated health and care (facilitated by a Board member following a recent visit to Canterbury)

Leading and supporting improvement

- Our improvement offer, innovation and evidence

Board and committee effectiveness

As we are a learning organisation, we regularly reflect on the effectiveness of our policies, processes and meetings.

During June 2019 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 69% which members reflected was disappointing and the Board discussed other ways of capturing feedback in future such as live voting at a meeting. The majority of responses received to the questions were positive and members agreed to use the results as a benchmark for future questionnaires.

A similar questionnaire was also sent to Committee members to reflect on their effectiveness during December 2019 and January 2020, 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 100 per cent and 60 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, 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.

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 2019-20.

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	Attendance at Board meetings & development sessions	Overall meeting attendance (inc. Committees)	Audit and Risk (out of 4)	Improvement (out of 4)	Regulation and Standards (out of 4)	Remuneration and Well-being (out of 4)
Arwel Ellis Owen (Chair until 31 July 2019)		100%	100%				
Mick Giannasi (Chair from 1 August 2019)		100%	100%				
Abigail Harris	Improvement	85%	82%		3		
Daxa Varsani	Audit and Risk	n/a	100%	4			
Carl Cooper	Audit and Risk; Remuneration and Wellbeing	92%	90%	3			4
Damian Bridgeman	Improvement	92%	94%		4		
Donna Hutton	Regulation and Standards; Remuneration and Wellbeing	69%	62%			2	2
Emma Britton	Audit and Risk	85%	82%	3			
Grace Quantock	Regulation and Standards	62%	65%			3	
Jane Moore	Improvement; Remuneration and Wellbeing	69%	71%		3		3
Joanne Kember	Regulation and Standards; Remuneration and Wellbeing	92%	90%			3	4
Kate Hawkins	Audit and Risk	92%	94%	4			
Maria Battle (from 1 July 2019)	Regulation and Standards; Remuneration and Wellbeing	60%	50%			0 (3)	2 (3)
Peter Max	Improvement	100%	100%		4		
Rhian Watcyn Jones	Audit and Risk	77%	82%	4			
Simon Burch	Regulation and Standards	85%	82%			3	
Trystan Pritchard (from 1 July 2019)	Audit and Risk	100%	100%	3 (3)			

Effectiveness of our governance framework

As Chief Executive and Accounting Officer, 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 an 'open door policy' where any member of staff can approach 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 2019-20, 8 internal audits were carried out on our policies and procedures for:

Area	Assurance level	Definitions of assurance level
IT General Controls	Substantial	There is a reasonable framework of governance, risk management and control, which should make sure that objectives are achieved
Freedom of Information		
Regulation of Training		
Corporate Governance and Risk Management		
Grant Management		
Financial Systems – Financial Planning and Budgetary Control, Revenue and Receivables and Tendering and Procurement		
Staff Performance Management	Moderate	Some improvements are required to enhance the adequacy and effectiveness of the framework of governance, risk management and control
Financial Systems – payroll		

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 quarter by our Executive Management Team and is subsequently scrutinised by the Audit and Risk Committee. The Board also reflected on our strategic risks in September 2019 and a revised Strategic Risk Register was scrutinised at the November Audit and Risk Committee meeting. Our main strategic risks during 2019-2020, including its residual risk at February 2020, related to:

Risk title	Inherent	February 2020
If information sharing between regulators regarding the registered workforce is not effective there will be a loss of confidence. (moved to operational risk register following June Committee meeting)	Medium	
If the sector is not engaged in the work of Social Care Wales then we will be unable to deliver our aims and activities as we cannot achieve these in isolation. Title changed in November to: 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.	High	Medium
If we are not clear on the positive difference that we will make on the care sector and the wider Welsh public service then we will lose credibility. Title changed in November to: If we do not demonstrate how we are contributing to making a positive difference to the care sector then we will lose credibility.	Medium	Low
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 therefore increase qualification levels of the workforce.	High	Medium
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.	High	Medium
If we have no increase in Grant In Aid by Welsh Government then we need to consider the sustainability of our existing remit. Titled changed in November to: If we don't have increased resources to meet what is expected from Government term of office then we will not be able to deliver the expected standards.	High	High
New risk in November: 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.	High	Medium
New risk in November: 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.	High	Medium
New risk in November: 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.	High	Medium

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.

This year, we commissioned a gap analysis of our compliance with the Data Protection Act 2018 to see where we are doing well and where we can improve. The recommendation report will be available in April and a number of actions will be fed into our business activities for 2020-21.

Also during 19-20:

- We recorded 26 data incidents: 5 were errors by a third party, 5 were software or server issues and the remaining 16 had a root cause as either human error or a staff training and awareness issue.
- We made the ICO aware of 3 of the above incidents, but no further action was required
- We responded to 11 requests under the Freedom of Information Act, all responded to within 20 working days bar 1 (due to Covid-19 crisis)
- We received 5 Subject Access Requests under the Data Protection Act 2018, all fulfilled within the 30 day period
- We maintained our accreditation with ISO27001 which is an industry standard for information security. This means our information security management systems are based on best practice.

Customer Service

We aim to provide our customers with the best experience possible, but we are aware we can always learn from feedback. During 2019-20 we received 9 formal complaints relating to our procedures or decisions made. While none of them were upheld or progressed by the Public Service Ombudsman, we have used the themes and trends from our complaints to improve our customer service approach.

During the year we also undertook a customer journey mapping exercise. The findings of this work will inform our business plan in the next financial year.

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 terms of staff awareness of their responsibilities we asked staff in the April 2019 staff survey to rate their response to the following statement on a strongly agree to strongly disagree scale 'I know what my role and responsibilities are as part of our whistleblowing procedures'. Eighty nine percent of those that completed the survey answered strongly agree or agree to this question. Whilst this result indicates a high proportion of staff who know what they are expected to do we will follow up in the next survey on the staff confidence in these procedures, as there have been several new appointments since the last survey.

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 6 received during the year they did not comply with the definition of whistleblowing under the regulations. 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: 17 July 2020

Remuneration and staff report

Pay policy statement

This is Social Care Wales's pay policy statement for the period 1 April 2019 to 31 March 2020.

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 who was in receipt of a salary of £115,143 per annum in 2019-20. The gross salary cost of the Chief Executive in the period 2019-20 was £160,586 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)	
	2019-20	2018-19	2019-20	2018-19	2019-20	2018-19
Chair Arwel Ellis-Owen (to 31 July 2019)	10-15	25-30	N/A	N/A	10-15	25-30
Chair Mick Giannasi (from 1 August 2019)	20-25	N/A	N/A	N/A	20-25	N/A
Chief Executive Sue Evans	115-120	110-115	32,500	31,700	145-150	140-145
Director of Corporate Services & Strategy Joanne Oak	75-80	70-75	22,600	21,000	95-100	95-100
Director of Improvement and Development Sarah McCarty	75-80	55-60	21,100	21,200	95-100	80-85
Director of Regulation and Intelligence/Deputy Chief Executive Gerald Evans (to 31 March 2019)	N/A	75-80	N/A	9,700	N/A	85-90

*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 existing 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 £116,475 which included Employers National Insurance, Employers Pension and unrecoverable VAT. This was for the period 29 April 2019 to 31 March 2020. 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.

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.

Pension Entitlements of Directors	Total accrued pension at 31 March 2020 £,000	Real increase in pension at 31 March 2020 £'000	Total accrued lump sum at 31 March 2020 £,000	Real increase/ (decrease) in lump sum at 31 March 2020 £,000	CETV at 31 March 2020 £'000	CETV at 31 March 2019 £'000	Real increase/ decrease in CETV in 2019-20 £'000
Chair Mick Giannasi and Arwel Ellis Owen	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Chief Executive Sue Evans	20-25	0-2.5	-	-	378	324	49
Director of Corporate Services & Strategy Joanne Oak	15-20	0-2.5	-	-	199	176	20
Director of Improvement and Development Sarah McCarty	20-25	0-2.5	15-20	(2.5)-0	234	211	19
Director of Regulation and intelligence/ Deputy Chief Executive Gerald Evans (to 31 March 2019)	N/A	N/A	N/A	N/A	N/A	387	N/A

* 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	2019-20	2018-19
Highest Earner's Total Remuneration (£'000)	115-120	110-115
Median Total Remuneration	£31,562	£30,943
Ratio	3.6	3.6
Range of total remuneration	£20,272-£115,143	£18,673 - £113,333

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 2019-20 was £115,000-£120,000 (2018-19: £110,000-£115,000). This was 3.6 times (2018-19: 3.6 times) the median remuneration of the workforce, which was £31,562 (2018-19: £30,943).

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 £20,272 to £115,143 (2018-19: £18,673 to £113,333).

Staff report

Staff Costs	2019-20	2019-20	2019-20	2019-20	2019-20	2018-19
	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	4,499	4,115	153	125	106	4,038
Social Security Costs	425	418	-	4	3	385
Other pension Costs	1,592	1,592	-	-	-	1,061
Apprenticeship Levy	7	7	-	-	-	5
Sub Total	6,523	6,132	153	129	109	5,489
Less recoveries in respect of outward secondments	(19)	(19)	-	-	-	-
Total net costs	6,504	6,113	153	129	109	5,489

Consistent with guidance, employment costs include payments made in respect of contract staff. The total net cost of salaries excluding Other Pension Costs was £4,912k (£6,504k-£1,592k) in 2019-20 in comparison to £4,428k (£5,489k-£1,061k) in 2018-19.

Other pension costs are the service costs (current and past) of the scheme and in 2019-20 totalled a cost of £1,592k. The £1,592k consists of actual Employer contributions made of £1,282k which was made up of employer contributions based on

payroll of £1,014k and lump sum deficit payments of £268k. The residual difference of £310k (£80k in 2018-19) 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 2019-20 relates to £270k in past service charges and £40k in current service charges. In 2018-19 the £1,061k consisted of employer contributions of £981k but increased by £80k as noted above.

Staff numbers - WTE	2019-20	2019-20	2019-20	2018-19
	Total Number	Permanent Number	Other Number	Total Number
Chief Executive and Directors	4	3	1	4
Regulation and Intelligence	55	55	0	45
Improvement and Workforce Development	32	31	1	31
Corporate Services	28	27	1	31
Totals	119	116	3	111

The table above represents the average number of whole-time equivalent persons employed during the year.

Staff composition

As at the 31st March 2020 of the workforce of 129, 94 (73%) were women and 35 (27%) were men. In comparison as at the 31st March 2019 of the workforce of 126, 90 (71%) were women and 36 (29%) 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 three were women (75%) and there was one man (25%) which was the same as at 31st March 2019.

Staff Composition by job family is as follows:

Staff composition by job family	Female	Male	Total	F	M
Executive Team	3	1	4	75%	25%
Senior Leadership Team	4	3	7	57%	43%
Management Team	21	9	30	70%	30%
Technical and Development Team	22	13	35	63%	37%
Support Team	44	9	53	83%	17%
Totals	94	35	129	73%	27%

Sickness absence data

The level of staff sickness during 2019-20 was 3.74% (2018-19: 3.73%) which was based on 1048 days lost out of 28,029 days. Excluding long term absences the rate was 1.82%(2018-19 :2.09%).

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 ensure through our Strategic Equalities Plan that we tackle discrimination in relation to all protected characteristics.

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 have also 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 and Gender

Pay gap reports back in 2018-19 we found no evidence of pay discrimination on the grounds of any protected characteristics and our Gender Pay Gap was 15.58%(median). We have planned a further Equal Pay review for September 2020

Employee voice

During 2019-20 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 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
- Online resources

During the year 7 employees utilised the telephone counselling service (these are unique callers, not repeat callers), while no employees accessed face to face sessions.

The majority of issues reported were classed as personal, though there was one work related issue reported.

In 2020-21 we will continue to actively promote the service through a variety of forums and communications.

Flexibility and Benefits

- **3** flexible working applications were submitted and approved this year. None were refused.
- **18%** of our workforce work part time (less than 36 hours a week) and an additional **6%** who work full time have compressed working patterns over a reduced number of days.
- The childcare voucher scheme is closed to new entrants and has **7** members in total.
- **6** travel to work loans issued.
- **21** corporate eyecare vouchers were issued.
- **20** corporate Flu vaccinations were given.

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 2019-20 these Consultancy costs amounted to £34k (2018-19:£16k).

Off-payroll engagements

In 2019-20 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

There were no exit packages agreed in 2019-20 as was the case in 2018-19.

Accountability and Audit

Regularity of expenditure

All expenditure in 2019-20 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 2019-20 was £978k (2018-19: £430k). 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 term expenditure trends

With the registration of new groups over the next two years there will be 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 from Welsh Government.

Sue Evans

Chief Executive and Accounting Officer

Date: 17 July 2020



The Certificate and independent auditor's report of the Auditor General for Wales to the National Assembly for Wales

Report on the audit of the financial statements

Opinion

I certify that I have audited the financial statements of Social Care Wales for the year ended 31 March 2020 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 HM Treasury's Financial Reporting Manual based on International Financial Reporting Standards (IFRSs) as adopted by the European Union/ United Kingdom Accounting Standards (United Kingdom Generally Accepted Accounting Practice).

In my opinion the financial statements:

- give a true and fair view of the state of Social Care Wales affairs as at 31 March 2020 and of its net expenditure, for the year then ended; 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.

Basis for opinion

I conducted my audit in accordance with applicable law and International Standards on Auditing in the UK (ISAs (UK)). 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 opinion.

Conclusions relating to going concern

I have nothing to report in respect of the following matters in relation to which the ISAs (UK) require me to report to you where:

- the use of the going concern basis of accounting in the preparation of the financial statements is not appropriate; or
- the Accounting Officer has not disclosed in the financial statements any identified material uncertainties that may cast significant doubt about the body's ability to continue to adopt the going concern basis of accounting for a period of at least twelve months from the date when the financial statements are authorised for issue.

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 and financial statements. The other information comprises the information included in the Performance Report and the Accountability 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.

In connection with my audit of the financial statements, my responsibility is to read the other information to identify material inconsistencies with the audited financial statements and to identify any information that is apparently materially incorrect based on, or materially inconsistent with, the knowledge acquired by me in the course of performing the audit. If I become aware of any apparent material misstatements or inconsistencies I consider the implications for my report.

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.

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 and Report and the Accountability Report have been properly prepared.

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.

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 or the Governance Statement.

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

Report

I have no observations to make on these financial statements.

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 Ministers' 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.

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. 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.

Adrian Crompton
Auditor General for Wales

28 July 2020

Wales Audit Office
24 Cathedral Road
Cardiff
CF11 9LJ

Financial Statements

Statement of Comprehensive Net Expenditure for the year ended 31 March 2020		2019-20 £000	2018-19 £000
	Note		
Expenditure			
Staff Costs	14	6,504	5,489
Programme expenditure			
Training support and other grants	4(i)	11,238	11,292
Non grant programme expenditure	4(ii)	1,901	2,263
Administration costs	5	1,385	1,332
Depreciation and Amortisation	1(ix)	209	241
		21,237	20,617
Income			
Income from Activities			
Registration Fee Income	1(iii)	978	430
Other Income			
Apprenticeship Certification	1(iv)	132	142
Work Welsh		156	250
Sundry Income		11	28
Pension Interest Credit	15	30	-
		1,307	850
Net Expenditure		19,930	19,767
Interest receivable	3(i)	4	4
Interest surrenderable to the Welsh Government	3(ii)	(4)	(4)
		19,930	19,767
Other Comprehensive Expenditure			
Actuarial remeasurement	15	2,180	(1,210)
Total Comprehensive Expenditure for the year ended 31 March 2020		22,110	18,557

The notes on pages 44 to 62 form part of these accounts.

Statement of Financial Position
 as at 31 March 2020

	Note	2020 £000	2019 £000
Non-current assets:			
Pension Asset	15	-	490
Property, plant and equipment	6	215	224
Intangible Assets	7	349	383
Total Non-Current Assets		564	1,097
Current Assets:			
Trade and other receivables	9	629	351
Cash and cash equivalents	10	248	295
Total Current Assets		877	646
Total Assets		1,441	1,743
Current Liabilities			
Trade and other payables	11	(525)	(492)
Total Current Liabilities		(525)	(492)
Total assets less current liabilities		916	1,251
Non-current liabilities			
Pension Liabilities	15	(1,970)	-
Total non-current liabilities		(1,970)	-
Assets less liabilities		(1,054)	1,251
Reserves			
General Reserve		916	761
Pension Reserve		(1,970)	490
Total		(1,054)	1,251

Notes on pages 44 to 62 form part of these accounts

The financial statements on pages 40 to 41 were approved by the Board of Social Care Wales on the 16 July 2020 and were signed on its behalf by:

Sue Evans
 Chief Executive and Accounting Officer

Date: 17 July 2020

Statement of Cash Flows

for the year ended 31 March 2020

	Note	2019-20 £000	2018-19 £000
Cash flows from Operating Activities			
Net expenditure after interest		(19,930)	(19,767)
Adjustment for Depreciation and Amortisation		209	241
Adjustment for Pension finance Costs(net)		280	80
(Increase)/Decrease in trade and other receivables		(278)	13
Increase in trade and other payables		33	126
Net cash (outflow) from operating activities		(19,686)	(19,307)
Cash flows from Investing Activities			
Purchase of property, plant and equipment	6	(62)	(169)
Purchase of intangible assets	7	(104)	(54)
		(166)	(223)
Cash flows from Financing Activities			
Welsh Government funding (including Capital)		19,805	19,298
Net financing		19,805	19,298
Net (Decrease) in cash and cash equivalents in the period		(47)	(232)
Cash and cash equivalents at the beginning of the period	10	295	527
Cash and cash equivalents at the end of the period	10	248	295

The notes on pages 44 to 62 form part of these accounts.

Statement of Changes in Taxpayers Equity For the year ended 31 March 2020	Pension Reserve £000	General Reserve £000	Total £000
Balance as at 1 April 2018	(640)	1,150	510
Changes in Taxpayers' Equity 2018-19			
Welsh Government Funding	-	19,298	19,298
Transfer between reserves-Capital	1,130	(1,130)	-
Comprehensive Expenditure for the year	-	(18,557)	(18,557)
Balance at 31 March 2019	490	761	1,251
Changes in Taxpayers' Equity 2019-20			
Welsh Government Funding	-	19,805	19,805
Transfer between reserves-Capital	(2,460)	2,460	-
Comprehensive Expenditure for the year	-	(22,110)	(22,110)
Balance at 31 March 2020	(1,970)	916	(1,054)

The notes on pages 44 to 62 form part of these accounts.

Notes to the Accounts for the year ended 31 March 2020

1. Statement of accounting Policies

These accounts have been prepared in accordance with the 2019-20 Government Financial Reporting Manual (FRoM) issued by the relevant authorities.

The accounting policies contained in the FRoM apply International Financial Reporting Standards (IFRS) as adapted or interpreted for the public sector context. Where the FRoM 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 2019-20 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 are 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 Development programme (SCWDP)** 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 2019-20 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 2019-20 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 2020 totalled £45k (£44k: 31 March 2019) 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 2020, 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 2020, 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 2020 will not begin to depreciate/amortise until the 2020-21 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 2021-22.

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.

3			
Welsh Government Funding		2019-20	2018-19
		£000	£000
Grant in Aid received from the Welsh Government		19,805	19,298
Amount credited to General Reserve		19,805	19,298

As outlined in Note 1(ii) the total grants of £19,805k (2018-19: £19,298k) are now credited to the General Reserve on receipt.

3(i) Non-retainable income		2019-20	2018-19
Interest on deposit account		4	4
Total non-retainable income		4	4

3(ii) Reconciliation of cash received from non-retainable income with amounts repaid to the Welsh Government		2019-20	2018-19
Cash Received (income exceeding Welsh Government threshold).		4	4
Total income repayable		4	4
Cash repayment		4	4
Due to the Welsh Government at the year end		-	-

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 £862k. The interest received of £4k was paid to Welsh Government. The fee income received in the year in cash terms totalled £978k (2019-20: £445k). As per our Governance Framework with Welsh Government permission was obtained by Welsh Government to retain registration income over the target amount.

4. Programme Costs

4(i)		
Training Support and other grants	2019-20	2018-19
	£000	£000
Social Work Bursary Scheme Payments	2,162	2,250
Practice Learning Opportunity Funding	1,142	1,181
People using Servicees and Carers in Social Work Training	57	66
Continuing Professional Education & Learning	50	300
Social Care Wales Development Programme	7,149	7,136
	10,560	10,933
Other Grants		
Grants to Regions	555	236
Research - Social Care Institute for Excellence	123	123
	11,238	11,292

4(ii)		
Non grant programme expenditure	2019-20	2018-19
	£000	£000
Improvement and Workforce Development	807	1,355
Work Welsh	132	198
Regulation and Intelligence including Regulation of Social Work Training	962	710
	1,901	2,263

5	2019-20	2018-19
Administration Costs	£000	£000
Chair, members, and staff expenses	121	163
Other staff costs	120	158
Rental under Operating leases- Accommodation	265	154
Other Premises costs	312	261
Workshops, seminars, promotions, publications	114	143
Equipment and software	240	268
Rental under Operating leases-Photocopiers & Franking Machines	23	22
Administration	56	56
External audit-Audit work	21	21
Other professional fees	113	86
	1,385	1,332

Included in the above in Equipment and Software is the purchase of IT equipment to facilitate home working due to Covid-19 totalling £24k..

6 Property, Plant and Equipment	year ended 31 March 2020					Totals £000
	Accommodation Refurbishment	Furniture and Fittings	Information Technology	Assets under construction		
	£000	£000	£000	£000	£000	
Cost						
At 1 April 2019	418	143	639	155		1,355
Additions in the period	18	-	44	-		62
Transfer from Assets under Construction	155	-	-	(155)		-
Disposals in the period	-	-	(23)	-		(23)
At 31 March 2020	591	143	660			1,394
Depreciation						
At 1 April 2019	414	139	578	-		1,131
Charged in the year	39	1	31	-		71
Disposals in the period	-	-	(23)	-		(23)
At 31 March 2020	453	140	586			1,179
Net book value						
At 31 March 2020	138	3	74	-		215
At 1 April 2019	4	4	61	155		224

6 Property, Plant and Equipment	year ended 31 March 2019					Totals £000
	Accommodation Refurbishment	Furniture and Fittings	Information Technology	Assets under construction		
	£000	£000	£000	£000	£000	
Cost						
At 1 April 2018	406	141	659	-		1,206
Additions in the period	12	2	-	155		169
Disposals in the period	-	-	(20)	-		(20)
At 31 March 2019	418	143	639	155		1,355
Depreciation						
At 1 April 2018	367	138	561	-		1,066
Charged in the year	47	1	37	-		85
Disposals in the period	-	-	(20)	-		(20)
At 31 March 2019	414	139	578			1,131
Net book value						
At 31 March 2019	4	4	61	155		224
At 1 April 2018	39	3	98	-		140

8. Financial Instruments

As the cash requirements of SCW 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 SCW's expected purchase and usage requirements and SCW is therefore exposed to little credit, liquidity or market risk.

9. Trade receivables and other current assets	At 31 March	
	2020 £000	2019 £000
Amounts falling due within one year		
Trade receivables		
Welsh Government	1	-
Local Authorities	-	33
Social Work Bursary Scheme Debtors	45	44
Other bodies	152	25
Other receivables		
Prepayments and accrued income	431	249
	629	351

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	2019-20	2018-19
	£000	£000
Balance at 1 April	295	527
Net change in cash and cash equivalent balances	(47)	(232)
Balance at 31 March	248	295

The balances at the 1st April 2018, the 1st April 2019, and the 31st March 2020 were held at Commercial Banks.

11. Trade payables and other current liabilities	At 31 March	
	2020 £000	2019 £000
Amounts falling due within one year		
Trade payables		
Other Taxation and Social Security	-	8
Other payables		
Accruals and deferred income	525	484
	525	492

12. Capital Commitments

There were contracted capital commitments of £10k at 31 March 2020 not otherwise included in these financial statements (£7k at 31 March 2019).

13. Commitments under Operating leases	as at 31 March	
	2020	2019
	£000	£000
Obligations under operating leases comprise:		
Land and Buildings		
Not later than one year	278	271
Later than one year and not later than five years	1,113	1,023
Later than five years	1,080	1,231
	2,471	2,525
Other		
Not later than one year	22	23
Later than one year and not later than five years	20	42
Later than five years	-	-
	42	65

14 Staff costs	2019-20	2018-19
	£000	£000
Salaries and wages	4,499	4,038
Social Security costs	425	385
Other Pension Costs	1,592	1,061
Apprenticeship Levy	7	5
	6,523	5,489
Less recoveries in relation to onward secondments	(19)	-
	6504	5,489

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. 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

2020 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).

Therefore, we have allowed for the impact McCloud judgement in these figures. As we did not recognise a potential McCloud liability last year the potential liability has been presented as a past service cost this year of £0.27m. The Current Service Cost includes a prospective allowance for McCloud liabilities of 1.13% of Pensionable pay over the accounting period.

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 have paused their reviews following the 'McCloud' judgement in the Court of Appeal.

The Cost Management process will not recommence until the outcome of the Government's McCloud appeal is known. This is because the McCloud judgement could result in a change to the underlying cost of the scheme upon which the Cost Management process is based. 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 increase in liability at this accounting date has been charged through the Statement of Comprehensive Net Expenditure.

The Employer's regular contributions to the Fund for the accounting period ending 31 March 2021 are estimated to £1.17m. 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-Mar-20	31-Mar-19	31-Mar-18
	(% pa)	(% pa)	(% pa)
Discount Rate	2.3	2.5	2.6
CPI inflation	1.8	2.1	2.0
Pension Increases	1.8	2.1	2.0
Pension accounts revaluation rate	1.8	2.1	2.0
Salary Increases	3.1	3.4	3.3

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-Mar-20	31-Mar-19
Males		
Pensioner member aged 65 at accounting date	21.7	22.2
Active member aged 45 at accounting date	22.7	23.9
Females		
Pensioner member aged 65 at accounting date	24.0	24.1
Active member aged 45 at accounting date	25.5	25.9

Asset Allocation	Value at 31 March 2020			Value at 31 March 2019
	Quoted	Unquoted	Total	
Equities	63.7%	0.0%	63.7%	64.5%
Property	8.6%	0.0%	8.6%	6.9%
Government Bonds	13.8%	0.0%	13.8%	13.5%
Corporate Bonds	13.0%	0.0%	13.0%	11.6%
Cash	0.9%	0.0%	0.9%	3.5%
Other	0.0%	0.0%	0.0%	0.0%
Total	100.0%	0.0%	100.0%	100.0%

Reconciliation of Funded Status to the Statement of Financial Position	Value at 31 March 2020	Value at 31 March 2019
	(£M)	(£M)
Fair value of Assets	21.71	21.00
Present value of funded defined benefit obligation	23.68	20.51
Funded Status	(1.97)	0.49
Unrecognised asset	0.00	0.00
(Liability)/Asset recognised on the SOFP	(1.97)	0.49

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 March 2020 (£M)	Year ending 31 March 2019 (£M)
Operating Cost		
Current service cost ⁽¹⁾	1.32	1.06
Past service cost (incl. curtailments)	0.27	0.00
Settlement cost	0.00	0.00
Financing Cost		
Interest on net defined benefit liability	(0.03)	0.00
Pension cost recognised in Net Expenditure	1.56	1.06
Remeasurements in Other Comprehensive Expenditure		
Return on plan assets (in excess of) that recognised in net interest	0.86	(1.35)
Actuarial (gains)/losses due to change in financial assumptions	(0.60)	0.94
Actuarial (gains)/losses due to change in demographic assumptions	(0.33)	(0.83)
Actuarial (gains)/losses due to liability experience	2.25	0.03
Adjustment in respect of paragraph 64	0.00	0.00
Total Amount recognised in Other Comprehensive Expenditure	2.18	(1.21)
Total Amount recognised in Total Comprehensive Expenditure	3.74	(0.15)
(1) Allowance for administration expenses included in current service cost (£M)	0.02	0.02

Changes to the present value of the defined benefit obligation	Year ending March 2020 (£M)	Year ending 31 March 2019 (£M)
Opening defined benefit obligation	20.51	18.79
Current service cost	1.32	1.06
Interest Expense on Defined Benefit Obligation	0.51	0.49
Contributions by participants	0.27	0.25
Actuarial (gains)/losses due to changes in financial assumptions	(0.60)	0.94
Actuarial (gains)/losses due to changes in demographic assumptions	(0.33)	(0.83)
Actuarial (gains)/losses due to liability experience	2.25	0.03
Net benefits paid out	(0.52)	(0.22)
Past service cost (incl. curtailments)	0.27	0.00
Net increase in liabilities from disposals/acquisitions	0.00	0.00
Settlements	0.00	0.00
Closing defined benefit obligation	23.68	20.51

Changes to the Fair Value of Assets during the Year	Year ending March 2020 (£M)	Year ending 31 March 2019 (£M)
Opening fair value of assets	21.00	18.15
Interest income on assets	0.54	0.49
Remeasurement gains on assets	(0.86)	1.35
Contributions by the Employer	1.28	0.98
Contributions by the Participants	0.27	0.25
Net benefits paid out	(0.52)	(0.22)
Net increase in assets from disposals & acquisitions	0.00	0.00
Settlements	0.00	0.00
Closing fair value of assets	21.71	21.00

Actual Return on Assets	Year ending March 2020 (£M)	Year ending 31 March 2019 (£M)
Interest income on assets	0.54	0.49
Remeasurement gains on assets	(0.86)	1.35
Actual return on assets	(0.32)	1.84

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.

Analysis of amount charged in other comprehensive expenditure on the provision of services next year	Year ending 31 March 2021 (£M)
Current service cost	1.27
Interest on net defined benefit liability	0.03
Total estimated pension expense	1.30

Allowance for administration expenses included in the Current Service Cost (£M)	0.02
Estimated pensionable payroll over the period (£M)	3.91

Sensitivity Analysis

The approximate impact of changing the key assumptions on the present value of the funded defined benefit obligation as at 31 March 2020 and the projected service cost for the year ending 31 March 2021 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

Discount rate assumption			
Adjustment to discount rate	+0.1% p.a.	Base figure	-0.1% p.a.
Present value of total obligation (£M)	23.06	23.68	24.32
% change in present value of total obligation	-2.6%	-	2.7%
Projected service cost (£M)	1.22	1.27	1.32
Approximate % change in projected service cost	-4.0%	-	4.2%

Rate of general increase in salaries			
Adjustment to salary increase rate	+0.1% p.a.	Base figure	-0.1% p.a.
Present value of total obligation (£M)	23.77	23.68	23.59
% change in present value of total obligation	0.4%	-	-0.4%
Projected service cost (£M)	1.27	1.27	1.27
Approximate % change in projected service cost	0.0%	-	0.0%

Rate of increase to pensions in payment and deferred pensions assumption, and rate of revaluation of pension accounts assumption			
Adjustment to pension increase rate	+0.1% p.a.	Base figure	-0.1% p.a.
Present value of total obligation (£M)	24.22	23.68	23.16
% change in present value of total obligation	2.3%	-	-2.2%
Projected service cost (£M)	1.32	1.27	1.22
Approximate % change in projected service cost	4.2%	-	-4.0%

Post retirement mortality assumption*			
Adjustment to mortality age rating assumption	-1 year	Base figure	+1 year
Present value of total obligation (£M)	24.41	23.68	22.95
% change in present value of total obligation	3.1%	-	-3.1%
Projected service cost (£M)	1.32	1.27	1.22
Approximate % change in projected service cost	3.8%	-	-3.8%

* 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 to 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.

There is an ongoing legal case which may result in a possible liability. As the outcome is not known at this stage no provision has been made.

17. Contingent Asset

At 31 March 2020 there were £52k of registration fees outstanding. Under the Regulation and Inspection Act (Wales) 2016 we can 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.

Therefore the £52k 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:

	2019-20	2018-19
Income	£19.805m	£19.298m
Expenditure	£0.128m	£0.024m
Debtor Balance as at 31 March	£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. The Director of Regulation is seconded to Social Care Wales from Welsh Government and the transactions with Welsh Government are disclosed in the table above.

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 were £0 (2018-19:£0) and with the University of Wales Trinity St David £1,040 (2018-19:£195,069) for the period he was in office. There were no debtor or creditor balance at the end of the financial year.

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 2019–20	Expenditure 2018–19
Abigail Harris	Member	Cardiff & Vale Regional Partnership	73,036	37,036
Carl Cooper	Deputy Chair	Powys Regional Partnership Board	32,574	21,574

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

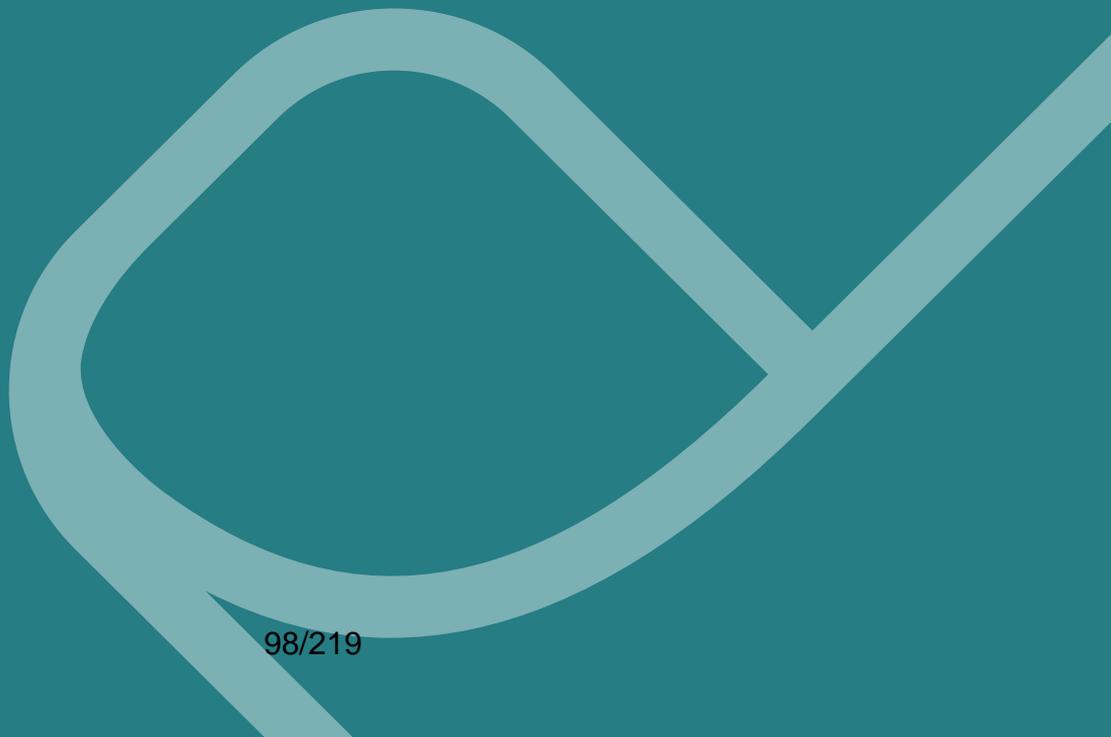
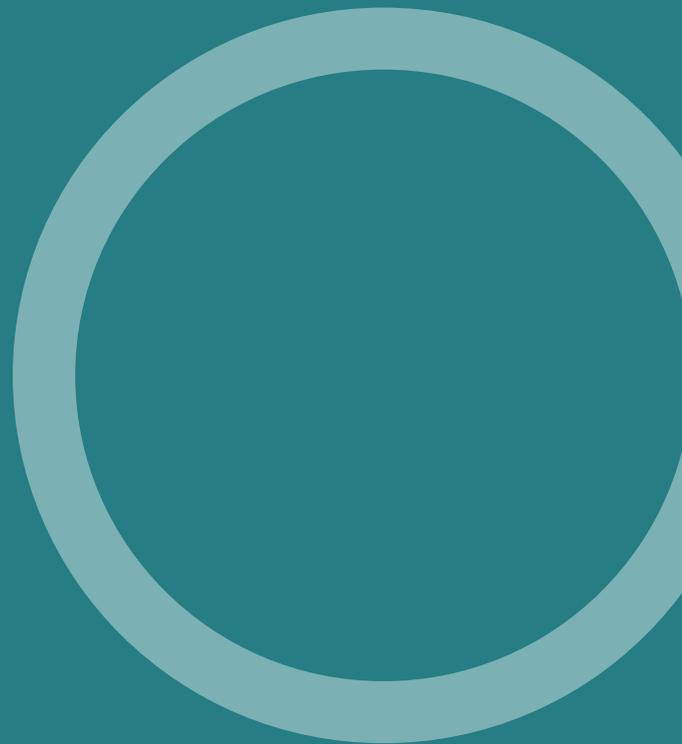
There have been no events after the reporting period, which require adjustment to the 31 March 2020 financial statements.



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



Ariennir gan
Lywodraeth Cymru
Funded by
Welsh Government



Adroddiad ar yr Archwiliad o'r Cyfrifon – Gofal Cymdeithasol Cymru

Blwyddyn archwilio: 2019-20

Dyddiad cyhoeddi: Gorffennaf 2020

Cyfeirnod y ddogfen: 1917A2020-21

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

Os ceir cais am wybodaeth y gall y ddogfen hon fod yn berthnasol iddi, tynnir sylw at y Cod Ymarfer a gyhoeddwyd o dan adran 45 Deddf Rhyddid Gwybodaeth 2000. Mae Cod adran 45 yn nodi'r arfer o ran trin ceisiadau a ddisgwylir gan awdurdodau cyhoeddus, gan gynnwys ymgynghori â thrydydd partion perthnasol. Mewn perthynas â'r ddogfen hon, mae Archwilydd Cyffredinol Cymru a Swyddfa Archwilio Cymru yn drydydd partion perthnasol. Dylid anfon unrhyw ymholiadau ynglŷn â datgelu neu aildefnyddio'r ddogfen hon i Swyddfa Archwilio Cymru yn swyddog.gwybodaeth@archwilio.cymru.

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'r casgliadau ar archwiliad 2019-20. Rydym yn bwriadu cyhoeddi adroddiad archwilio diamod ar eich datganiadau ariannol.

Adroddiad ar yr archwiliad o'r cyfrifon

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Adroddiad ar yr archwiliad o'r cyfrifon

Cyflwyniad

1. Rydym yn crynhoi prif ganfyddiadau ein harchwiliad o'ch datganiadau ariannol ar gyfer 2019-20 yn yr adroddiad hwn.
2. Rydym eisoes wedi trafod y materion hyn gyda'r Cyfarwyddwr Cynorthwyol Cyllid a TG.
3. Nid yw archwilwyr byth yn gallu rhoi sicrwydd cyflawn bod cyfrifon wedi'u datgan yn gywir. Yn lle hynny, rydym yn gweithio i lefel o 'berthnasedd'. Pennir y lefel hon o berthnasedd i geisio adnabod a chywiro camddatganiadau a allai beri fel arall i'r sawl sy'n defnyddio'r cyfrifon gael ei gamarwain.
4. Pennwyd lefel perthnasedd o £419,000 ar gyfer archwiliad eleni.
5. Ceir rhai meysydd o fewn y cyfrifon a allai fod yn bwysicach i'r darllenydd ac rydym wedi pennu lefel perthnasedd is ar gyfer y rhain, fel a ganlyn:
 - Adroddiad ar Gydabyddiaeth Ariannol £1,000
 - Datgeliadau Partïon Cysylltiedig £1,000
6. Yn y Pwyllgor Archwilio a Risg ar 25 Mehefin, esboniwyd ein bod heb gael cadarnhad eto gan archwilwyr allanol Cronfa Bensiwn RhCT ynghylch y datgeliadau pensiwn IAS 19 o fewn datganiadau ariannol Gofal Cymdeithasol Cymru. Ers hynny rydym wedi derbyn y cadarnhad hwn ac erbyn hyn rydym wedi cwblhau ein gwaith archwilio i raddau helaeth.
7. Yn ein barn broffesiynol ni, rydym wedi cydymffurfio â'r safonau moesegol sy'n berthnasol i'n gwaith; rydym yn annibynnol arnoch chi; ac nid yw ein gwrthrychedd wedi cael ei beryglu mewn unrhyw ffordd. Nid oes unrhyw berthnasoedd rhyngom ni a chi a allai danseilio ein gwrthrychedd a'n hannibyniaeth yn ein tyb ni.

Effaith COVID-19 ar archwiliad eleni

8. Mae pandemig COVID-19 wedi cael effaith arwyddocaol ar bob agwedd ar ein cymdeithas ac mae'n dal i wneud hynny. Mae'n ofynnol yn ôl y gyfraith baratoi cyfrifon ac mae'n dystiolaeth sylweddol o ymrwymiad eich tîm cyfrifon eich bod wedi llwyddo i wneud hynny eleni yn wyneb yr heriau a achosir gan y pandemig hwn. Rydym yn eithriadol o ddiolchgar i'r tîm am eu proffesiynoldeb i'n cynorthwyo i gwblhau ein harchwiliad dan amgylchiadau mor anodd.
9. Nid yw'n syndod bod y pandemig wedi effeithio ar ein harchwiliad ac rydym yn crynhoi'r prif effeithiau yn **Arddangosyn 1**. Ac eithrio lle'r ydym yn benodol yn gwneud argymhellion, caiff y manylion yn **Arddangosyn 1** eu darparu er gwybodaeth yn unig i'ch helpu i ddeall effaith pandemig COVID-19 ar broses archwilio eleni.

Arddangosyn 1 – effaith COVID-19 ar archwiliad eleni

Amserlen	<ul style="list-style-type: none">Ni newidiodd y terfyn amser ar gyfer cwblhau eich cyfrifon.Cawsom y cyfrifon drafft ar 1 Mehefin 2020.Ni newidiodd ein terfyn amser ar gyfer cwblhau ein harchwiliad.Rydym yn disgwyl i'ch adroddiad archwilio gael ei lofnodi ar 22 Gorffennaf 2020.
Llofnodion electronig	Os bydd yn dal yn angenrheidiol ar adeg cymeradwyo a llofnodi, byddwn yn derbyn llofnodion electronig a ffeiliau wedi'u trosglwyddo'n electronig.
Tystiolaeth archwilio	<p>Fel mewn blynyddoedd blaenorol, cawsom y mwyafrif o'r dystiolaeth archwilio mewn fformat electronig. Rydym wedi defnyddio amryw dechnegau i sicrhau ei dilysrwydd. Lle'r ydym wedi methu â chael mynediad at ddogfennau oherwydd cyfyngiadau COVID-19 rydym wedi llunio methodolegau archwilio eraill i gael tystiolaeth archwilio ddigonol.</p> <ul style="list-style-type: none">Defnyddio negeseuon e-bost diogel wedi'u hamgryptio i rannu dogfennau.Cafodd peth gwybodaeth ei gwirio trwy gymharu â phrintiau sgrîn neu â'r systemau byw trwy rannu sgrîn.Mae fideogynadleda wedi galluogi'r tîm archwilio i ohebu'n effeithiol gyda'r tîm cyllid trwy gydol yr archwiliad.

- Byddwn yn adolygu'r hyn yr ydym 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

- Rydym yn bwriadu cyhoeddi barn archwilio ddiamod ar gyfrifon eleni unwaith y byddwch chi wedi rhoi Llythyr Sylwadau inni yn seiliedig ar yr un a nodir yn **Atodiad 1**
- Rydym yn rhoi barn 'amodol' lle mae gennym bryderon perthnasol ynghylch rhai agweddau ar eich cyfrifon; fel arall rydym yn rhoi barn ddiamod.
- Mae'r Llythyr Sylwadau'n cynnwys rhai cadarnhadau y mae'n ofynnol inni eu cael gennych chi dan safonau archwilio.
- Caiff ein hadroddiad archwilio arfaethedig ei nodi yn **Atodiad 2**.

Materion Arwyddocaol sy'n codi o'r Archwiliad

Camddatganiadau nas cywirwyd

15. Nid chanfuwyd unrhyw gamddatganiadau yn y cyfrifon, sy'n dal heb eu cywiro.

Camddatganiadau a gywirwyd

16. Roedd un camddatganiad yn y cyfrifon sydd bellach wedi cael ei gywiro gan y rheolwyr. Fodd bynnag, rydym ni'n credu y dylid dwyn hwn i'ch sylw a chaiff ei nodi gydag esboniad yn **Atodiad 3**.
17. Ceir nifer o fân gamddatganiadau sydd wedi cael eu cywiro gan y rheolwyr. Diwygiadau i ddatgeliadau naratif oedd y rhain ac nid ydym o'r farn bod angen eu dwyn i'ch sylw fel rhan o'ch cyfrifoldebau am y broses adrodd ariannol.

Materion Arwyddocaol eraill sy'n codi o'r Archwiliad

18. Yn ystod yr archwiliad, rydym yn ystyried nifer o faterion sy'n ymwneud â'r cyfrifon ac yn eich hysbysu ynghylch unrhyw faterion arwyddocaol sy'n codi. Nid oedd unrhyw faterion yn codi eleni.

Gwaith dilynol ar argymhellion blynyddoedd blaenorol

19. Rydym wedi gwneud gwaith dilynol ar gynnydd a wnaed o ran rhoi argymhelliad y flwyddyn flaenorol ar waith, y mae'i fanylion i'w cael yn **Atodiad 4**.

Atodiad 1

Llythyr Sylwadau Terfynol

Pennawd llythyr Gofal Cymdeithasol Cymru

Archwilydd Cyffredinol Cymru

Archwilio Cymru

24 Heol y Gadeirlan

Caerdydd

CF11 9LJ

xx xxxx 2020

Sylwadau ynghylch datganiadau ariannol 2019-20

Darperir y llythyr hwn mewn cysylltiad â'ch archwiliad o ddatganiadau ariannol (gan gynnwys y rhan o'r Adroddiad ar Gydnyddiaeth Ariannol sy'n cael ei harchwilio) Gofal Cymdeithasol Cymru ar gyfer y flwyddyn a ddaeth i ben ar 31 Mawrth 2020 at ddiben mynegi barn ynglŷn â'u cywirdeb a thegwch, eu paratoi'n briodol a rheoleidd-dra incwm a gwariant.

Yr ydym ni'n cadarnhau hyd eithaf ein gwybodaeth a'n cred, ar ôl gwneud yr ymholiadau a oedd yn ddigonol yn ein tyb ni, y gallwn gyflwyno'r sylwadau canlynol i chi.

Sylwadau'r rheolwyr

Cyfrifoldebau

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

- baratoi'r datganiadau ariannol yn unol â gofynion deddfwriaethol a Llawlyfr Adrodd Ariannol y Trysorlys. Wrth baratoi'r datganiadau ariannol, mae'n ofynnol imi:
 - ddilyn y cyfarwyddiadau ar gyfrifon a gyhoeddwyd gan Weinidogion Cymru, gan gynnwys y gofynion perthnasol o ran cyfrifyddu a datgelu a chymhwysio polisïau cyfrifyddu priodol ar sail gyson;
 - llunio barnau ac amcangyfrifon ar sail resymol;
 - datgan a ddilynwyd ac a ddatgelwyd safonau cyfrifyddu perthnasol ac egluro unrhyw wyriadau perthnasol oddi wrthynt; a hefyd
 - eu paratoi ar sail busnes gweithredol ar y dybiaeth y bydd gwasanaethau Gofal Cymdeithasol Cymru yn parhau i fod yn weithredol.
- sicrhau rheoleidd-dra unrhyw wariant a thrafodion eraill a ysgwyddwyd.
- dylunio, gweithredu a chynnal rheolaeth fewnol i atal a chanfod gwallau.

Gwybodaeth a ddarparwyd

Rydym wedi darparu'r canlynol ar eich cyfer:

- Mynediad llawn at:
 - yr holl wybodaeth yr ydym yn ymwybodol ohoni sy'n berthnasol i baratoi'r datganiadau ariannol megis llyfrau cyfrifon a dogfennaeth ategol, cofnodion cyfarfodydd a materion eraill;
 - gwybodaeth ychwanegol yr ydych chi wedi gofyn amdani gennym ni at ddiben yr archwiliad; a
 - mynediad digyfngiad at aelodau o staff y penderfynoch chi fod angen cael tystiolaeth archwilio ganddynt.
- Canlyniadau ein hasesiad ni o'r risg y gallai'r datganiadau ariannol fod wedi'u camddatgan yn berthnasol o ganlyniad i dwyll.
- Ein gwybodaeth ni am dwyll gwirioneddol neu dwyll tybiedig yr ydym ni'n ymwybodol ohono ac sy'n effeithio ar Gofal Cymdeithasol Cymru ac sy'n cynnwys:
 - rheolwyr;
 - cyflogeion sydd â rolau arwyddocaol mewn rheolaeth fewnol; neu
 - eraill lle gallai'r twyll gael effaith berthnasol ar y datganiadau ariannol.
- Ein gwybodaeth ni am unrhyw honiadau o dwyll gwirioneddol, neu dwyll tybiedig, sy'n effeithio ar y datganiadau ariannol a gyflëwyd gan gyflogeion, cyn-gyflogeion, rheoleiddwyr neu eraill.
- Ein gwybodaeth ni am bob achos hysbys o ddiffyg cydymffurfio gwirioneddol neu ddiffyg cydymffurfio tybiedig â deddfau a rheoliadau y dylid ystyried eu heffeithiau wrth baratoi'r datganiadau ariannol.
- Gwybodaeth am bwy yw'r holl bartïon cysylltiedig a'r holl berthnasoedd a thrafodion â phartïon cysylltiedig yr ydym yn ymwybodol ohonynt.
- Ein gwybodaeth ni am yr holl achosion posibl a gwirioneddol o drafodion afreolaidd.

Sylwadau am y datganiadau ariannol

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

Mae tybiaethau arwyddocaol a ddefnyddiwyd wrth lunio amcangyfrifon cyfrifyddu, gan gynnwys y rhai a fesurwyd yn ôl gwerth teg, yn rhesymol.

Rhodddwyd cyfrif priodol am berthnasoedd a thrafodion â phartïon cysylltiedig ac maent wedi cael eu datgelu'n briodol.

Lle cafwyd digwyddiadau ar ôl y dyddiad adrodd yr oedd yn ofynnol gwneud addasiad ar eu cyfer neu eu datgelu, mae'r holl addasiadau a datgeliadau hyn wedi cael eu gwneud.

Mae pob ymgyfreithiad a hawliad gwirioneddol neu bosibl hysbys y dylid ystyried eu heffeithiau wrth baratoi'r datganiadau ariannol wedi cael eu datgelu wrth yr archwilydd a

rhoddwyd cyfrif amdanynt ac maent wedi cael eu datgelu yn unol â'r fframwaith adrodd ariannol perthnasol.

Nid oes unrhyw gamddatganiadau perthnasol, gan gynnwys hepgoriadau, yn y datganiadau ariannol. Mae effeithiau camddatganiadau nas cywirwyd a ganfuwyd yn ystod yr archwiliad yn amherthnasol, yn unol ac ar y cyd, i'r datganiadau ariannol o'u cymryd yn eu cyfanrwydd.

Sylwadau gan y Pwyllgor Archwilio a Risg

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

Rydym yn cydnabod ein cyfrifoldeb am baratoi datganiadau ariannol cywir a theg yn unol â'r fframwaith cyflwyno adroddiadau ariannol perthnasol. Cymeradwywyd y datganiadau ariannol gan y Bwrdd ar 18 Gorffennaf 2020

Rydym yn cadarnhau ein bod wedi cymryd yr holl gamau y dylem fod wedi'u cymryd i sicrhau ein bod yn ymwybodol o unrhyw wybodaeth archwilio berthnasol ac i sicrhau bod yr wybodaeth honno wedi'i throsglwyddo 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

Tystysgrif ac adroddiad archwilydd annibynnol Archwilydd Cyffredinol Cymru i'r Senedd

Adroddiad ar yr archwiliad o'r datganiadau ariannol

Barn

Ardystiaf fy mod wedi archwilio datganiadau ariannol Gofal Cymdeithasol Cymru ar gyfer y flwyddyn a ddaeth i ben ar 31 Mawrth 2020 dan Ddeddf Rheoleiddio ac Arolygu Gofal Cymdeithasol (Cymru) 2016 a pharagraff 16 Rhan 6 Atodlen 2. Mae'r rhain yn cynnwys y Datganiad o Wariant Net Cynhwysfawr, y Datganiad o Sefyllfa Ariannol, y Datganiad ar Lifoedd Arian, y Datganiad o Newidiadau yn Ecwiti Trethdalwyr a nodiadau cysylltiedig, gan gynnwys crynodeb o bolisiâu cyfrifyddu arwyddocaol. Paratowyd y datganiadau ariannol hyn dan y polisiâu cyfrifyddu a nodir ynddynt. Y fframwaith adrodd ariannol a gymhwyswyd wrth eu paratoi yw'r gyfraith berthnasol a Llawlyfr Adrodd Ariannol Trysorlys EM yn seiliedig ar y Safonau Adrodd Ariannol Rhyngwladol (IFRS) fel y'u mabwysiadwyd gan Safonau Cyfrifyddu'r Undeb Ewropeaidd/Y Deyrnas Unedig (Ymarfer Cyfrifyddu a Dderbynnir yn Gyffredinol yn y Deyrnas Unedig).

Yn fy marn i mae'r datganiadau ariannol:

- yn rhoi darlun cywir a theg o sefyllfa ariannol Gofal Cymdeithasol Cymru ar 31 Mawrth 2020 ac o'i wariant net ar gyfer y flwyddyn a ddaeth i ben ar y dyddiad hwnnw; ac
- wedi'u paratoi'n briodol yn unol â chyfarwyddiadau Gweinidogion Cymru a wnaed dan Ddeddf Rheoleiddio ac Arolygu Gofal Cymdeithasol (Cymru) 2016 a pharagraff 16 Atodlen 2.

Sail y farn

Cynhaliais fy archwiliad yn unol â'r gyfraith berthnasol a'r Safonau Rhyngwladol ar Archwilio yn y DU (ISA (UK)). Caiff fy nghyfrifoldebau dan y safonau hynny eu disgrifio ymhellach yn yr adran o'm hadroddiad sy'n nodi cyfrifoldebau'r archwilydd am archwilio'r datganiadau ariannol. 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 Foesegol y Cyngor Adrodd Ariannol, ac rwyf wedi cyflawni fy nghyfrifoldebau moesegol eraill yn unol â'r gofynion hyn. Credaf fod y dystiolaeth archwilio yr wyf wedi'i chael yn ddigonol ac yn briodol i ddarparu sail i'm barn.

Casgliadau sy'n ymwneud â busnes gweithredol

Nid oes gennyf unrhyw beth i'w nodi o ran y materion canlynol y mae'r Safonau Rhyngwladol ar Archwilio yn y DU yn ei gwneud yn ofynnol i mi gyflwyno adroddiad i chi arnynt os bydd yr amgylchiadau canlynol yn berthnasol:

- nid yw'r defnydd o sail gyfrifyddu busnes gweithredol wrth baratoi'r datganiadau ariannol yn briodol; neu
- nid yw'r Swyddog Cyfrifyddu wedi datgelu yn y datganiadau ariannol unrhyw ansicrwydd perthnasol a nodwyd a all fwrw amheuaeth sylweddol ar allu'r corff i barhau i fabwysiadu sail gyfrifyddu busnes gweithredol am gyfnod o 12 mis o leiaf o'r dyddiad pan awdurdodir cyhoeddi'r datganiadau ariannol.

Gwybodaeth arall

Nid yw deddfwriaeth a chyfarwyddiadau a gyhoeddwyd ar gyfer Gofal Cymdeithasol Cymru yn nodi cynnwys a ffurf yr wybodaeth arall y dylid ei chyflwyno gyda'r datganiadau ariannol. Y Swyddog Cyfrifyddu sy'n gyfrifol am yr wybodaeth arall yn yr Adroddiad Blyneddol a'r datganiadau ariannol. Mae'r wybodaeth arall yn cynnwys yr wybodaeth yn yr Adroddiad ar Berfformiad a'r Adroddiad Atebolrwydd, heblaw am y datganiadau ariannol a'm hadroddiad i fel archwilydd ar y rhain. Nid yw fy marn am y datganiadau ariannol yn cwmpasu'r wybodaeth arall a, heblaw i'r graddau a nodir yn benodol fel arall yn fy adroddiad, nid wyf yn mynegi unrhyw fath o gasgliad sicrwydd ar yr wybodaeth arall honno.

Mewn cysylltiad â'm harchwiliad o'r datganiadau ariannol, fy nghyfrifoldeb i yw darllen yr wybodaeth arall er mwyn nodi anghysonderau perthnasol â'r datganiadau ariannol archwiliedig a nodi unrhyw wybodaeth sy'n ymddangos fel petai'n berthnasol anghywir ar sail yr wybodaeth a gefais wrth i mi gyflawni'r archwiliad neu sy'n berthnasol anghyson â'r wybodaeth honno. Os dof yn ymwybodol o unrhyw gamddatganiadau neu anghysonderau perthnasol ymddangosiadol, ystyriaf y goblygiadau ar gyfer fy adroddiad.

Barn am reoleidd-dra

Yn fy marn i, ym mhob ffordd 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 gofnodwyd yn y datganiadau ariannol yn cydymffurfio â'r awdurdodau sy'n eu llywodraethu.

Adroddiad ar ofynion eraill

Barn am faterion eraill

Gan nad yw deddfwriaeth a chyfarwyddiadau a gyhoeddwyd ar gyfer Gofal Cymdeithasol Cymru yn nodi cynnwys a ffurf yr wybodaeth arall y dylid ei chyflwyno gyda'r datganiadau

ariannol, nid wyf yn gallu cadarnhau bod yr Adroddiad ar Berfformiad a'r Adroddiad Atebolrwydd wedi'u paratoi'n briodol.

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

Materion y cyflwynaf adroddiad arnynt drwy eithriad

Yng ngoleuni'r wybodaeth a'r ddealltwriaeth am y corff a'i amgylchedd a gafwyd yn ystod yr archwiliad, nid wyf wedi nodi unrhyw gamddatganiadau perthnasol yn yr Adroddiad ar Berfformiad a'r Adroddiad Atebolrwydd.

Nid oes gennyf unrhyw beth i'w nodi o ran y materion canlynol, y cyflwynaf adroddiad i chi arnynt os bydd yr amgylchiadau canlynol yn berthnasol, yn fy marn i:

- ni chadwyd cofnodion cyfrifyddu digonol;
- nid yw'r datganiadau ariannol a'r rhan o'r Adroddiad ar Gydabyddiaeth Ariannol sydd i'w harchwilio yn gyson â'r cofnodion a'r ffurflenni cyfrifyddu;
- nid yw gwybodaeth a nodwyd gan Weinidogion Cymru ynghylch cydnabyddiaeth ariannol a thrafodion eraill wedi'i datgelu; neu
- nid wyf wedi derbyn yr holl wybodaeth ac esboniadau y mae eu hangen arnaf ar gyfer fy archwiliad.

Adroddiad

Nid oes gennyf unrhyw arsylwadau i'w gwneud am y datganiadau ariannol hyn.

Cyfrifoldebau

Cyfrifoldebau'r Swyddog Cyfrifyddu am y datganiadau ariannol

Fel yr esbonnir yn fanylach yn y Datganiad o Gyfrifoldebau' Swyddog Cyfrifyddu, y Swyddog Cyfrifyddu sy'n gyfrifol am baratoi'r datganiadau ariannol yn unol â Deddf Rheoleiddio ac Arolygu Gofal Cymdeithasol (Cymru) 2016 a pharagraff 16 Rhan 6 Atodlen 2 a chyfarwyddiadau Gweinidogion Cymru a wnaed dan y ddeddfwriaeth hon, am fod wedi'i argyhoeddi eu bod yn rhoi darlun cywir a theg, ac am ba bynnag reolaeth fewnol sy'n angenrheidiol ym marn y Swyddog Cyfrifyddu i allu paratoi datganiadau ariannol heb unrhyw gamddatganiadau perthnasol, boed hynny trwy dwyll 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 gymwys, faterion sy'n ymwneud â'r busnes gweithredol a defnyddio sail gyfrifyddu busnes gweithredol oni thybir nad yw'n briodol.

Cyfrifoldebau'r archwilydd am archwilio'r datganiadau ariannol

Fy amcanion yw cael sicrwydd rhesymol ynghylch p'un a yw'r datganiadau ariannol yn eu cyfanrwydd yn rhydd o gamddatganiad perthnasol, boed hynny trwy dwyll neu wall, a chyhoeddi adroddiad archwilydd sy'n cynnwys fy marn. Mae sicrwydd rhesymol yn lefel uchel o sicrwydd, ond nid yw'n gwarantu y bydd archwiliad a gynhelir yn unol â'r Safonau Rhyngwladol ar Archwilio yn y DU wastad yn canfod camddatganiad perthnasol pan fo'n bodoli. Gall camddatganiadau ddeillio o dwyll neu wall ac fe'u hystyrir yn berthnasol os, yn unigol neu gyda'i gilydd, gellid yn rhesymol ddisgwyl iddynt ddylanwadu ar benderfyniadau economaidd defnyddwyr a wneir ar sail y datganiadau ariannol hyn.

Ceir disgrifiad pellach o gyfrifoldebau'r archwilydd am archwilio'r datganiadau ariannol ar wefan y Cyngor Adrodd Ariannol yn www.frc.org.uk/auditorsresponsibilities. Mae'r disgrifiad hwn yn rhan o'm hadroddiad archwilio.

Cyfrifoldebau am reoleidd-dra

Y Swyddog Cyfrifyddu sy'n gyfrifol am sicrhau rheoleidd-dra trafodion ariannol. Rwy'n cael digon o dystiolaeth i roi sicrwydd rhesymol bod y gwariant a'r incwm wedi cael eu cymhwyso at y dibenion a fwriadwyd gan y Senedd a bod y trafodion ariannol yn cydymffurfio â'r awdurdodau sy'n eu llywodraethu.

Adrian Crompton

24 Heol y Gadeirlan

Archwilydd Cyffredinol Cymru

Caerdydd

28 Gorffennaf 2020

CF11 9LJ

Cyfrifoldeb y Swyddog Cyfrifyddu yw cynnal a chyfanrwydd gwefan Gofal Cymdeithasol Cymru; nid yw'r gwaith a wneir gan archwilwyr yn cynnwys ystyried y materion hyn ac yn unol â hynny nid yw archwilwyr yn derbyn unrhyw gyfrifoldeb am unrhyw newidiadau a all fod wedi digwydd i'r datganiadau ariannol ers iddynt gael eu cyflwyno'n wreiddiol ar y wefan.

Atodiad 3

Crynodeb o gywiriadau a wnaed

Yn ystod ein harchwiliad canfuom y camddatganiadau canlynol sydd wedi cael eu cywiro gan y rheolwyr, ond y dylid eu dwyn i'ch sylw yn ein tyb ni oherwydd eu perthnasedd i'ch cyfrifoldebau chi am y broses adrodd ariannol.

Arddangosyn 2: crynodeb o'r cywiriadau a wnaed

Gwerth y cywiriad	Natur y cywiriad	Rheswm dros y cywiriad
Datgeliad Adroddiad ar Gydnabyddiaeth Ariannol	Datgelu cydnabyddiaeth ariannol y Cyfarwyddwr Rheoleiddio a Gwybodaeth o fewn yr Adroddiad ar Gydnabyddiaeth Ariannol. Cynnwys y cyn-Gyfarwyddwr Rheoleiddio a Gwybodaeth a adawodd ei gyflogaeth ar 31 Mawrth 2019 o fewn ffigyrau cymharol 2018-19, a chynnwys troednodyn i egluro bod y Cyfarwyddwr Rheoleiddio presennol ar secondiad o Lywodraeth Cymru.	Ystyrir bod cyflogau uwch aelodau o staff yn berthnasol o ran natur, a chan hynny mae'n bwysig sicrhau eu bod yn cael eu datgelu'n gywir yn y datganiadau ariannol .

Atodiad 4

Gwaith dilynol ar argymhellion archwilio'r flwyddyn flaenorol

Rydym wedi gwneud gwaith dilynol ar gynnydd a wnaed gydag argymhellion archwilio'r flwyddyn flaenorol. Caiff manylion y cynnydd gydag argymhellion y flwyddyn flaenorol eu nodi yn y tabl isod.

Arddangosyn 3: argymhellion a ddeilliodd o'n gwaith archwilio yn 2018-19

Mater yn codi 1 – Mae angen i Gofal Cymdeithasol Cymru sicrhau eu bod yn cael datganiad partïon cysylltiedig ar gyfer unrhyw aelod sy'n gadael y Tîm Rheoli Gweithredol	
Canfyddiadau	<p>Mae safonau cyfrifyddu/y Llawlyfr Adrodd Ariannol yn mynnu bod y cyfrifon yn datgelu buddiannau partïon cysylltiedig ar gyfer holl aelodau'r Tîm Rheoli Gweithredol. Ni ddarparwyd yr wybodaeth hon ar gyfer y Cyfarwyddwr Rheoleiddio a Gwybodaeth/Dirprwy Brif Weithredwr a adawodd y sefydliad ar 31 Mawrth 2019.</p> <p>Yn ôl eu natur, nid yw partïon cysylltiedig yn annibynnol ar ei gilydd ac, felly, mae datgeliadau ychwanegol a rheolau mwy llym yn berthnasol er mwyn galluogi defnyddwyr y datganiadau ariannol i ddeall eu natur a'r effeithiau gwirioneddol neu bosibl ar y sefydliad. Ceir datgeliadau partïon cysylltiedig er mwyn lliniaru'r risg o beidio ag adnabod neu beidio â datgelu a'r risgiau o dwyll.</p>
Blaenoriaeth	Uchel
Argymhelliad	Mae angen i Gofal Cymdeithasol Cymru gael datgeliad partïon cysylltiedig ar gyfer pob aelod o staff ac ar gyfer y rhai sy'n gadael y sefydliad.
Wedi'i dderbyn yn llawn gan y rheolwyr	Do
Ymateb y rheolwyr	Mae ffurflen datgan buddiant newydd wedi cael ei chreu a fydd yn cael ei rhoi i aelodau presennol y Tîm Rheoli

Mater yn codi 1 – Mae angen i Gofal Cymdeithasol Cymru sicrhau eu bod yn cael datganiad parhau cysylltiedig ar gyfer unrhyw aelod sy'n gadael y Tîm Rheoli Gweithredol

	Gweithredol a'r rhai sy'n gadael y Tîm Rheoli Gweithredol, os yn berthnasol, yn syth ar ôl diwedd y flwyddyn.
Dyddiad rhoi ar waith	Ebrill 2020
Diweddariad 2019-20	Yn ystod yr archwiliad, nodwyd na ofynnwyd am ffurflen datgan buddiant gan y Cadeirydd a oedd yn gadael, cyn i'r Cadeirydd adael Gofal Cymdeithasol Cymru ar 31 Gorffennaf 2019. Gofynnwyd am ffurflen datgan buddiant gan y Cadeirydd ar 18 Mehefin 2020 a daeth i law ar 18 Mehefin 2020.
Ymateb y rheolwyr	Pan fydd aelod o'r Bwrdd neu aelod o'r Uwch Dîm Gweithredol yn gadael, bydd ffurflen datgan buddiant yn cael ei rhoi i gael ei chwblhau yn fuan wedi iddynt adael.
Dyddiad rhoi ar waith	Ar unwaith



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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.



CYFARFOD / MEETING	Cyfarfod Bwrdd				
	PREIFAT / PRIVATE <input type="checkbox"/>		CYHOEDDUS / PUBLIC <input checked="" type="checkbox"/>		
DYDDIAD / DATE	16.07.20				
EITEM AGENDA / AGENDA ITEM	7				
TEITL / TITLE / SCW/20/07	Adroddiad Sicrwydd Blynyddol Cadeirydd y Pwyllgor Archwilio a Risg i'r Bwrdd				
AWDUR / AUTHOR	Rhian Watcyn Jones Cadeirydd y Pwyllgor Archwilio a Risg				
CYFRANIADAU GAN/ CONTRIBUTIONS FROM:	Aelodau'r Pwyllgor Archwilio				
PAPURAU CEFNOGOL / SUPPORTING PAPERS	Atodiad 1: Adroddiad Sicrwydd Blynyddol Cadeirydd y Pwyllgor Archwilio a Risg i'r Bwrdd Atodlen 1: Rhaglen waith y Pwyllgor 2019-20 Atodlen 2: Adroddiad Blynyddol Archwilio Mewnol 2019-20				
GWEITHGAREDD CYNLLUN BUSNES / BUSINESS PLAN ACTIVITY	Thema flaenoriaeth 4: Galluogi Gofal Cymdeithasol Cymru i gyflawni				
GWEITHRED / ACTION REQUIRED	CYMERADWYA ETH / APPROVAL <input checked="" type="checkbox"/>	DARPARU LLYW / PROVIDE A STEER <input type="checkbox"/>	DARPARU SICRWYDD / PROVIDE ASSURANCE <input type="checkbox"/>	TRAFODAETH / DISCUSSION <input checked="" type="checkbox"/>	CRAFFU / SCRUTINISE <input type="checkbox"/>
ARGYMHELLIAD / RECOMMENDATION	Gwahoddir aelodau i drafod a chymeradwyo Adroddiad Sicrwydd Blynyddol Cadeirydd y Pwyllgor Archwilio a Risg				
PRIF BWYNTIAU; MATERION ALLWEDDOL I DYNNU SYLW ATYNT;	Trafodwyd Adroddiad Sicrwydd Blynyddol drafft y Pwyllgor Archwilio a Risg i'r Bwrdd fel drafft yn y Pwyllgor Archwilio a Risg ym mis Chwefror 2020. Yn unol â 'Rheoli arian cyhoeddus Cymru', mae'n ¹ arfer da i'r Pwyllgor Archwilio a Risg 'gyngori corff llywodraethu sefydliad				

¹ 'Rheoli Arian Cyhoeddus Cymru', Ionawr 2016, Llywodraeth Cymru

<p>CWESTIYNAU I'W HYSTYRIED</p> <p>MAIN POINTS; KEY ISSUES TO DRAW TO ATTENTION; QUESTIONS TO CONSIDER</p>	<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 i'r Bwrdd yr adroddiad trosolwg blynyddol ar waith y Pwyllgor am y flwyddyn ac adolygiad o effeithiolrwydd.</p> <p>Mae'r adroddiad hwn yn darparu'r adolygiad hwnnw ar gyfer 2019-20 ac mae hefyd yn nodi meysydd ffocws penodol ar gyfer y Pwyllgor Archwilio a Risg yn 2020-21. Nodir hyn yn adran 9.3</p>
<p>ASESIADAU EFFAITH / IMPACT ASSESSMENTS</p>	

ADRODDIAD SICRWYDD BLYNYDDOL CADEIRYDD Y PWYLLGOR ARCHWILIO A RISG I'R BWRDD

1. Pwrpas yr adroddiad a'r argymhelliad

- 1.1 Dyma Adroddiad Sicrwydd Blynyddol Cadeirydd y Pwyllgor Archwilio a Risg Gofal Cymdeithasol Cymru ar gyfer y cyfnod 1 Ebrill 2019 i 31 Mawrth 2020. Mae'r adroddiad yn nodi'r gwaith Archwilio a Risg ar gyfer y flwyddyn i gefnogi'r datganiad llywodraethu blynyddol ac mae'n llywio ein Cyfrifon Blynyddol Statudol ar gyfer 2019-20.
- 1.2 Trafododd y Pwyllgor Archwilio a Risg yr adroddiad sicrwydd yn ystod cyfarfod y Pwyllgor ym mis Chwefror. Gwahoddir yr Aelodau i drafod a chymeradwyo Adroddiad Sicrwydd Blynyddol Cadeirydd y Pwyllgor Archwilio a Risg i'r Bwrdd.

2. Crynodeb

- 2.1 Mae'r ystod o weithgarwch a gynhaliwyd gan y Pwyllgor Archwilio a Risg yn ystod 2019-2020 wedi rhoi sicrwydd cadarnhaol ynglŷn â llywodraethu, rheoli risg ac amgylchedd rheoli Gofal Cymdeithasol Cymru. Mae'n cefnogi'r Swyddog Cyfrifyddu i lofnodi datganiad llywodraethu blynyddol boddhaol am y flwyddyn.
- 2.2 Mae'r adroddiad i'r Bwrdd yn ceisio dangos rôl y Pwyllgor hefyd wrth sefydlu'r trefniadau llywodraethu angenrheidiol i gefnogi sefydlu'r sefydliad newydd.

3. Trefniadau'r Pwyllgor Archwilio a Risg

Rôl a chylch gwaith

- 3.1 Yn unol â'r Fframwaith Llywodraethu Enghreifftiol, rhaid i'r Bwrdd sicrhau bod trefniadau effeithiol ar waith i roi sicrwydd ynghylch rheoli risg, llywodraethu a rheolaeth fewnol. Rhaid iddo sefydlu Pwyllgor Archwilio dan gadeiryddiaeth aelod anweithredol (ond nid y Cadeirydd na'r Trysorydd) a dylai o leiaf un o aelodau'r Pwyllgor fod â phrofiad ariannol diweddar a pherthnasol er mwyn rhoi cyngor annibynnol iddo. Disgwylir i'r Bwrdd sicrhau ei hun ynghylch effeithiolrwydd y systemau rheolaeth fewnol a rheoli risg.
- 3.2 Mae'r Pwyllgor Archwilio a Risg yn cynghori'r Swyddog Cyfrifyddu hefyd ynghylch digonolrwydd y trefniadau o fewn Gofal Cymdeithasol Cymru ar gyfer archwilio mewnol, archwilio allanol a materion llywodraethu corfforaethol.
- 3.3 Cyfarfu'r Pwyllgor Archwilio a Risg bedair gwaith y flwyddyn i adlewyrchu:

- y gofynion craffu mewn perthynas â chymeradwyo'r dogfennau llywodraethu corfforaethol a'r Cyfrifon Blynyddol Statudol ar gyfer Gofal Cymdeithasol Cymru
- y ffocws ar fonitro a chynnal rheolaeth risg, llywodraethu a rheolaethau mewnol digonol i gefnogi ein cydymffurfiaeth â deddfwriaeth, achrediadau ac arferion da
- datblygu a diwygio polisiau i gefnogi rheolaeth fewnol a llywodraethu effeithiol
- adeiladu ar effeithiolrwydd rheolaethau mewnol trwy adolygiadau archwilio mewnol ac adroddiadau ymgynghorol
- cyfleoedd cwmpasu ac archwilio ar gyfer rheoleiddio'r blynyddoedd cynnar a gofal plant
- effaith ein swyddogaeth rheoli grantiau mewn perthynas â darparu grant Datblygu Gweithlu Gofal Cymdeithasol Cymru i'r sector
- cynaliadwyedd y ddarpariaeth hirdymor yn unol â chynllunio ariannol hirdymor

3.4 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

3.5 Roedd presenoldeb Aelodau anweithredol fel a ganlyn:

Enw	Presenoldeb (allan o 4 cyfarfod)
Rhian Watcyn Jones (Cadeirydd y Pwyllgor)	4 allan o 4
Emma Britton (Dirprwy Gadeirydd y Pwyllgor)	3 allan o 4
Kate Hawkins	4 allan o 4
Carl Cooper	3 allan o 4
Trystan Pritchard	3 allan o 3
Daxa Varsani (aelod annibynnol)	4 allan o 4
Arwel Ellis Owen (aelod ex-officio) Daeth tymor y swydd fel Cadeirydd y Bwrdd i ben ym mis Gorffennaf 2019	0 allan o 1
Mick Giannasi (aelod ex-officio) Cadeirydd y Bwrdd o fis Awst 2019	1 allan o 3

3.6 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 eitemau'r agenda ar gyfer y cyfarfod hwnnw.

Cynefino a hyfforddiant

- 3.7 Derbyniodd pob aelod raglen gynefino 12 mis gynhwysfawr a oedd yn cynnwys diwrnod â ffocws ar gynllunio, cyflenwi a rheoli risg.
- 3.8 Yn 2019-20, ymunodd Daxa Varsani â'r Pwyllgor Archwilio a Risg fel yr aelod annibynnol. Trefnwyd cyflwyniad cynefino cynhwysfawr ar rôl y sefydliad a'r Pwyllgor gyda swyddogion i gefnogi Daxa.
- 3.9 Penodwyd Trystan Pritchard yn Aelod o'r Bwrdd ac ymunodd â'r Pwyllgor Archwilio a Risg ym mis Medi. Derbyniodd Trystan gyflwyniad cynefino â'r sefydliad fel aelod newydd o'r Bwrdd hefyd.
- 3.10 Fel rhan o ddatblygiad Aelodau'r Bwrdd, mae holl Aelodau'r Bwrdd yn cyfarfod â Chadeirydd y Bwrdd ddwywaith y flwyddyn i asesu anghenion hyfforddi.

4. Cyfrifon Statudol a'r Datganiad Llywodraethu Blynyddol ar gyfer 2019-20

- 4.1 Bydd y Cyfrifon Blynyddol ar gyfer 2019-20 yn cael eu paratoi o dan Safonau Adrodd Ariannol Rhyngwladol (IFRS) a byddant yn cael eu harchwilio yn unol â strategaeth archwilio Swyddfa 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 2020.
- 4.2 Cafodd y datganiad llywodraethu drafft ei drafod a'i ystyried gan y Pwyllgor Archwilio a Risg yn ystod cyfarfod y Pwyllgor ym mis Chwefror. Bydd hyn yn rhan o'r Cyfrifon Blynyddol Statudol drafft ar gyfer 2019-20.

5. Cyfarfodydd a busnes y Pwyllgor a'i effeithiolrwydd

- 5.1 Mae Cadeirydd y Pwyllgor Archwilio a Risg yn cytuno ar yr agenda'r eitemau i'w trafod cyn eu dosbarthu i Aelodau'r Pwyllgor a'r rhai fydd yn bresennol.
- 5.2 Atodir y rhaglen waith flynyddol o eitemau a drafodwyd yn y Pwyllgor Archwilio a Risg yn ystod 2019-20 yn Atodiad 1. Ym mhob cyfarfod derbyniodd y Pwyllgor nifer o eitemau sefydlog a oedd yn cynnwys:
 - **Adroddiadau cydymffurfio:** darparu trosolwg o sicrwydd i'r aelodau mewn perthynas â chaffael; rheoli asedau; rhoddion a lletygarwch; llwgrwobrwyo, twyll a cholledion; llythyrau Prif Swyddog Gweithredol a Swyddog Cyfrifyddu; datganiadau o fuddiannau; llywodraethu gwybodaeth; cwynion; torri rheolau diogelwch; cydymffurfio â threfniadau hygyrchedd y wefan; adroddiadau ar chwythu'r chwiban fel person rhagnodedig; cydymffurfio â safonau'r Gymraeg.

- **Cofrestr Risg Strategol:** darparu i'r Aelodau y risgiau sefydliadol allweddol sy'n wynebu'r gwaith o gyflawni ein Cynllun Busnes a chyfleoedd i drafod risgiau strategol ychwanegol sy'n wynebu'r sefydliad ac adolygiad o'r polisi rheoli risg.

5.3 Fel rhan o werthuso effeithiolrwydd, cynhaliodd y Pwyllgor Archwilio a Risg adolygiad o effeithiolrwydd. Trafododd y Pwyllgor ganfyddiadau effeithiolrwydd y Pwyllgor ym mis Chwefror 2020. Cwblhawyd yr arolwg gan bump o chwe aelod y Pwyllgor.

5.4 Ar y cyfan, atebodd mwyafrif y rhai a ymatebodd yn gadarnhaol i'r cwestiynau gan naill ai gytuno neu gytuno'n gryf. O'u cymharu â chanlyniadau y llynedd, unwaith eto mae'r atebion yn cymharu'n ffafriol. Yn ystod trafodaethau'r Pwyllgor ym mis Chwefror 2020, nododd y Pwyllgor y meysydd canlynol i lywio trafodaethau yn y dyfodol:

- cynnwys adborth gan gynrychiolwyr yr Archwilwyr Mewnol ac Allanol yn arolygon effeithiolrwydd y dyfodol
- nodi gofynion hyfforddi penodol y Pwyllgor
- cynnal cofnod treigl o'r camau

5.5 Bydd y canfyddiadau'n llywio gofynion dysgu a datblygu'r Pwyllgor neu'r Bwrdd cyfan yn y dyfodol lle y bo'n berthnasol.

5.6 Yn dilyn pob cyfarfod unigol o'r Pwyllgor, gofynnir i bob Aelod ystyried ei effeithiolrwydd trwy adborth mewn perthynas ag eglurder ac ansawdd y papurau, rhwyddineb ac amseroldeb cael gfael ar bapurau, a oedd yr amseriadau a roddwyd ar gyfer pob eitem yn ddigonol; ac a oedd yr Aelodau'n teimlo eu bod yn cael digon o gyfle i rannu eu safbwyntiau. Defnyddir yr holl adborth a dderbynnir i wella cyfarfodydd yn y dyfodol yn barhaus.

6. Sicrwydd Archwilio Mewnol ac Allanol

Sicrwydd mewnol

6.1 Derbyniodd y Pwyllgor Archwilio a Risg adroddiadau rheolaidd gan archwilwyr mewnol ac allanol. Cynlluniwyd gwaith Deloitte, ein harchwilwyr mewnol yn ystod y flwyddyn, ar sail risg, ac fe'i diwygiwyd yn ôl yr angen yn unol â hynny, trwy drafodaethau yn y Pwyllgor.

6.2 Rhoddodd yr adroddiadau archwilio mewnol y sicrwydd canlynol i'r Pwyllgor:

Systemau ariannol (2018-19)	Sicrwydd sylweddol
Rheolaethau cyffredinol TG	Sicrwydd sylweddol
Llywodraethu Corfforaethol a Rheoli Risg	Sicrwydd sylweddol
Rhyddid Gwybodaeth	Sylweddol
Rheoli Perfformiad Staff	Sicrwydd cymedrol
Rheoleiddio Hyfforddiant	Sicrwydd sylweddol

6.3 Mae'r tabl isod yn rhoi trosolwg o'r sgoriau sicrwydd a ddarparwyd gan yr archwiliad mewnol:

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

6.4 Yn gyffredinol, mae'r adroddiadau hyn a'r gwaith a wnaed yn galluogi'r Pwyllgor Archwilio a Risg i roi sicrwydd ynghylch yr amgylchedd rheoli ar gyfer 2019-20.

- mae'r Datganiad Llywodraethu'n gyson â barn y Pwyllgor Archwilio a Risg;
- mae'r system rheoli risg yn ddigonol o ran nodi risgiau a chaniatáu i'r Pwyllgor Archwilio a Risg ddeall rheolaeth briodol o'r risgiau hyn;
- ynghylch ansawdd Archwiliadau Mewnol ac Allanol, eu dull o gyflawni eu priod gyfrifoldebau, a dibynadwyedd eu gwaith; a
- cafodd meysydd i'w gwella a nodwyd fel rhan o Archwiliad Mewnol 2019-20 eu trin a'u trafod neu eu datblygu. Caiff y maes hwn ei gryfhau ymhellach gyda diweddariadau rheolaidd ar gynnydd yn cael eu hadrodd yn amlach.

Sicrwydd allanol

6.5 Mae'r Archwilwyr Allanol yn ystyried asesiadau'r Archwilwyr Mewnol. Mae adroddiad Swyddfa Archwilio Cymru sy'n ategu ein cyfrifon blynyddol statudol yn cynnwys sicrwydd allanol pellach ynghylch ein Harchwiliad Mewnol.

6.6 Mae gan yr Archwilwyr Mewnol ac Allanol yr hawl, os ystyrir hynny'n briodol, i godi unrhyw fater trwy bolisi mynediad agored gyda'r Cadeirydd a thrwy'r hawl honno i ddwyn unrhyw fater i sylw'r Pwyllgor. Drwy adolygu rhaglenni'r Archwilwyr Mewnol ac Allanol, sicrhodd y Pwyllgor eu bod yn cydweithredu'n effeithiol â'i gilydd. Gwerthuswyd ansawdd y gwaith archwilio a gwaith y Pwyllgor yn ystod y flwyddyn trwy ystyried yr adroddiadau archwilio ac

argymhellion a deialog mewn cyfarfodydd rhwng Aelodau'r Pwyllgor a'r Archwilwyr.

7. Contract Archwilio Mewnol

- 7.1 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 ei ddefnyddio i lywio'r broses o gwblhau'r Datganiad Llywodraethu blynyddol. Penodwyd Deloitte LLP yn ddarparwr archwiliad mewnol Gofal Cymdeithasol Cymru ym mis Mawrth 2017, ar gontract 3 + 2 flynedd. Yng nghyfarfod y Pwyllgor Archwilio a Risg ym mis Chwefror 2020, penderfynodd y Pwyllgor weithredu opsiwn +2 y contract gyda Deloitte i cwmpasu cyfnod 31 Mawrth 2020 hyd at 31 Mawrth 2022, ac y bydd y gwaith o ailbrofi'r farchnad yn cael ei wneud yn yr ail flwyddyn.

8. Monitro cynnydd

- 8.1 Caiff cynnydd yn erbyn gweithredu argymhellion yr archwilwyr mewnol ei ystyried ym mhob cyfarfod o'r Pwyllgor Archwilio a Risg fel rhan o'r adroddiad cydymffurfio.

9. Pwyllgor Archwilio a Risg Gofal Cymdeithasol Cymru ar gyfer 2020-21

- 9.1 Mae Pwyllgor Archwilio a Risg Gofal Cymdeithasol Cymru wedi bod yn gweithredu ers mis Mehefin 2017 i gefnogi llywodraethu, rheoli risg a rheolaethau mewnol Gofal Cymdeithasol Cymru.
- 9.2 Er mwyn cefnogi datblygiad y Pwyllgor Archwilio a Risg bu holl Aelodau'r Pwyllgor yn ystyried y canlynol:
1. Beth yw prif gyflawniadau'r Pwyllgor a pham?
 2. Beth sydd wedi gweithio'n dda a beth y gellid ei wella?
 3. Yn unol â Chynllun Busnes drafft 2020-21 a dysgu o'r flwyddyn gyfredol, a oes meysydd ffocws penodol i'r Pwyllgor eu hystyried fel rhan o'i raglen waith ar gyfer 2020-21?
- 9.3 Yn dilyn y trafodaethau, nododd y Pwyllgor y meysydd canlynol sy'n llywio rhaglen waith y Pwyllgor yn y dyfodol yn 2020-21:
- **Cwmpasu'r potensial i reoleiddio gweithlu'r Blynyddoedd Cynnar** a'r adroddiadau craffu rheolaidd ar y rhaglen. Mae dull gweithredu'r rhaglen yn diffinio'n glir yr hyn a gaiff ei gyflawni ym mhob un o'r cyfrannau a sut y byddwn yn gweithio gyda'r sector i archwilio'r dull gweithredu. Bydd hyn yn parhau wrth i ni weithio tuag at ddiwedd cyfran 1 yn 2021.

- Adolygu **senarios ariannol** y dyfodol a chael cyfleoedd i adolygu'r sefyllfa ariannol yn fanwl (adolygiad at wraidd y mater). Bydd y Pwyllgor yn parhau i fod yn agored i gyflwynwyr allanol i gefnogi trafodaethau wrth edrych ar gyllid gwasanaeth cyhoeddus
- Y craffu a'r cymorth cymesur ar ein **dull gweithredu a chydymffurfiaeth â deddfwriaeth y Ddeddf Diogelu Data a'r Ddeddf Rhyddid Gwybodaeth**. Darparu her tra'n cydnabod y sicrwydd a gafwyd ynglŷn â chydnerthedd yn y system. Mae hyn wedi arwain at archwiliad annibynnol allanol ychwanegol o'n cydymffurfiaeth â Diogelu Data a fydd yn llywio trafodaethau'r Pwyllgor yn 2020-21
- Bydd goblygiadau datblygu'r cymwysterau a'r trafodaethau ehangach mewn perthynas â phrentisiaethau yn eitem i'w thrafod mewn cyfarfod o'r Pwyllgor yn y dyfodol.

10. Goblygiadau Risg

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

11. Goblygiadau o ran Adnoddau

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

12. Crynodeb a Chasgliad

- 12.1 Mae'r sicrwydd cadarnhaol a roddwyd gan holl weithgareddau'r Pwyllgor yn cefnogi'r Swyddog Cyfrifyddu trwy lofnodi datganiad llywodraethu blynyddol boddhaol a'r Cyfrifon Blynyddol Statudol.

Pwyllgor Archwilio a Chraffu – rhaglen waith 2019-20

27 Mehefin 2019

- Cyfrifon Blynyddol Archwiliedig drafft a'r Llythyr Rheoli ISA 260 (i gynnwys Datganiad Llywodraethu a Sylwebaeth Perfformiad)
- Adroddiad Archwilio Mewnol systemau ariannol (Sylweddol)
- Adroddiad Cydymffurfio: Chwefror 2019 – hyd at ddiwedd Mai 2019
- Cofrestr Risg Strategol
- Cynllun Archwilio Mewnol Blynyddol 2019-20
- Gwaith rhaglen bontio'r blynyddoedd cynnar a gofal plant
- Blaengynllun y Pwyllgor

26 Medi 2019

- Cyfarwyddiadau Ariannol Sefydlog
- Adroddiad Cydymffurfio: Mehefin 2019 – hyd at ddiwedd Awst 2019
- Cofrestr Risg Strategol
- Adroddiad monitro diwedd blwyddyn Rhaglen Datblygu Gweithlu Gofal Cymdeithasol Cymru (SCWWDP) 2018-2019
- Gwaith rhaglen bontio'r blynyddoedd cynnar a gofal plant

21 Tachwedd 2019

- Adroddiad Archwilio Mewnol Rheolaethau Cyffredinol TG (Sylweddol)
- Adroddiad Cydymffurfio: Medi 2019 – hyd at ddiwedd Hydref 2019
- Cofrestr Risg Strategol
- Gwaith rhaglen bontio'r blynyddoedd cynnar a gofal plant – diweddariad

13 Chwefror 2020

- Adroddiad Archwilio Mewnol Llywodraethu Corfforaethol a Rheoli Risg (Sylweddol)
- Adroddiad Archwilio Mewnol Rhyddid Gwybodaeth (Sylweddol)
- Adroddiad Archwilio Mewnol Rheoli Perfformiad Staff (Cymedrol)
- Adroddiad Archwilio Mewnol Rheoleiddio Hyfforddiant (Sylweddol)
- Adolygiad Teithio a Chynhaliaeth
- Adolygiad o'r Contract Archwilio Mewnol
- Adroddiad Cydymffurfio: Tachwedd 2019 – hyd at ddiwedd Ionawr 2020
- Cofrestr Risg Strategol
- Cynllun Archwilio Allanol 2019 – 2020
- Datganiad Llywodraethu Drafft 2019 – 2020
- Adroddiad Sicrwydd drafft y Pwyllgor Archwilio a Risg i'r Bwrdd (2019 – 2020)
- Diweddariad ar y gyllideb
- Gwaith rhaglen bontio'r blynyddoedd cynnar a gofal plant
- Adroddiad Effeithiolrwydd y Pwyllgor



Social Care Wales Internal Audit Annual Report

Deloitte Confidential: Government and Public Services – for approved external use only

April 2020

Distribution List:

- Audit and Risk Committee
- Chief Executive
- Responsible Officer(s)

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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 2019/20. We have now completed the internal audit programme approved by the Audit and Risk Committee for 2019/20 covering the period 1 April 2019 – 31 March 2020.

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 (SCW). 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 2019/20 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:

Risk Management – Operational Risks

- An up to date risk management policy is in place which is available to relevant members of staff;
- The risk management policy sets out the process for identifying operational risks and how these should be escalated where necessary;
- Operational risks are recorded on a risk register;
- Operational risks are escalated where necessary;
- There is a process in place to identify risks relating to projects and these risks are recorded on the operational risk register; and
- Operational risks are reviewed on a regular basis.

As part of our internal audit, we met with a sample of staff members (selected from 'middle management') to discuss their experiences of identifying and managing operational risks within the organisation in order to identify any areas of weakness or potential improvement.

Corporate Governance

As part of our Corporate Governance internal audit we undertook a review of whether the Scheme of Delegation, including decision making around policies, is being consistently applied across the organisation. This review involved inspecting the Scheme of Delegation to determine the decision making which lies with the Board, sub-committees and staff, and sample testing to determine whether decisions are being made in line with the Scheme of Delegation. This covered decisions made at Board, Committees and by the Accounting Officer, and that Welsh Government approval has been sought where necessary. It also involved inspection of the Terms of Reference in place for sub-

committees to determine their consistency with the Scheme of Delegation. In addition, the audit involved consideration of the completeness of the Scheme of Delegation.

Corporate Governance & Risk Management Follow Up

We sought to assess progress made in implementing the two recommendations which remained outstanding from the Corporate Governance and Risk Management Internal Audit Report issued by Deloitte in 2018/19.

The internal audit involved reconfirming our understanding of the control environment and assessing any significant changes to the Corporate Governance and Risk Management environment.

Based on the work undertaken as detailed in our internal audit report for 2019/20, our overall assessment is that the classification of assurance for Corporate Governance and Risk Management is **substantial**.

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 2019 and 31 March 2020;
- 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 SCW with **substantial** assurance in relation to the organisation's arrangements for risk management, governance and internal control.

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 SCW 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 2019/20.

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 Planning and Budgetary Control	 Substantial
Revenue and Receivables	 Substantial
Payroll	 Moderate
Tendering and Procurement	 Substantial
Corporate Governance and Risk Management	 Substantial
IT General Controls	 Substantial
Freedom of Information	 Substantial
Human Resources – Staff Performance Management	 Moderate
Workforce Regulation : Regulation of Training	 Substantial
Workforce Regulation: PSA Framework & 2020 Rules	N/A – Advisory Review
Grant Management	 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 2019/20 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 2019/20 we raised 14 new recommendations (20 in 2018/19) and 1 action point (none in 2018/19):

Internal Audit Area	High priority	Medium Priority	Low Priority	Action Point	Total
Financial Planning & Budgetary Control	-	-	1	-	1
Revenue & Receivables	-	-	1	-	1
Payroll	-	1	-	-	1
Tendering & Procurement	-	-	1	-	1
Freedom of Information	-	-	1	-	1
Human Resources – Staff Performance Management	-	6	1	-	7
Workforce Regulation: Regulation of Training	-	-	1	-	1
Workforce Regulation: 2020 Rules	-	-	-	1	1
Grant Management	-	-	1	-	1
Total	-	7	7	1	15

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 2019/20, the status of which is as follows:

Internal Audit Area	Implemented/ Will not be Re-raised	Partially Implemented	Re-raised	Total
Financial Systems	5	-	-	5
Corporate Governance and Risk Management	1	1	-	2
IT General Controls	3	-	1	4
Workforce Regulation	1	-	-	1
Grant Management and Follow Up	1	-	-	1
Total	11	1	1	13

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
 Substantial	There is a reasonable framework of governance, risk management and control which should ensure that objectives are achieved.	<ul style="list-style-type: none"> • Adequacy and effectiveness of the governance, risk management and control framework; • Impact of any weakness on delivery of objectives; • Extent of risk exposure; • Materiality: by value to the entity, by value in the engagement context and by nature (e.g. irregularity and reputational risk); and • We may also take account of management responses to recommendations.
 Moderate	Some improvements are required to enhance the adequacy and effectiveness of the framework of governance, risk management and control.	
 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.	
 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.

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
High	Recommendations which are fundamental to the system and upon which the organisation should take immediate action;
Medium	Recommendations which, although not fundamental to the system, provide scope for improvements to be made; and
Low	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 2019/20 is as follows:

 The Deloitte approach to performance management – the 5Ps	
 <p>Purpose and remit</p> <p><i>We have a clear focus on the purpose of our work</i></p> <ul style="list-style-type: none"> • Governance framework; • Assurance framework; and • Audit charter – objectives, scope and responsibilities. 	<p>We issued a risk based Internal Audit Plan for the period 2019/20 which was approved by the Audit and Risk Committee on 27 June 2019.</p> <p>We issued an engagement letter on 15 May 2019 which was agreed and signed by the Director of Strategy and Corporate on 30 May 2019.</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>Position and organisation</p> <p><i>We have the right profile and structure to deliver to you.</i></p> <ul style="list-style-type: none"> • Authority and reporting lines; • Organisational structure; and • Internal profile and impact on business. 	<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"> • Internal Audit Partner – Ian Howse • Internal Audit Manager – Lauren Parsons <p>We have provided four members of internal audit staff to complete the audits during the year:</p> <ul style="list-style-type: none"> • Assistant Manager – Kate Jones • Senior Consultant – Oliver Simao • Senior Associate – Daisy Genever • Associate – Jack Mullens
 <p>Process and technology</p> <p><i>We have the right processes and tools to execute our responsibilities.</i></p> <ul style="list-style-type: none"> • Risk assessment and planning; • Audit execution; • Report and follow up; and • Technology and tools. 	<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>

 The Deloitte approach to performance management – the 5Ps		
	<p>People and knowledge</p> <p><i>We have the right mix of skills and experience to do our job.</i></p> <ul style="list-style-type: none"> • Resource management; • Performance management; • Training and competence; and • Knowledge management. 	<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 SCW staff.</p> <p>All internal audit staff are subject to a performance management process.</p>
	<p>Performance and communication</p> <p><i>We monitor how we are doing and manage good relationships with our stakeholders.</i></p> <ul style="list-style-type: none"> • Quality assurance; • KPIs and monitoring; • Relationship management; and • Change management. 	<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

April 2020



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CYFARFOD / MEETING	Cyfarfod Bwrdd				
	PREIFAT / PRIVATE		CYHOEDDUS / PUBLIC		
					√
DYDDIAD / DATE	16.07.20				
EITEM AGENDA AGENDA ITEM	8				
TEITL / TITLE SCW/20/08	Cynllun Busnes 2020-21: Diweddariad chwarter 1				
AWDUR / AUTHOR	Sue Evans, Prif Weithredwr				
CYFRANIADAU GAN/ CONTRIBUTIONS FROM:					
PAPURAU CEFNOGOL / SUPPORTING PAPERS	Atodiad 1 - Cynnydd y Cynllun Busnes: Diweddariad 3mis - sylwebaeth perfformiad Atodiad 2 - Adroddiad Cyllideb am y cyfnod hyd at 30 Mehefin				
GWEITHGAREDD CYNLLUN BUSNES / BUSINESS PLAN ACTIVITY	Holl weithgareddau'r Cynllun Busnes				
GWEITHRED / ACTION REQUIRED	CYMERADWYAETH / APPROVAL	DARPARU LLYW / PROVIDE A STEER	DARPARU SICRWYDD / PROVIDE ASSURANCE	TRAFODAETH / DISCUSSION	CRAFFU / SCRUTINISE
	×	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	×
ARGYMHELLIAD / RECOMMENDATION	Gofynnir i aelodau graffu a chymeradwyo'r cynnydd yn erbyn y Cynllun Busnes 2020-21 yn y cyfnod tri mis.				
PRIF BWYNTIAU; MATERION ALLWEDDOL I DYNNU SYLW ATYNT; CWESTIYNAU I'W YSTYRIED MAIN POINTS; KEY ISSUES TO DRAW TO ATTENTION; QUESTIONS TO	Ceir diweddariad ar gynnydd yn erbyn yr holl amcanion yn atodiad 1 gan gynnwys adrodd ar eithriadau o weithgareddau melyn a choch.				

CONSIDER	
ASESIADAU EFFAITH / IMPACT ASSESSMENTS	N/A

Cynllun Busnes 2020-21: Diweddariad chwarter 1

1. Pwrpas yr adroddiad a'r argymhelliadau

- 1.1 Mae'r adroddiad hwn yn rhoi'r cynnydd tri mis yn erbyn ein cynllun busnes yn 2020-21.
- 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 2020-21 yn ystod cyfnod tri mis.

2. Cyd-destun

- 2.1 Mae'r Cynllun Busnes 2020-21 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 trywydd iawn	Angen cymorth ychwanegol	Pryderon mawr	I ddechrau
Gweithgareddau	52	41	11	0	-
% ar ol 3 mis		79%	21%	0%	-

- 3.2 Mae rhai dangosyddion perfformiad allweddol wedi'u cynnwys yn yr adroddiad eithriad. Fodd bynnag, bydd gwaith pellach o fireinio mesurau a dangosyddion yn parhau yn unol â'n gwaith mewn perthynas â mesur ein heffaith ac adolygiad o'n Cynllun Strategol.
- 3.3 Mae risg strategol newydd wedi'i nodi a allai effeithio ar ein gwaith trwy gydol ein cynllun busnes yn ystod y misoedd nesaf. Os na allwn sicrhau'r capasiti allanol a nodwyd yn ein Dogfennau Cychwyn Prosiect (PIDs) (gwaith wedi'i gomisiynu, adnoddau allanol); yna ni fyddwn yn gallu cyflawni ein hymrwymiaidau. Mae pob prosiect sydd angen capasiti ychwanegol o ffynonellau allanol wedi cael ei raddio'n ambr ar gyfer chwarter 2 wrth ystyried y risg hon.

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 Felly, wrth adolygu'r wybodaeth perfformiad 9 mis, gan gynnwys y gyllideb a gwybodaeth risg, dyma rhai cwestiynau i'r Bwrdd eu hystyried:

- I ba raddau mae'r naratif yn rhoi syniad i chi o gynnydd?
- A oes unrhyw fylchau yn y wybodaeth sydd ei hangen arnoch?
- Pa oblygiadau sydd gan hyn ar weithredu'r cynllun busnes yn y dyfodol?

Business Plan 2020-21 - Quarter 1 update

1. What is in this report?

This report provides an overview of progress against our Business Plan 2020/21.

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

Priority theme 1 - Social Care and Early Years Workforce

Performance Indicators	QTR 1	QTR 2	QTR 3	QTR 4	Comparator / Target
Processing times of applications*	68%				90% within 5 days
Number of outstanding applications	1494				Less than 600 open at any one time
Eligible students receive a bursary with a placement provided	n/a				100%
No. enrolled for the digital version of the Social Care Worker card	28,450				30,000 by year end

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

Performance Commentary

All activities are meeting expectations with regards to planning, development and delivery despite the challenges caused by the COVID-19 pandemic. Our registration processing times and backlogs are off target but this is both a sign of success as we've processed record volumes of applications and also as a result of the measures introduced to reduce regulatory burdens on the workforce during the pandemic for example, giving more time for applications to remain open so that workers can prioritise more pressing matters.

The ambitious planning process for the 2020/21 business plan has been achieved whilst maintaining our business as usual functions and delivering our regulatory remit via remote working. We have two areas we are flagging that may not progress as planned; firstly, the extension of the register to care home workers where we may not achieve the 1500 target, and secondly the timeframes associated with the early years transition programme. We are in detailed dialogue with Welsh Government on priorities and reported to audit and risk committee.

New areas of work such as the development of a digital learning platform and the development of a wellbeing framework are at an earlier stage of development with Project Initiation Documents (PIDs) and commissioning specifications under development - this is in line with planned milestones.

Business plan activity	Narrative	QTR 1	QTR 2
Develop and maintain an accurate Register of social care workers	<p>The average processing times for applications from complete to registered in the period to April – June was 6.1 (68% were processed within 5 days).</p> <p>We have halved the number of open applications from over 3,000 at one stage during quarter 1 to 1,494 at 1 July. Given the size of the Register, the amount of domiciliary care workers who are yet to apply due to the emergency and that we're keeping applications open for longer to give people time to register, this is very good progress. However, for the reasons above which are largely out of our control we have</p>		

Business plan activity	Narrative	QTR 1	QTR 2
	not hit the 600 target and are unlikely to do so for the foreseeable future.		
Extend professional registration to adult care home workers and new managers	<p>Whilst we have not started to raise awareness or arrange engagement activities due to the current emergency, we have opened the Register to adult care home workers, residential family center workers and new manager groups.</p> <p>On track during the last quarter, as we opened the Register as expected and can process applications/registrations, but amber for next quarter as we may not register 1500 adult care home workers this year (1274 remaining which is an average of 425 per quarter - almost double the number in Q1) without any engagement activities.</p>		
Develop a digital learning and network approach to enable ongoing skills and learning development - to be piloted in key areas of demand including dementia; safeguarding procedures; peer networks; LINs; national learning programmes	<p>Dementia Learning Co-Ordinator Network has 76 members from health, social care and independent providers. The network has actively shared resources through Covid-19. The first webinar will take place in July, to look at how dementia training and learning can be taken forward during Covid-19 and beyond.</p> <p>PID agreed and a draft specification to commission support with engagement, scoping and platform design in place.</p> <p>Survey agreed with workforce managers in each region to establish the range of digital solutions being put in place as a response to Covid-19 and establishing long term impact and change to digital delivery being planned</p>		
Support the early years and childcare workforce including future registration options	The longer-term aspirations for the transition programme are paused as we discuss with Welsh Government and other key stakeholders the most appropriate course of action during the current climate. However, for the business plan activity proposed we are on track. This is Amber for next quarter as until we have had strategic conversations with Welsh Government, we do not know when we can carry out wider consultation in respect of registering the Early Years and Childcare (EYCC) workforce. This will have an impact on the wider transition programme milestones and ambition moving forward.		
Develop and embed evidence informed practice and approaches	Interim findings from Phase 1 of SCIE Using Evidence project completed and recommendations co-developed with Using Evidence Steering Group. Working groups to develop action plans with key stakeholders planned for July and August. Topic guides for Phase 2 interviews with providers completed and sampling underway. Design of Phase 3 Sept 2020.		

Business plan activity	Narrative	QTR 1	QTR 2
	<p>Development meetings with DEEP programme lead (Swansea Uni) and SCIE in June and July to explore knowledge mobilisation approaches and capacity building.</p> <p>Activity marked 'amber' until we have identified an Evidence and Engagement Officer to support this activity.</p>		

Strategic risks	Inherent score	Residual score
<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>Red (20)</p>	<p>Yellow (10)</p>

Priority theme 2 - Social Care and Early Years Managers, Leaders and Owners

Key Performance Indicators	QTR 1	QTR 2	QTR 3	QTR 4	Comparator / Target
Number of fitness to practise cases open	189				169 Last quarter
Number of active cases open longer than 18 months	26 (13.7%)				Less than 10%
No of final hearings held	0				12 Last quarter
WeCare campaign data	n/a				Baseline figures to be established for 20/21

Performance Commentary

Progress on this priority theme of work is naturally at different points in its development but in line with agreed milestones agreed via all Project Initiation Documents (PIDS). Core business, which in the main has continued from last year, such as work on qualifications and apprenticeships, continue apace due to the tight deadlines to deliver in readiness for first delivery of level 4 and 5 awards including 19 new apprenticeship frameworks. Equally there are clear programmes of work in place for the WeCare Wales campaign with significant activity have been undertaken in the first quarter to support the sector in the current pandemic including the development of a jobs portal and a first TV advert.

Other areas of the programme e.g. the employer liaison service, the workforce plans for the direct workforce and the social work workforce have had PIDS agreed and at the early stages of the commissioning process.

We are at the planning stage of activity to share learning from Covid-19 and practice that 'makes a difference'. We will firm up this plan and approach following exploratory workshops to be completed in early Q2.

Business plan activity	Narrative	QTR 1	QTR 2
Provide expert advice and national induction, apprenticeship and qualification frameworks for roles across the sector to ensure high quality and test models for	<p>Quals framework updated April 2020.</p> <p>Proposals made for Social Service Practitioner (SSP) delivery model, working with Local Authorities and City and Guilds to develop.</p> <p>Work Placement guide in the process of being published.</p> <p>Attended L4/5 events with City and Guilds May/June 2020, further events to be arranged.</p> <p>All Wales Induction Framework (AWIF) pilot evaluation delayed by Covid-19, recommended evaluation activities June 2020.</p> <p>AWIF EYCC workbooks on eLearning platform delayed</p>	Green for all except RYCC AWIF and AWIF pilot that are both amber	

Business plan activity	Narrative	QTR 1	QTR 2
future approaches	<p>due to platform not being ready. We have started the development work, transferring of data expected to commence end of August.</p> <p>Draft apprenticeships across Level 4 and 5 out for consultation until the 5th July.</p>		
Fitness to practice service and associated hearings to support protection of the public and to support the provision of high-quality services	<p>Covid-19 has impacted on final FtP hearings being held. 8 of the 26 cases are either postponed hearings or are waiting to be listed. Until the position with substantive hearings is progressed and hearing dates set up, these will remain as open cases.</p>		
	<p>We continued to hold Interim Order Panel hearings and Registration Appeals Panel hearings during lockdown, remotely. This has been a success with no backlog in these type of cases. FtP final hearing cases were postponed, but some may be held remotely (1 to be held in July) and hybrid hearing approach being discussed to ensure we reduce any further delay to considering the cases. RAG status is amber to reflect the backlog of final hearing cases that have been postponed due to Covid-19, and the backlog of other cases to be referred to final hearing which will have to wait until the backlog of postponed cases have been held, therefore the amber is likely to continue into next quarter.</p>		
Establish an Employer liaison service	<p>PID agreed and draft specification being drafted with a view to commissioning support for the scoping and engagement element of this work. This is ambitious piece of work and until this piece is commissioned, we are concerned as to whether this will be able to be achieved.</p>		
To take forward some priority areas of the workforce strategy including: Workforce plan for the direct care workforce	<p>PID agreed for the scope of the programme</p> <p>Draft specification written to commissioning support to deliver the analysis and engagement element of the workforce plan</p> <p>Awaiting sign off the business plan from Welsh Government</p>		
To take forward some priority areas of the workforce strategy including: Workforce plan for the social work profession	<ol style="list-style-type: none"> 1. Discussions are taking place to determine the most effective way forward to gather the necessary information to inform the workforce recommendations. 2. Preliminary work has been done on this before we start approaching the sector. The aim is for the new framework to be fully co-produced with the sector. 		

Business plan activity	Narrative	QTR 1	QTR 2

Strategic risks	Inherent score	Residual score
<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>	Red (20)	Yellow (10)
<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>	Amber (15)	Yellow (10)

Priority theme 3: Social Care and Early Years Systems Leaders

Key Performance Indicators	QTR 1	QTR 2	QTR 3	QTR 4	Comparator / Target
Visitors to data portal	April - 4,048 May - 1,925 June - 3,928				
Publish a vision for social care data	n/a				Quarter 2
Data on national leadership programmes	n/a				Quarter 3

Performance Commentary

Both the Residential Children's Expert Reference Group and the Care and support at Home projects are considering their work plans for 20/21. The first Ministerial Advisory Group (MAG) for outcomes on children who are being looked after meets in early July when we are hoping for a sense of direction and prioritisation. There may be a need to consider better aligning the outcomes for children with the commissioning process, but this is for discussion. Similarly, the Care and support at Home steering group are to consider the results of the Cordis Bright evaluation report in early July and consider future direction. The work of the subgroup on Community Resilience is moving ahead at a good pace and awaits on the programme management meeting w/c July 6th for a decision to continue the work with the capacity request outlined in the PID. Dementia work continues as per the Welsh Government plan.

National Programmes: We have an agreement to commence cohort 3 of the Leading by Example as an on-line programme. Reviews of the Team Manager Development Programme (TMDP) and Middle Manager Development Programme (MMDP) are similarly underway. Leadership within the Health and Social Care Workforce Strategy sees us continue to keep the link with HEIW live and we are looking at the resources needing for the HEIW play list. Agreement to look at the potential for the NHS leadership digital platform by social care groups has also been agreed. The Outcomes programme continues from 19/20 but with an additional agreed focus looking at the development and proposal for a 3-year action plan.

We have been working closely with KPMG this quarter on the scoping of the data strategy for Wales. The project team has conducted interviews with 38 stakeholders and a visioning workshop. The report is due in Q2, following stakeholder engagement events. Data Cymru continue with developments on the data portal - enhancements in Q1 include a social care data catalogue and new workforce and apprenticeship data. The Data Cymru team is currently working on translating and adding Daffodil projections data to the portal.

We are working closely in partnership with SCIE on the activities related to prioritisation and development of resources, and the long-term aim to promote the use of research and data by strategic leaders in Wales. SCIE has delivered a proposal for this work, building on the 2019/20 work to explore how we can support our stakeholders to use evidence. The recommendations from this work form the basis for how we will support people in local authorities to use evidence, and this year the SCIE team will be engaging with provider organisations to explore this topic.

Business plan activity	Narrative	QTR 1	QTR 2
Learn from the impact evaluation of our Care and Support at Home partnership to outline options on how we can further support working in collaboration	<p>1) The review carried out by Cordis Bright has been shared with the Steering Group, and their reflections collated to inform a discussion at the next meeting on 30 June.</p> <p>2) Work with partners on community resilience is growing. A network to share information and learning has met twice. we are considering options for additional capacity to support the work.</p>		
Provide enhanced data to inform the design, development and delivery of services	<p>New additions to the portal: new data from Social Work Workforce Planning (SWWP) workforce survey, Apprenticeship Certificates Wales (ACW) apprenticeship data and a new social care data catalogue. Ongoing work with Data Cymru to develop a model to translate the prevalence data received from Usk Scientific Services (USS) for new projections. Appropriate licenses for Power BI have been purchased for selected internal staff. First draft of the dashboard is ready to be shared. Established a steering group of key partners to advise us on a new process for collecting workforce data.</p> <p>We are currently reviewing the dates for the procurement of a new contractor to manage the portal, to ensure that we can leverage the outputs of the ongoing work with KPMG and Grant Thornton in the design of the future requirements.</p> <p>Status is amber until we appoint a Data Analyst to support this work.</p>		
Manage implementation of key actions of the Social Care Research & Development Strategy	<p>The RAG status has been marked as Amber as we were unable to organise a Quarterly Steering Group in Q1. A meeting is being scheduled for Q2 so this will be back on track. Despite the lack of a steering group meeting, progress has been made against all of the focus areas. We are also preparing updates on the mid-term review, to be published on the research blog area of the website.</p>		
Develop Covid-19 workforce and social care research priorities	<p>Planning meetings with SCIE in June and July to agree approach and scope regarding: review of evidence of key topics, mapping of networks, communication and stakeholder channels; methods to systematically capture intelligence and data from the sector on their needs; design and implementation of monitoring framework for the work programme to capture learning about the</p>		

Business plan activity	Narrative	QTR 1	QTR 2
	<p>implementation of evidence and resources.</p> <p>Activity marked 'amber' until we have identified an Evidence and Engagement Officer to support this activity.</p>		
<p>Develop one stop shop of curated expert guidance on Covid-19 – that can be used on a once for wales basis to support employers and the workforce</p>	<p>This activity is being planned in conjunction with the business plan activity ‘Develop Covid-19 workforce and social care research priorities’ and is part of the planning meetings underway with SCIE.</p> <p>Virtual practice forums, surveys and stakeholder engagement to gather intelligence from the sector to be undertaken in August and September</p> <p>Interim and final reports to support development of infrastructure for evidence implementation and maximising existing partnerships/initiatives by end of October 2020</p> <p>Work continued throughout Q1 to augment and maintain Covid-19 resources and curated collections.</p> <p>Activity marked 'amber' until we have identified an Evidence and Engagement Officer to support this activity.</p>		
<p>Support the progression of a Compassionate and collective leadership approach across social care and health +A12:A13</p>	<p>Consultation phase 2 planned and ready to be launched once appropriate. Email sent to those who responded to phase 1 of the consultation, acknowledging their input and informing them of next steps. Review meetings with Helen Thomas, HEIW, every 2-3 weeks. Initial planning undertaken to launch a peer support network for Domiciliary Care managers in QR 2. Ongoing development and curation of website resources to support wellbeing and resilience of managers and leaders. Ongoing engagement with a variety of stakeholders regarding sector needs in relation to leadership and Covid-19 recovery.</p>		

Priority 4 - Our own workforce

Key Performance Indicators	QTR 1	QTR 2	QTR 3	QTR 4	Comparator / Target
Staff sickness levels	2.46%				3%
Timely laying of Statutory Annual Accounts	N/A				August 2020
Internal audits receive substantial assurance	N/A				80%
ISO 27001 Reaccreditation awarded	Maintained				Maintained

Performance Commentary

All business plan activities within this area of work are progressing in line with expected milestones. Quarter 1 has focused on drafting our end of year reporting such as our Statutory Annual Accounts and end of year report on delivery of our business plan 2019/20, establishing our business plan (and Remit Letter) including staff and budgets for 2020/21 whilst progressing activities which will inform our work for the year.

We are using the findings from surveys on Members of the Senedd, organisational effectiveness, Wales Omnibus surveys to inform the development of our Strategic Plan 2021 - 2016. During the Board development session on 2 July Members considered how this will help inform how we measure and evaluate our impact.

An area of focus in the first quarter has been scoping out commissioned work to support our digital transformation programme including our digital infrastructure and a usability study of our current primary on-line services through SCW on-line. This work will be commissioned at the start of July so that we have recommendations which will be informed by and informs projects in other programmes of work our offer to registered persons, digital learning and the employee liaison service. In the next quarter we will be rolling out a programme of learning to support our digital transformation work.

We continue to maintain and progress business requirements in relation to our governance, financial, IT infrastructure and HR arrangements as outlined in our business plan. We are also looking at the requirements to support Phase 2 in our recovery and sustainability of business operations considering COVID-19.

Business plan activity	Narrative	QTR 1	QTR 2
Maximise our digital offer across all our business	The specification for external support to run a number of projects to support our digital transformation are finalised. These will be commissioned in Quarter 2. We have identified this work as amber for the next quarter as this activity will be heavily reliant on procuring a supplier and until we have completed the procurement exercise in		

	<p>quarter 2 then this is a risk to delivery.</p> <p>In terms of the other elements of this activity:</p> <ul style="list-style-type: none"> • The work with Unions and the Wales Co-operative Centre is now being considered as part of Work Programme 1 Digital Learning project. • An all staff digital skills survey was issued on 22 June. We will analyse the results in July and tailor the training and development according to the results. In the meantime we are also mapping out the Government Digital Service (GDS) training which we will be arranging for leadership, content owners and service(s) designers for the next quarter. • We are working with our SharePoint provider to see what additional capacity we can bring in to the organisation to support the roll out across the organisation of a more collaborative SharePoint • Currently we are not considering the implementation of the new telephone system whilst we are all working remotely. • Currently we are maintaining our CARREG system in line with minor developments to support registration requirements but no major developments whilst we map our route map for the digital transformation needed 		
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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 (15)	Yellow (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 (10)	Green (5)
If we don't have increased resources to meet what is expected from Government term of office, then we will not be able to deliver the expected standards.	Red (20)	Red (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 (20)	Yellow (10)
If we don't remain engaged with 'A Healthier Wales' and maintain key relationships with Welsh Government and critical stakeholders (HEIW, PHW)	Red (20)	Yellow (10)

Strategic risks	Inherent score	Residual score
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 cannot successfully secure the external capacity identified in PIDS (commissioned work, external resources); then we will not be able to deliver our commitments	Amber (15)	Yellow (10)

Strategic Risk Register: responding to COVID-19 pandemic: June 2020

Risk Identifier No	Risk Title / Description	Risk Owner	Date Opened	Inherent Risk Score			Residual Risk Score			Change	Appetite for Risk	Mitigation Actions & Progress	Target Date	Link to Strategic Aims
				Likelihood	Impact	Score	Likelihood	Impact	Score					
COVID 19/01	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 COVID-19 pandemic.	SE	16.03.	3	5	15	2	5	10	N E W	Treat	<ul style="list-style-type: none"> • Our approaches to regulation • Opening of the emergency register • Social care worker card • Reposition WeCare Wales website and campaign to attract people to vacancies this their area • Advice and guidance for the sector on our COVID-19 information hub • Use our feedback loops, networks and stakeholders to identify additional areas of support • Use our direct communication update with the registered persons (as and when appropriate) 	Review monthly	all 3 strategic aims

Risk Identifier No	Risk Title / Description	Risk Owner	Date Opened	Inherent Risk Score			Residual Risk Score			Change	Appetite for Risk	Mitigation Actions & Progress	Target Date	Link to Strategic Aims
				Likelihood	Impact	Score	Likelihood	Impact	Score					
COVID 19/02	If we do not respond accordingly to the COVID-19 pandemic, then we will not be supporting the early years in responding to the COVID-19 pandemic.	SE	16.03	3	5	15	2	5	10	NEW	Treat	<ul style="list-style-type: none"> • Reposition WeCare Wales website and campaign to attract people to vacancies this their area • Advice and guidance for the sector on our COVID-19 information hub • social care worker card now rolled out to those still working in the early years and childcare sector 	Review monthly	all 3 strategic aims
COVID 19/03	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.	SE	16.03	3	5	15	2	5	10	NEW	Treat	<ul style="list-style-type: none"> • Working with partners and national organisations on producing advice and guidance to support the sectors in their health and wellbeing. Organisations including, but not limited to PHW, Welsh Government and HEIW 	Review monthly	all 3 strategic aims

Risk Identifier No	Risk Title / Description	Risk Owner	Date Opened	Inherent Risk Score			Residual Risk Score			Change	Appetite for Risk	Mitigation Actions & Progress	Target Date	Link to Strategic Aims
				Likelihood	Impact	Score	Likelihood	Impact	Score					
											<ul style="list-style-type: none"> Early discussions with HEIW on possible approaches to support the health and social care workforce wellbeing 			
COVID 19/04	If a national NHS campaign attracts people away from the social care and early years sector, then it will have a significant impact on the sustainability of the sectors workforce	SE	20.04	4	5	20	2	5	15		Treat and tolerate	<ul style="list-style-type: none"> Reposition WeCare Wales website and campaign to attract people to vacancies this their area Work with Welsh Government through the social care group on parity and incentives Confirmation by NHS Confederation and HEIW that UHBs are working with LA partners to reduce this risk. 	Review monthly	All 3 strategic aims
COVID	If we don't clearly state and deliver on:	SE	23.03.	4	5	20	3	5	15	N E	Treat and	<ul style="list-style-type: none"> Critically evaluate all high-level activities and make sure plans are fully costed – with 	Review monthly	All 3 strategic

Risk Identifier No	Risk Title / Description	Risk Owner	Date Opened	Inherent Risk Score			Residual Risk Score			Change	Appetite for Risk	Mitigation Actions & Progress	Target Date	Link to Strategic Aims
				Likelihood	Impact	Score	Likelihood	Impact	Score					
19/05	<ul style="list-style-type: none"> supporting the sectors during COVID-19 adapting our business as usual activities considering COVID-19 supporting the recovery of the sectors <p>Then it could result in over committing our resources to deliver, lose our identity and unique purpose.</p>					15			10	W	tolerate	<ul style="list-style-type: none"> staffing costs and development costs. Use our leadership role to inform and shape delivery and work through other key deliverable partners. EMT actively engaged with key stakeholders to shape and influence delivery. 		aims
COVID 19/06	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	SE	16.03	3	5	15	2	5	10	NEW	Treat	<ul style="list-style-type: none"> All staff can work out of the office Working from home health questionnaires have been issued. Equipment for high risk individuals have been 	Review monthly	All 3 strategic aims

Risk Identifier No	Risk Title / Description	Risk Owner	Date Opened	Inherent Risk Score			Residual Risk Score			Change	Appetite for Risk	Mitigation Actions & Progress	Target Date	Link to Strategic Aims
				Likelihood	Impact	Score	Likelihood	Impact	Score					
	wellbeing is at the centre of how we work										issued and focus is now on medium risk individuals <ul style="list-style-type: none"> Supporting staff wellbeing – which we will continue to do and strengthen as COVID-19 continues Business continuity group considering principles to aid return to office working, when appropriate, with dedicated budget to support changes required. 			
COVID 19/07	If we do not have proportionate safeguards in place to ensure there is regularity, propriety, feasibility and value for money in how we use our GIA then we will not be able to respond to the pandemic in the most appropriate and agile way whilst balancing appropriate levels of Governance,	SE	16.03	4	5	20	3	5	15	NEW	Treat and tolerate	<ul style="list-style-type: none"> Regular oversight of COVID-19 decision register Additional arrangements to improve cyber security Small project groups with responsibility and accountability for delivery with clear approval channels Regular virtual meetings with Board members 	Review monthly	All 3 strategic aims

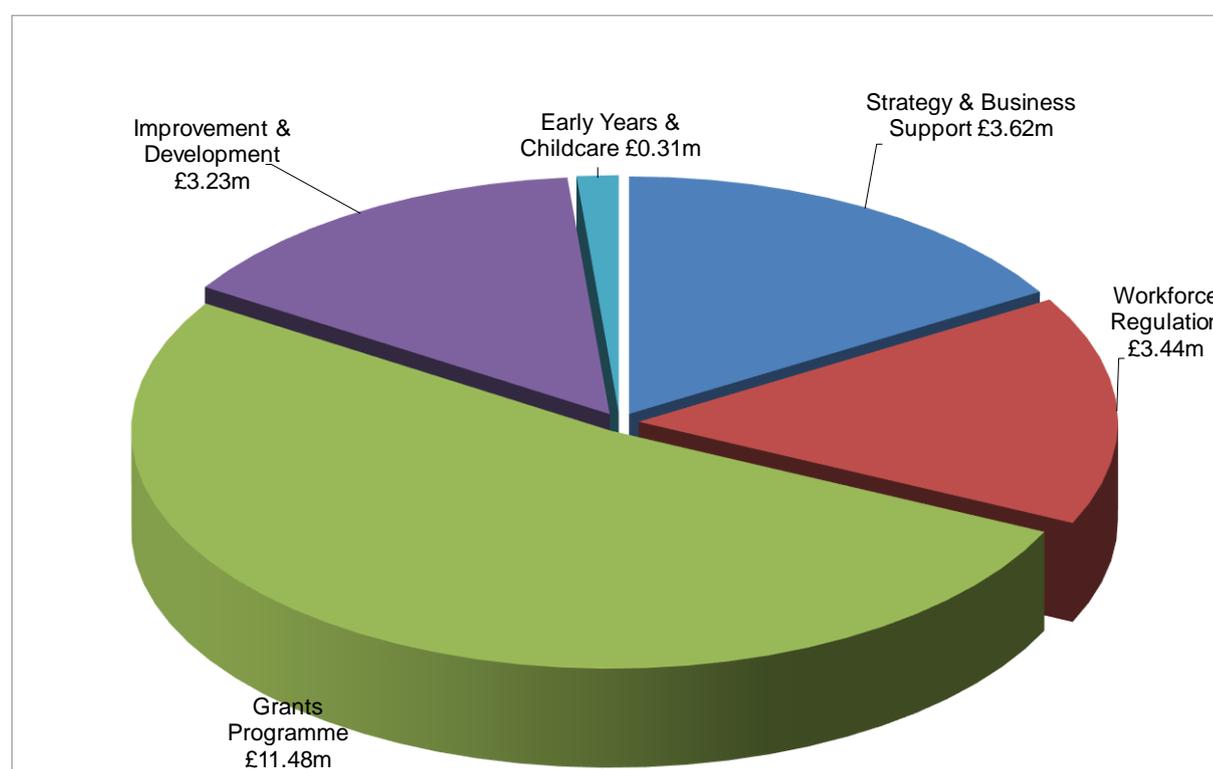
Risk Identifier No	Risk Title / Description	Risk Owner	Date Opened	Inherent Risk Score			Residual Risk Score			Change	Appetite for Risk	Mitigation Actions & Progress	Target Date	Link to Strategic Aims
				Likelihood	Impact	Score	Likelihood	Impact	Score					
	Risk Management and Decision Making					15			10		<ul style="list-style-type: none"> Regular virtual meetings of EMT and Leadership group 			
COVID 19/08	Working remotely has increased the risk of cyber fraud, hacking and scamming. Therefore, putting vulnerabilities within our IT network and opportunities for fraud.	SE	20.04	3	5	15	2	5	10	N E W	Treat	<ul style="list-style-type: none"> Accreditation with ISO27001 Guidance to staff issued on working remotely at home in relation to DPA 2018 Reviewing our assurance levels Will be following up with all staff on additional guidance in relation to cyber security and home working arrangements and DPA 2018 Only Social Care Wales issued machines are used remotely to access the network Finance team have been reminded of the increased 	Review monthly	all 3 strategic aims

Risk Identifier No	Risk Title / Description	Risk Owner	Date Opened	Inherent Risk Score			Residual Risk Score			Change	Appetite for Risk	Mitigation Actions & Progress	Target Date	Link to Strategic Aims
				Likelihood	Impact	Score	Likelihood	Impact	Score					
											risk of fraud threat particularly through phishing and the continued adherence to established processes <ul style="list-style-type: none"> Welsh Government guidance being utilised 			

Budget Report for the period to 30 June 2020

This is the first budget monitoring report for the financial year 2020-21. The report covers income and spend for the first three months to 30 June 2020. The report is based on a total annual budget of £22,079,000. This is financed from £20,849,000 Grant in Aid (including £209k internal carry forward), £1,180,000 registration fee income and £50,000 Apprenticeship certification income.

The final total annual budget differs from the financial allocations presented as part of the draft Business Plan previously presented to Board primarily due to the recategorization of project/commissioned work. This was primarily required as the Capital funding now available in Grant in Aid is now £20,000 rather than £75,000. The amended financial allocations are as follows: -



*In addition to the above revenue budget there will be Capital spend of £0.02m funded by Capital GIA

The amended financial allocations are therefore as follows: -

	Financial Allocations as per draft Business Plan	Final Financial allocations	Reallocation
Grants Programme	£11,478,000	£11,478,000	-
Workforce Regulation	£3,432,000	£3,442,000	£10,000
Improvement and Development	£3,314,000	£3,226,000	(£88,000)
Early Years and childcare	£311,000	£311,000	-
Strategy and Business Support	£3,544,000	£3,622,000	£78,000
Total Budget	£22,079,000	£22,079,000	

A high-level summary of performance for the first three months is reported below. A more detailed report will be provided with future Business Plan updates: -

Financial Summary to 30 June 2020

	Annual Budget	Actual YTD	Budget YTD	Variance	Predicted Outturn
	£'000	£'000	£'000	£'000	£'000
Income	22,079	2,205	2,206	(1)	22,079
Expenditure					
Grants Programme	11,478	27	43	16	11,478
Workforce Regulation	3,442	711	717	6	3,442
Improvement and Development	3,226	506	498	(8)	3,226
Early Years and Childcare	311	54	55	1	311
Strategy, Research, Data and Bus Support	3,622	785	772	(13)	3,622
Totals	22,079	2,083	2,085	2	22,079

Income Analysis

Income after the first quarter is in line with budget. We are still at this point predicting that £1,180,000 of Registration fees will be received in the financial year and this based on 1,500 adult residential care workers registering before 31st March 2021.

Expenditure Analysis

As at the end of June 2020 we are currently reporting a £2k expenditure underspend against budget. There are minor variances to date but at this point 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 Grants Programme which as projected has minimal expenditure in the first quarter of the financial year. However, there is a £16K underspend to date which primarily relates to travel expenditure on the Social Work programme placements being lower than budgeted. Although the budget was set taking into account Covid-19, travel costs were even lower than anticipated. At this point we are still predicting this budget will be fully spent at the end of the financial year, but a clearer picture would have emerged at the end of Quarter 2.

In addition, we will be closely monitoring all budgets in the next quarter particularly in relation to project and commissioned work in order that at the mid-year point an accurate year end position can be projected



CYFARFOD / MEETING	Cyfarfod Bwrdd				
	PREIFAT / PRIVATE		CYHOEDDUS / PUBLIC		
	<input type="checkbox"/>		<input checked="" type="checkbox"/>		
DYDDIAD / DATE	16.07.20				
EITEM AGENDA AGENDA ITEM	9				
TEITL / TITLE SCW/20/09	Ymgynghoriad Cynllun Strategol 2021 – 2026 drafft				
AWDUR / AUTHOR	Sue Evans, Prif Weithredwr				
CYFRANIADAU GAN/ CONTRIBUTIONS FROM:	Aelodau'r Bwrdd Grŵp arweinyddiaeth				
PAPURAU CEFNOGOL / SUPPORTING PAPERS	Atodiad 1 - Cynllun Strategol Drafft 2021 - 2026 dogfen ymgynghori				
GWEITHGAREDD CYNLLUN BUSNES / BUSINESS PLAN ACTIVITY	Mae ein hymgynghoriad cynllun strategol yn nodi canlyniadau ein gwaith, pa effaith yr ydym yn ceisio ei chyflawni a sut y byddwn yn gweithio i gyflawni ein huchelgais. Bydd ein cynllun strategol yn llywio ein gweithgareddau a fydd yn cael eu nodi yn ein cynlluniau busnes blynyddol.				
GWEITHRED / ACTION REQUIRED	CYMERADWYAETH / APPROVAL	DARPARU LLYW / PROVIDE A STEER	DARPARU SICRWYDD / PROVIDE ASSURANCE	TRAFODAETH / DISCUSSION	CRAFFU / SCRUTINISE
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ARGYMHELLIAD / RECOMMENDATION	Gwahoddir Aelodau'r bwrdd i drafod a chymradwyo papur ymgynghori Cynllun Strategol Drafft 2021 - 2026. Oherwydd amseru gofynnir i'r Aelodau ddirprwyo cymeradwyaeth derfynol y ddogfen ymgynghori Cynllun Strategol Drafft 2021 - 2026 i Brif Weithredwr a Chadeirydd y Bwrdd gan fod hyn yn destun trafodaethau gyda'n hadran Noddi Llywodraeth Cymru.				
PRIF BWYNTIAU; MATERION ALLWEDDOL I DYNNU SYLW ATYNT;	Mae dogfen ymgynghori ddrafft o'r Cynllun Strategol 2021 – 2026 yn: <ul style="list-style-type: none">• adeiladu ar y trafodaethau a gynhaliwyd gan y Bwrdd a'r grŵp arweinyddiaeth ar adolygu ein strategaeth yng ngoleuni				

<p>CWESTIYNAU I'W YSTYRIED</p> <p>MAIN POINTS; KEY ISSUES TO DRAW TO ATTENTION; QUESTIONS TO CONSIDER</p>	<p>pandemig COVID-19, ein dysgu o'n 3 blynedd gyntaf ar waith a'r gwaith wrth fesur ein heffaith</p> <ul style="list-style-type: none"> • mireinio ein gweledigaeth, pwrpas ac uchelgeisiau ar gyfer y 5 mlynedd nesaf • rhoi cyfle i'r gweithlu, cyflogwyr, rheolwyr, arweinwyr strategol a'r cyhoedd lunio ein blaenoriaethau ar gyfer y 5 mlynedd nesaf <p>Nid y ddogfen ymgynghori hon yw ein Cynllun Strategol terfynol. Mae'r cam ymgynghori yn rhoi cyfle i wrando, dysgu a llywio datblygiad ein Cynllun Strategol terfynol.</p> <p>Ein nod yw ymgynghori ar ddechrau mis Awst am 8 wythnos. Bydd ymgynghori penodol wedi'i dargedu â rhanddeiliaid allweddol ynghyd â chynllun cyfathrebu ar gyrraedd ein grwpiau targed. Bydd Aelodau'r Bwrdd yn derbyn trosolwg o'r ymatebion a dderbyniwyd ym mis Hydref. Yna byddwn yn defnyddio'r adborth ynghyd â thrafodaethau a data pellach i ddatblygu ein Cynllun Strategol terfynol erbyn mis Rhagfyr.</p>
<p>ASESIADAU EFFAITH / IMPACT ASSESSMENTS</p>	<p>Bydd asesiadau effaith yn cael eu cwblhau fel rhan o'r meysydd gwaith unigol wrth iddynt fynd yn eu blaenau.</p>



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



Consultation document Social Care Wales Strategic Plan 2021 – 2026

Consultation closes on **##/##/2020**
**Making a positive difference to social care and
early years in Wales**



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Overview

The purpose of this consultation is to seek your views on our 5 year Strategic Plan: 2021 - 2026.

How to respond

You may respond by:

- completing the on-line survey: [insert link](#)
- by sending your written response to the following e-mail address: Rhian.Jones@SocialCare.Wales
- or you can post your feedback to:

Rhian Jones
Social Care Wales
South Gate House
Wood Street
Cardiff
CF10 1EW

Further information and related documents

Large print, Braille and alternative language versions of this document are available on request using the above contact details.

Data protection: How the views and information you give us will be used

Any response you send us will be seen in full by Social Care Wales staff dealing with the issues this consultation is about. It may also be seen by other members of staff to help plan future consultations. We will publish a summary of the responses to this document. We may also publish responses in full. Normally, the name and address of the person or organisation who sent the response are published with the response. This helps to show the consultation was carried out properly. If you don't want your name or address published, please tell us in writing when you send your response. We will then blank them out.

Names or addresses we blank out might still get published later, though we do not think this would happen very often. The Freedom of Information Act 2000 and the Environmental Information Regulations 2004 allow the public to ask to see information held by many public bodies, including Social Care Wales. This includes information that has not been published. However, the law also allows us to withhold information in some circumstances. If anyone asks to see information we have withheld, we will have to decide whether to release it or not. If someone has asked for their name and address not to be published, that is an important fact we would take into account. However, there might sometimes be important reasons why we would have to reveal someone's name and address, even though they have asked for them not to be published. We would get in touch with the person and ask their views before we decide to reveal the information.

Strategic Plan 2021 – 2026 consultation

Foreword (by the Chair and CEO)

A strong social care and early years system in Wales ensures that we are able to reduce the impact of disadvantage through poverty, neglect, illness or disability. These disadvantages often lead to health inequalities and poorer prospects for children reaching their potential or for adults achieving a fulfilled life.

Social care matters to all of us. It touches us all at some point in our lives. It is important that children and adults in communities in every part of Wales can rely on quality social care and childcare to help them live the lives that matter to them.

Social care and early years workers are playing a vital role in caring for adults, children, their families and carers in our communities. They are supporting people to develop, remain active and independent, stay safe and well connected to their community and wider networks; usually working alongside family, friends, volunteers and other public services.

The social care and early years sectors also provide a critical contribution to life in Wales. Based on 2018 statistics, adult social care contributes £1.2bn directly to the economy in Wales every year and £2.2bn overall, when suppliers and their employees are factored in. Social care employs 90,500 people in Wales making it the seventh largest contributor to the Welsh economy. It is made up of a wide range of small, medium and large organisations directly providing work for many, and enabling others to pursue education or work opportunities, whilst their loved ones are supported. The childcare sector plays a critical role in Wales' economic and social development. It enables many parents to work, supporting economic growth and the reduction of poverty across the country.

The current pandemic has shown, if any further evidence was needed, how crucial the social care and early years workforce is to the well-being of people of all ages in communities across Wales. As the social care and early years workforce rises to meet the enormous challenges of the COVID-19 pandemic through their commitment and professionalism there is greater recognition by the public that social care workers and early years workers are key workers – and not just in a time of crisis. The workforce is critical in providing fantastic care, 24 hours a day, 365 days of the year to people of all ages in every community across Wales.

The skill and dedication of social care workers is something recognised by the Welsh public. A Wales Omnibus Survey conducted in June 2020 showed 46 per cent of the public had a higher opinion of social care workers than was the case a few months ago. More than 70 per cent of those surveyed felt those working in social care should benefit from similar pay and conditions to NHS workers.

We now register most social care workers, which is raising their status in Wales. If we can develop a better rewarded profession, it will also help attract more people with the right skills and values into care roles. We need more male and BAME carers, as well as those with Welsh language skills, to better reflect the population in Wales.

Adults and children, their families and carers will continue to rely on the care, kindness and skill of the social care and early years workforce over the challenging period ahead. At Social Care Wales, we will continue to do all we can for the workforce, their employers, and strategic leaders during this difficult time and help them focus on caring for and supporting some of the most vulnerable people in our communities.

The vision for social care and early years is clear: 'A Healthier Wales' and the Welsh Government's 10-year Childcare, Play and Early Years Workforce Plan provides a vision for a whole system approach where the focus is on the well-being of the people of Wales with a strong voice and control over the care and support they receive. That vision builds on the Social Services and Well-being (Wales) Act 2014 which guides public services for the years ahead, alongside the Regulation and Inspection of Social Care (Wales) Act 2016 to modernise the regulation and improvement arrangements, focusing on regulation for improvement. It is important that, as a public leadership organisation, we demonstrate our values in the way we work with the principles set out in the Well-being of Future Generations (Wales) Act 2015 and the values of One Welsh Public Service.

We will work with the Welsh Government and other partners to better understand the impact of Brexit and consequences of leaving the EU on the social care and early years sector.

The provision of social care and early years will continue to change, due to the impact of COVID-19, as we all develop new approaches for the future. We recognise the challenges and opportunities ahead and want to do what we can to support the sector to recover, stabilise and reform. We are reviewing our Strategic plan for the next 5 years to set out our intentions.

Our strategic plan consultation sets out the intended outcomes of our work, what our focus will be, what impact we aim to achieve and how we will work to deliver our ambition. We can only achieve our aims by working together, in partnership with a wide range of organisations. We will be answerable to you for our work through the Welsh Parliament and Members of the Senedd. Therefore, we would welcome your feedback so that we are confident in your support in delivering our 5-year plan.

Our strategic plan will not provide the detail of our activities. This means that we can adapt to the changing needs of the sector and the environment we're all working and living in. It will provide a clear way forward and the detail of our activities will be set out in annual business plans, which you will find on our website.

Mick Giannasi (Chair) and Sue Evans (Chief Executive)

1. Who we are?

We are the national organisation supporting social care and early years in Wales. We are the social care regulator with responsibility for developing the social care and early years sector, social care research and social care improvement in Wales.

2. What we do?



We want to make a difference across all of our sectors but will have a particular focus in 2021-26 on the following national improvement priorities:

- Children on the edge of care, those who are looked after and care leavers
- Those living with dementia
- Older people receiving care and support at home

Important work is already taking place in these areas, through national strategies and we will make sure our priorities are aligned with these. It is important to note that we will also be continuing to develop and deliver our work which go beyond these three national priorities.

We are committed in brokering and leading on new innovation, knowledge and relationships across the whole system. We will work with partners to positively influence the complex system surrounding Welsh social care services in improving outcomes for people and families who use care and support and providers of that care and support. We will act as a leader, champion and voice for the sector, proactively offering targeted challenge and support.

Our plan

Our five-year plan defines our vision, purpose, outcomes and impact. It also describes our approach to how we will do this. It will not set out the detail of what we will be doing; this will be included within our annual business plans.

We will reflect each year to ensure we are continuing to do the right things in the right way, making change where necessary, we welcome your ongoing feedback and partnership in supporting the progression of work. Our strategic plan has been developed by the Board and will be used by them to scrutinise delivery, holding officers to account. We will share our progress with you, via our website and engagement activities.

Our vision

We want to improve outcomes for children and adults who use, or may need to use, care and support; as well as their families and carers to live the life that matters to them

Our purpose

Ensuring that the people of Wales can count on social care and early years services being provided by a trusted, skilled and valued workforce.

We will look to bring about improvements by working with and/or engaging four main audiences to:

- empower the social care and early years workforce to provide the best possible care and support for the adults, children and families they work with
- enhance the provision of services for individuals and families by supporting social care and early years managers, leaders and owners
- provide evidence and skills to assist and influence strategic leaders and stakeholders to design and deliver the best possible solutions, care and support for their communities
- The public with a particular focus on those who use or may need to use care and support; their families and carers

Social Care Wales is part of the wider Welsh public service. Our work aims to support the priorities for the well-being of future generations, for the whole sector, the public and Welsh Government.

Our strategic plan is being developed using an outcomes-based approach. This will help us know what has made a difference or not. We will regularly review how we best use our financial investment and staff. We are developing a range of measures to use, to support the impact of our work. These will be included in our strategic plan when published in the Autumn 2020.

In the next pages we have set out our proposed ambition with our key audiences and where we will focus our energy and commitment to work with you over the next five years to deliver our vision.

Social care and early years workforce

What is our ambition?

To empower the social care and early years workforce to provide the best possible care for the people, children and families they work with. For the social care and early years workforce this means that they are skilled, connected and valued

Who are the main audiences for this work?

Over the next 5 years we will be regulating new groups of the workforce. But we know that this will not cover all the people who work in care and support. We want to build our offer to people who provide direct care to children and adults in Wales.

By the end of 2026 to empower¹ and develop the workforce we will:

- Provide professional recognition for the workforce
- Drive up workforce qualification, knowledge and skill levels
- Support practice which will be underpinned by continuous professional development
- Take action where practice does not meet the Code of Practice

What does this mean?

Social care and early years workers play a vital role in caring for and supporting adults and children, their families and carers in our communities, including our most vulnerable people. This has only been reinforced by the incredible response of the workforce to the COVID-19 pandemic.

Through our work with the workforce, we will maintain our approach to professional regulation, based around the standards within the professional code of practice for social care. We will continue our extension of the register to new groups of social care and we will work with the early years and childcare sector to consider how that workforce may become professionally registered with us in the future. But we want to go further, as we build the professional recognised workforce in Wales to over 50,000 people, we want to make sure our offer is enabling and supportive; we also want to develop an offer for non-registered social care and early years workers.

As we adjust to the impact of COVID-19 we want to further build on the status and recognition of social care and early years workers. The wellbeing of the workforce is of vital importance and we will prioritise this as part of our revised offer.

We will continue to develop digital networks and training for social care workers and early years workers, to enable continuous learning and networking. Working innovatively and using evidence, we will share practice that the workforce can use to help adults, children and their families access care and support and to achieve the outcomes that matter to them.

¹ to encourage, support and give confidence

With social care and early years managers, leaders and owners

What is our ambition?

Our ambition is a compassionate, efficient and effective approach to the delivery of care that focusses on what matters to individuals, families and carers. We will build on our relationship with managers, leaders and owners to improve practice, increase workforce resilience and ensure that care is valued as it should be. We will support employers to attract, recruit and retain a social care workforce which reflects the community they serve.

Who are the main audiences for this work?

This work focuses on supporting social care and early years managers, organisational service leaders, owners and Responsible Individuals.

By the end of 2026 to strengthen the provision of social care and early years services we will:

- Be a one stop shop for employers and managers to access information and guidance (including to other agencies)
- Support the change in culture which puts people at the centre of their care and support planning (outcomes focused practice)
- Improve how the investment (SCWWDP and Bursaries²) for training and learning of the workforce meets the needs of the sector to support individuals who access care and support
- Identifying and sharing what made a difference³
- Driven a reduction in workforce shortages

What does this mean?

We have always looked to support managers, owners, leaders and Responsible Individuals⁴ through a variety of initiatives. We want to strengthen our approach in this financial investment recognising our role is broader than workforce regulation.

The wealth of intelligence generated through developing the draft health and social care workforce strategy indicated the challenges facing the sector: the COVID-19 pandemic has emphasised and intensified these challenges. Strong and robust leadership and management is critical, and we are committed to exploring the actions in the draft strategy to support operational leaders and managers.

We will work with employers to enhance the provision of quality services for people, children and families by tackling attraction, recruitment and retention issues; providing training, learning and resources that supports high quality care. We will ensure the continued growth and development of the workforce which will meet the increased care

² Social Care Wales Workforce Development programme and social work bursaries

³ these could be more specific e.g. in relation to children looked after on the edge of care and supporting older adults

⁴ Under the Regulation and Inspection of Social Care (Wales) Act 2016 care and support providers must name a 'Responsible Individual' when they register their service with the Care Inspectorate Wales. This could be an owner, partner, board member or local authority senior officer. The RI has an important role in managing the service, its resources and the quality of care and support provided

and support needs of the population and future service and community models of care. We will cultivate the specialist skillsets required to transform and improve social care services, helping leaders and practitioners to innovate and use evidence within their local context. We will share our intelligence, evidence and data with managers, leaders and owners to support the sharing of 'what makes a difference' across the sector and how to utilise this knowledge in their own service settings.

We will be developing, with managers, leaders and owners an 'Employer Liaison Service' which will clearly reflect what the sector expects of us, exploring how to best respond to simple administrative queries on registration through to tailored support for improving services to those receiving care.

Draft

With strategic leaders and stakeholders

What is our ambition?

Our ambition is that strategic leaders can access the data, evidence and skills across adults and children's services to enable the transformation of social care across communities. Social Care Wales is uniquely placed to bring together and provide the intelligence and evidence to support strategic transformation of services, as well as leading the sector's development of leadership skills in Wales.

Who are the main audiences for this work?

This includes national organisations with responsibility for improving care and support for children and adults, leaders across the statutory, independent and voluntary sectors in Wales, Regional Partnership Boards, Welsh Government, Welsh Parliament and Members of the Senedd. It will also be important for us to maintain our links with other public services to support the delivery of joined up services for people, as well as organisations supporting unpaid carers and volunteers, as they are key in helping others lead the life that matters to them

By the end of 2026 to enable strategic leaders through evidence and skills we will:

- Drive and improve collective and collaborative leadership practice and skills
- Provide accessible data and evidence that is used in practice⁵
- Develop research capacity and capability

What does this mean?

Key to delivering sustained improvement and change is effective and collective strategic leadership across the statutory, independent and voluntary sectors in Wales. We want to work across Wales to support transformation, often acting as a critical, but supportive, friend to those responsible for strategic decisions. We will work to provide good evidence to underpin change. This evidence will be from formal research, data and intelligence, or from the wisdom and experiences of the workforce and from people, children and their families who use social care services.

We are committed to working in partnership in how we deliver our work. We will continue to work with strategic leaders across community, statutory, independent and voluntary sectors so that all can access the evidence, data and training development programmes needed to underpin decision making, inform workforce planning and training and learning opportunities.

Our work will link directly to the front line of services and are underpinned by the need to see individuals retained at the heart of all planning and care arrangements. We will use the data, evidence and intelligence from our work to inform national conversations and developments in policy to improve the outcomes for children and adults who access services now and in the future. As a national organisation we will continue to work across

⁵ these could be more specific e.g. in relation to children looked after on the edge of care and supporting older adults

service boundaries to support the provision of improved integrated service provision for children and adults.

Working with partners, we will positively influence the complex system surrounding Welsh social care services to collaboratively improve outcomes for people, their families and carers who use care and support.

Draft

What will be the impact of our 5-year plan: 2021 - 2026?

We recognise that there are many stakeholders and factors that can influence the areas of our impact during the next five years. We also have a role with strategic leaders to support the aspirations and ambitions of a 'A Healthier Wales' and the Welsh Government's 10-year Childcare, Play and Early Years Workforce Plan.

But we need to be clear with you on the change where we have direct role in making a positive difference. As a result, we have developed these draft impact statements to help show the areas where we intend to make a difference. We will be revising these further following your feedback on this consultation of our Strategic Plan 2021 – 2026.

1. Employers and the social care workforce know about the codes of practice and implement them.
2. The registered workforce is fit to practise.
3. Employers and the social care and early years workforce recognise our role in supporting qualifications and the continuous professional development of the workforce.
4. We support the learning and development of the workforce to focus on what matters for people (children and adults) who access care and support.
5. We support the change in practice and culture which puts people at the centre of their care and support planning (outcomes-focused practice).
6. Through our work social care and early years is seen as a valued and positive career choice within the sector, across other professions and amongst the public.
7. We support workforce planning to make sure there is enough social care workers to deliver services.
8. We contribute funding to the social care sector to support learning and development needs.
9. The social care sector has an increased awareness of research and evidence and is more open to using it to inform practice through our work.
10. Employers and strategic leaders view us as an organisation that shares 'what makes a difference' across the social care and early years sector to improve the quality of care and services.
11. We make a positive contribution to securing and providing public trust in the social care workforce.
12. Strategic leaders use our evidence and insight to inform decisions about social care and early years policy and service development
13. We are viewed by the workforce, employers and strategic leaders as an authoritative voice for the social care and early years sector

14. Our resources support employers and the workforce in providing quality care.

How we will measure the impact we make?

We believe that it is important for us to measure and evaluate the difference that we make. With this aim in mind, we plan to publish a set of aspirations for outcomes and impact against which we will measure our performance based on our impact statements.

Draft

Our role in achieving our impact?

To achieve the impact of our Strategic Plan 2021 – 2026 our role will be:

Regulation for improvement: We will build on our unique relationship with the social care and early years workforce to improve practice, increase workforce resilience and ensure that care is valued as it should be

Workforce development: We will continue to support the development of the workforce to meet the needs of children and people who access care and support now and in the future.

Resource mapper: We will help leaders and the workforce to innovate and use evidence in practice within their local context

Growing skills for transformation and change: Growing leadership skills and capacity across the social care and early years sector. With a specific focus on supporting transformation and improving the quality of social care services

Providing insight and evidence: We will provide insight, analysis and evidence to enable a collective response to sector wide challenges that shape improvement activities and support decision making.

Horizon scanner and pathfinder: We will provide analysis and foresight to help strategic leaders navigate an uncertain landscape.

System influencer: A critical friend to the social care and early years sector, actively influencing and coordinating across improvement and innovation organisations, bringing alignment and clarity across improvement work.



About you/your organisation

Are you responding to this consultation:

- a) as an individual or b) on behalf of an organisation

If as an individual, are you a/an:

Is the organisation:

- Social care manager
- Social care worker
- Social worker
- Social work student
- Individual using care and support
- Early years worker
- Member of the public
- Employed by NHS Wales
- Learning professional
- Carer

- Central or devolved government
- A local authority
- A public sector organisation
- An employer
- A learning provider

Other – please describe below:

Other – please describe below:

Organisation name/type of work carried out:

We welcome your feedback

To help work with us on our five-year vision we would be grateful if you could take the time to answer these questions:

1. Is our vision and purpose clear? (page 4)	
Yes	No
Comments	

2. Do our outcomes support our vision and purpose? (page 4)	
Yes	No
Comments	

3. Is our ambition clear? (pages 5 - 9)	
Yes	No
Comments	

4. Will our ambitions have any positive or negative impacts on groups with protected characteristics ⁶ ? (pages 5 - 9) If so, which and why or why not?	

5. We would like to know your views on the effects that our draft Strategic Plan ambitions and impact statements will have on the Welsh language, specifically on:	
<ul style="list-style-type: none"> i) opportunities for people to use Welsh ii) treating the Welsh language no less favourably than the English language. 	
<p>What effects do you think there would be? How could positive effects be increased or negative effects be mitigated?</p>	
<p>Please provide your comments in the space below:</p>	

⁶ Protected characteristics are: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex, and sexual orientation.

6. Do you have any further suggestions about the impact that you would expect to see over the next 5 years from our work? (page 10)	
Yes	No
Comments	

7. Do you agree with our role in how we will achieve our ambitions and impact? (page 12)	
Yes	No
Comments	

8. Are there any other important actions that you would like Social Care Wales to lead in future?	
Yes	No
Comments	

The closing date for the consultation is #####. Following the closing date, your comments will be considered. A report about the responses received will be published on our website. Our strategic plan 2021 – 2026 will then be published in Autumn 2020, for implementation from April 2021.

Other consultations connected to our work will have different closing dates. You can stay up-to-date with the outcome of these consultations through our website: www.socialcare.wales/consultations

Thank you again for your time in giving your views and feedback on our strategy.



CYFARFOD / MEETING	Cyfarfod y Bwrdd				
	PREIFAT / PRIVATE		CYHOEDDUS / PUBLIC		
	<input type="checkbox"/>		<input checked="" type="checkbox"/>		
DYDDIAD / DATE	16.07.20				
EITEM AGENDA / AGENDA ITEM	10				
TEITL / TITLE SCW/20/10	Diweddariad ar gyfleoedd i gryfhau Lywodraethu Corfforaethol				
AWDUR / AUTHOR	Mick Giannasi, Cadeirydd				
CYFRANIADAU GAN/ CONTRIBUTIONS FROM:	Llinos Bradbury, Uwch Swyddog Llywodraethu				
PAPURAU CEFNOGOL / SUPPORTING PAPERS	Atodiad 1 – Llinell amser ar gyfer gweithredu Atodiad 2 – Cylch Gorchwyl y Pwyllgor Cyflogau Atodiad 3 – Aelodaeth Ddiwygiedig y Pwyllgor Atodiad 4 – Cylch Gorchwyl Grŵp Cydlynu'r Cadeiryddion Atodiad 5 – Proses Weithredu'r Cadeirydd				
GWEITHGAREDD CYNLLUN BUSNES / BUSINESS PLAN ACTIVITY	Thema flaenoriaeth 4: Galluogi Gofal Cymdeithasol Cymru i gyflawni				
GWEITHRED / ACTION REQUIRED	CYMERADWYA ETH / APPROVAL	DARPARU LLYW / PROVIDE A STEER	DARPARU SICRWYDD / PROVIDE ASSURANCE	TRAFODAETH / DISCUSSION	CRAFFU / SCRUTINISE
	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ARGYMHELLIAD / RECOMMENDATION	Gwahoddir aelodau'r Bwrdd i drafod a chymeradwyo : <ul style="list-style-type: none">- Cylch gorchwyl diwygiedig y Pwyllgor Tal- Aelodaeth ddiwygiedig Pwyllgorau- Cylch Gorchwyl Grŵp Cydlynu'r Cadeiryddion- Proses Weithredu'r Cadeirydd.				
PRIF BWYNTIAU; MATERION ALLWEDDOL I DYNNU SYLW	Mae'r adroddiad hwn yn rhoi diweddariad i'r Bwrdd mewn perthynas â: <ul style="list-style-type: none">- Cylch gorchwyl diwygiedig y Pwyllgor Tal				

<p>ATYNT; CWESTIYNAU I'W YSTYRIED</p> <p>MAIN POINTS; KEY ISSUES TO DRAW TO ATTENTION; QUESTIONS TO CONSIDER</p>	<ul style="list-style-type: none"> - Aelodaeth ddiwygiedig Pwyllgorau - Cylch Gorchwyl Grŵp Cydlynu'r Cadeiryddion - Proses Weithredu'r Cadeirydd.
<p>ASESIADAU EFFAITH / IMPACT ASSESSMENTS</p>	

Diweddariad ar cyfleoedd i gryfhau Llywodraethu Corfforaethol

1. Cyd-destun

1.1 Yng nghyfarfod y Bwrdd ym mis Ebrill, cytunodd yr aelodau yn gyffredinol ar y cynigion i'w datblygu er mwyn cryfhau llywodraethu corfforaethol a'r amserlen ar gyfer datblygiad fel y cyfeirir ati yn Atodiad 1.

1.2 Ers y cyfarfod ym mis Ebrill, mae'r Cadeirydd a'r Uwch Swyddog Llywodraethu wedi bod yn gweithio ar ddatblygu:

- Cylch gorchwyl diwygiedig y Pwyllgor Cyflogau
- Aelodaeth ddiwygiedig Pwyllgorau
- Cylch Gorchwyl Grŵp Cydlynu'r Cadeiryddion
- Proses Weithredu'r Cadeirydd

1.3 Mae'r rhain i gyd yn eitemau i'w trafod a'u cymeradwyo fel rhan o'r papur hwn.

Cylch Gorchwyl Diwygiedig y Pwyllgor Tal

1.4 Fel rhan o'r ystyriaeth, cytunwyd, mewn egwyddor, y byddai'r Pwyllgor Tal dod yn Bwyllgor ad hoc sy'n cyfarfod yn ôl yr angen, ond o leiaf unwaith bob blwyddyn. Er mwyn sicrhau bod y gwaith o graffu ar swyddogaethau adnoddau dynol y sefydliad a lles y staff yn parhau, bydd hyn yn dod yn swyddogaeth i'r Bwrdd, gyda gwybodaeth yn cael ei darparu fel rhan o ddiweddariad y cynllun busnes chwarterol a ddarperir i'r Bwrdd. Mae'r cylch gorchwyl diwygiedig yn Atodiad 2 i'w gymeradwyo.

Aelodaeth ddiwygiedig Pwyllgorau

1.5 Yn Arolygon Effeithiolrwydd Pwyllgorau 2019-20, mynegwyd pryderon nad yw nifer yr aelodau ar bob un o'r pwyllgorau yn ddigonol bob amser i alluogi busnes y cyfarfod i gael ei gyflawni yn y ffordd fwyaf effeithiol. Yng nghyfarfod y Bwrdd ym mis Ebrill, cytunodd yr aelodau ar y canlynol:

- gofynnir i bob Aelod eistedd ar ddau bwyllgor (yn hytrach na'r sefyllfa bresennol lle mae rhai yn eistedd ar un ac eraill yn eistedd ar ddau);
- os bydd yr Aelodau'n gwybod eu bod yn mynd i fod yn absennol, gofynnir iddynt weithio gyda'r tîm Llywodraethu Corfforaethol i sicrhau eu bod wedi llwyddo i gael aelod arall i eistedd yng nghyfarfod y Pwyllgor yn eu lle.

1.6 Bydd galluogi nifer uwch o aelodau i fynychu cyfarfodydd Pwyllgor yn arwain at drafodaethau gwell a gwaith craffu mwy effeithiol ym mhob cyfarfod Pwyllgor. O ran dymameg y cyfarfod, bydd hefyd yn gwella'r

cydbwysedd rhwng presenoldeb aelodau a swyddogion a bydd yn galluogi aelodau i gynyddu eu dealltwriaeth o feysydd eraill o waith y sefydliad.

- 1.7 Mae aelodaeth ddiwygiedig y Pwyllgorau yn Atodiad 3 i'w gymeradwyo.
- 1.8 Mae Cadeiryddion y Pwyllgorau wedi cael y dewis i eistedd ar ddau Bwyllgor os yw eu hymrwymiaidau'n caniatáu hynny, gan y byddant, yn amodol ar gymeradwyo hynny, yn mynychu cyfarfodydd Grŵp Cydlynu'r Cadeiryddion ac yn aelodau o'r Pwyllgor Taliadau diwygiedig. Yn unol â llywodraethu da, ni fydd Cadeirydd y Pwyllgor Archwilio a Risg yn eistedd ar bwyllgor arall er mwyn sicrhau didueddrwydd a lleihau'r posibilrwydd o unrhyw wrthdaro buddiannau.
- 1.9 Er mwyn lleihau effaith yr ymrwymiad i fynychu dau bwyllgor i'r aelodau, cynigir y dylai'r pwyllgorau barhau i ddefnyddio'r opsiwn o gynnal cyfarfodydd rhithwir os yw hynny'n briodol.
- 1.10 Bydd sesiwn gynefino ar gyfer aelodau newydd y Pwyllgorau'n cael ei threfnu cyn cylch mis Medi o Bwyllgorau.

Cylch Gorchwyl Grŵp Cydlynu'r Cadeiryddion

- 1.11 Bydd Grŵp Cydlynu'r Cadeiryddion yn gweithio gyda'r Tîm Rheoli Gweithredol i gynllunio a chydlynu cylch busnes y Bwrdd. Ni fydd gan y grŵp unrhyw bwerau i wneud penderfyniadau ond bydd yn hytrach yn goruchwyllo'r cyfathrebu effeithiol rhwng gwaith y Bwrdd a'i Bwyllgor.
- 1.12 Mae'r cylch gorchwyl yn Atodiad 4 i'w gymeradwyo.

Proses Weithredu'r Cadeirydd

- 1.13 Bydd datblygu proses weithredu ffurfiol gan Gadeirydd yn darparu mesurau diogelwch ychwanegol i ddarparu ar gyfer sefyllfaoedd lle caiff penderfyniadau ar lefel Bwrdd eu dirprwyo, neu lle mae angen cymryd camau brys y tu allan i weithdrefnau'r Bwrdd neu'r Pwyllgor arferol.
- 1.14 Mae'r broses yn Atodiad 5 i'w chymeradwyo.

2. Goblygiadau o ran adnoddau

- 2.1 Bydd goblygiadau o ran adnoddau wrth weithredu'r gwelliannau a awgrymir, yn bennaf ar gyfer y Tîm Strategaeth a Llywodraethu Corfforaethol, ond hefyd ar gyfer timau eraill ledled y sefydliad fel y bo angen, megis y tîm Cyfathrebu. Bydd dull gweithredu strwythuredig ar waith wrth fabwysiadu'r gwelliannau er mwyn sicrhau y gellir gwneud hyn o fewn yr adnoddau presennol ledled y sefydliad.

3. Ystyriaethau risg

- 3.1 Ystyriodd y Bwrdd yn y cyfarfod ym mis Ebrill yr opsiynau a awgrymwyd ar gyfer cryfhau llywodraethu corfforaethol a chytunwyd ar y cynigion i'w datblygu fel y nodir yn Atodiad 1. Teimlwyd bod y rhain yn gymesur ar gyfer y sefydliad wrth iddo symud ymlaen.

4. Ymgysylltu

- 4.1 Ymgynghorwyd â phob aelod o'r Bwrdd ynghylch aelodaeth o ba ail Bwyllgor sy'n cael ei ffafrio ganddynt. Mae'r Tîm Rheoli Gweithredol wedi bod yn rhan o'r gwaith o ddatblygu'r dogfennau i'w cymeradwyo fel rhan o'r papur hwn.

5. Effaith

- 5.1 Bydd gweithredu'r newidiadau a awgrymir yn sicrhau ein bod ni fel sefydliad yn dysgu ac yn esblygu o hyd ac yn sicrhau bod ein llywodraethu corfforaethol yn cadw'r sefydliad yn ddiogel, ac yn gweithredu yn unol â'r Fframwaith Llywodraethu Enghreifftiol.

Proposal	2020										2021			
	April	May	June	July	August	Sept	Oct	Nov	Dec	January	Feb	March	April	
1.1 - Develop a Board Assurance Framework														
1.2 Develop and maintain a more structured, more systematic longer-term forward work plan														
1.3 Create a Chair's Co-ordinating Group														
2.1 Adopt a more sophisticated approach to PADR for Board Members.														
2.2 Explore the feasibility of a structured oversight framework														
2.3 Explore the feasibility of a sector oriented 'Board to Floor' process														
2.4 Consider other associate roles in business-critical areas?														
3.1 Explore the value in inviting a workforce representative to sit on the Board?														
3.2 Develop a Board Briefing tool to raise awareness of what the Board does?														
3.3 Utilise rolling action logs for Board and Committees														
3.4 Consider the potential value in taking Board meetings out into the community?														
3.5 Develop a formal Chair's Action process to provide additional safeguards														
4.1 Remuneration and Wellbeing Committee to become an ad hoc Committee														
4.2. Review the existing mechanism for the development and ongoing review of organisational policies.														
4.3 - Board members suggestions														
Opportunities for Board members to share information from their perspective														
Regular / occasional Board meeting with HEIW / CIV														
Summary of key meetings from Chair														
Patient story at the start of a Board meeting														
Members to take responsibility for getting another Board member to stand in at Committee meetings														
Informal away day for the Board														
KEY														
Implement														
Research / further work														
Board to agree TOR														
Not to implement or await outcome of another piece of work														



Gofal Cymdeithasol **Cymru**

Social Care **Wales**

Remuneration and Well-being Committee

Terms of Reference

1. Purpose and Remit

- 1.1 The Remuneration Committee's purpose is to scrutinise and provide advice, guidance and recommendations of remuneration for the Social Care Wales staff and matters relating to the terms and conditions of the Social Care Wales staff and the remuneration of Independent Panel members.
- 1.2 The Committee has been established as a committee of the Board to scrutinise and give support and advice on matters such as:
 - Organisation strategies and policies on the recruitment, retention and management of staff
 - staff pay, terms and conditions
 - regulatory panel members' pay, terms and conditions
 - the recruitment of the Chief Executive.
- 1.3 The Committee's aims are to ensure the organisation: adheres to its own policies and values regarding staff recruitment, management and well-being; adopts best practice as a Welsh Government Sponsored Body employer; and complies with relevant employment legislation.
- 1.4 The Committee has been given authority by the Board to make certain decisions, and the Terms of Reference explains what decisions the Committee can make. However, the Board is still responsible and accountable for all the decisions and actions taken in its name. This means that the Board has the right to change or overturn any decision or action of a committee (or sub-committee) which it feels goes against Social Care Wales policy or which goes against the Board's interests.
- 1.5 The Terms of Reference will be reviewed annually to make sure that they are up to date.

2. Powers and responsibilities of the Committee

- 2.1 The standing orders for Social Care Wales set out how Board and Committee meetings should be run, and the Well-being and Remuneration Committee will also follow those standing orders. It will also follow advice set out in Social Care Wales's Model Governance Framework and Scheme of Delegation, and in *Managing Welsh Public Money*, which tells us how public bodies in Wales should use their money.

3. Responsibilities and Scope

- 3.1 The Committee has been authorised by the Board to:

- give advice to the Chair on matters relating to the review of pay and conditions of the Chief Executive and Directors, and consider the recommendations of the staff annual pay remit in line with Social Care Wales policy
- receive assurances by officers that our policies on pay and terms of service are used consistently when we make decisions
- give advice to the Board on matters relating to the recruitment, retention, discipline and dismissal of the Chief Executive
- review and approve any amendments to the pay, terms and conditions of regulatory panel members
- review and consider all exit related arrangements, including those under the Voluntary Early Release Scheme
- receive a transparency report on any relevant appeals as set out in the Grievance, Disciplinary and Harassment policies and/or Complaints policy that requires involvement by members of the Committee
- Provide independent scrutiny for grievances that may involve the Chief Executive, as Investigating Officer
- take on any other activities if asked to do so by the Board.

- 3.2 So that it can provide assurance to the Board the Committee will receive and comment specifically on matters relating to the terms and conditions of staff to ensure they are in line with the agreed Welsh Government Governance Framework. These include, but are not limited to:

- strategies and policies relating to recruitment, retention and management of staff;
- policies relating to training, development, reward and recognition of staff;
- pay and conditions of service;
- Pay Remits;
- staff benefits and non-pay rewards;
- pensions;
- redundancy, severance and compensation

Authority

- 3.3 The Committee has been authorised by the Board to look into any activity within its terms of reference. To do this the Committee will have the right to inspect any relevant documents, through the Chief Executive of Social Care Wales and will keep staff information confidential. Most information provided by the Chief Executive will be anonymised unless there is a public interest to disclose personal information.
- 3.4 Where relevant, the Board also gives the Committee the authority to receive legal or other independent professional advice, via the Chief Executive, in line with the procurement policy.

4. Role and responsibilities of the Chair

- 4.1 The role of the Chair of the Remuneration Committee is important in making sure the Committee works well and we have provided guidance to help Chairs with this.
- 4.2 The Chair of the Committee will:
- facilitate constructive debate to aid decision making
 - meet with the Accounting Officer (or their representative) to discuss and agree the business for the meeting
 - ensure that minutes are produced for each meeting for information to the Board
 - decide whether any additional reports or items should be prepared from the Committee to the Board and the Accounting Officer on specific issues
 - bring to the Board's attention any significant matters that the Committee is discussing
 - ensure that arrangements are in place to escalate any urgent or critical matters that might affect the operation and/or reputation of Social Care Wales
 - meet any newly appointed members of the Committee as soon as practicable after their appointment to aid their induction
 - meet as required with the Accounting Officer (Chief Executive) and the Chair of the Board
 - report to the Board on the work of the Committee as and when required.

5. Individual roles and responsibility

- 5.1 Members of the Committee are responsible for:
- bringing their experience and knowledge to monitor and review plans, budgets and policies

- providing constructive ideas on how the plans, budgets and policies will meet the aims of the organisation
- carefully monitor management information relating to the plans, budgets and policies
- being open to ideas and work to reach compromises if required
- attending meetings regularly and contributing to work in support of the committee

6. Appointment and Membership

- 6.1 The Committee will be made up of at least four members of the Board of Social Care Wales which will include the Chair of the Board and the Chairs of the Audit and Risk, Improvement and Regulation and Standards Committee.
- 6.2 The members should be independent of Executive Management and free from any business or any relationship that could materially interfere with the exercise of their independent judgement.
- 6.3 The Chief Executive, Director of Corporate Services and Strategy (or their deputy) and HR and Wellbeing Manager will normally attend meetings. The Chair can ask officers to leave the meeting at any time if necessary, however a member of the Corporate Governance team will always remain in the meeting to capture any decisions made or actions for the minutes in the absence of officers.
- 6.4 The Board can also appoint to the Committee additional people with relevant professional expertise as necessary or to provide independence. Membership to the Committee will be agreed by the Chair of the Board.
- 6.5 A minimum of three members of the Committee must attend a meeting to allow the Committee to conduct its business.
- 6.6 The Chair of the Board will act as Chair of the Committee. A deputy chair will be appointed, in line with the standing orders, to deputise in the absence of the Chair of the Committee.
- 6.7 All members of the Committee will be made aware of the business to be discussed at any meeting, even if they are not able to attend.

7. Reporting and Review

- 7.1 The minutes of the meeting will be approved by the Chair of the Committee.
- 7.2 The approved minutes of the meeting will be issued to Board members following Committee meetings through the members' portal; at times there will be a redaction of information due to the sensitive nature of discussions or timings of decisions.

8. Meeting schedule and support to the Committee

- 8.1 The Committee will meet at least once in every year to consider, if relevant, the annual review of the remuneration of staff, including the Chief Executive and Directors and Regulatory Panel members.
- 8.2 The Committee can hold additional meetings to consider other matters within its Terms of Reference, if deemed necessary.

Terms of Reference agreed by the Board on 2020

Proposed Committee membership:

Audit and Scrutiny Committee:	Regulation and Standards Committee:	Improvement Committee:	Remuneration and Wellbeing Committee (as required - members of the Chairs Co-ordinating Group)
Rhian Watcyn Jones (Chair) Emma Britton (Deputy Chair) Carl Cooper Kate Hawkins Trystan Pritchard Daxa Varsani (independent member)	Simon Burch (Chair) Grace Quantock (Deputy Chair) Donna Hutton Joanne Kember Maria Battle Margaret Rooney (CIW) co-opted member	Peter Max (Chair) Damian Bridgeman (Deputy Chair) Abigail Harris Jane Moore Fiona Verity (Swansea University) co-opted member Jonathan Griffiths (ADSS Cymru) co-opted member	Mick Giannasi (Chair) Jo Kember Peter Max Rhian Watcyn Jones Simon Burch
New members	New members	New members	
Abigail Harris Damian Bridgeman Grace Quantock Peter Max	Emma Britton Jane Moore Kate Hawkins Trystan Pritchard	Carl Cooper Donna Hutton Jo Kember Maria Battle	



Chairs' Coordinating Group

Terms of Reference

1. Purpose

- 1.1 The Chairs' Coordinating Group (CCG) purpose is to oversee effective communication between the work of the Board and its Committees, avoiding duplication and ensuring all appropriate business is managed effectively and efficiently through the Governance system.

2. Functions

- To oversee a programme of regular review and evaluation of Board and Committee performance incorporating a range of methods including self-assessment, independent facilitation etc making recommendations to the Board as appropriate.
- To discuss and agree work programmes for the Board, its Committees and the Board Development Days Programme ensuring that the business is properly planned and effectively coordinated.
- To ensure the Board and Committees scrutinise and approve the work of the organisation as noted in the terms of references and standing orders, avoiding duplication where appropriate.
- To review any changes to core governance documentation such as standing orders, standing financial instructions and the scheme of delegation prior to presentation to Audit Committee and the Board.
- To review and agree the annual calendar of meetings for the core governance structure prior to presentation to the Board.
- To review any recommendations emanating from Government directives, inspection bodies, stakeholders or partners that have implications for the governance framework and its operation, functioning and effectiveness and ensure that these are progressed as appropriate.
- To review developing best practice in public sector governance.
- To review the design and development of induction programmes for new Board and Committee Members and ensure delivery of agreed induction which ensures a full, formal and tailored introduction to the work of the organisation.

- To ensure that the membership of the Board's committees is regularly reviewed and refreshed and supports Board succession planning as appropriate.
- To discuss any other business in relation to the effective management of the Board and its Committees not captured above.

3. Reporting arrangements

- Action notes will be shared with the group within 10 working days of meetings.
- Provide appropriate feedback to the Board and its Committees via the respective Chairs of each Committee, together with the Executive Leads and Board Secretary.

4. Membership

The CCG will comprise the following members:

- Chair of the Board (Chair of the CCG)
- Deputy Chair of the Board
- Chair of the Audit and Risk Committee
- Chair of the Improvement Committee
- Chair of the Regulation and Standards Committee
- Chief Executive and / or Director of Corporate Services and Strategy, or a nominated Deputy by the Chief Executive
- Board Secretary

In the absence of a Chair of a Committee the Deputy Chair will be invited to attend.

5. Meetings

Quorum

The quorum for the Group will be three Board members.

Frequency of Meetings

Meetings will be held virtually between each Board and Committee cycle (4 meetings a year).



Chairs Action Process

1. Chair's Action on urgent matters

- 1.1 There may, occasionally, be circumstances where decisions which would normally be made by the Board need to be taken between scheduled meetings, and it is not practicable to call a meeting of the Board. In these circumstances, the Chair and the Chief Executive (who may delegate to a Director), supported by the Board Secretary as appropriate, may deal with the matter on behalf of the Board in consultation with at least two other Board Members. The Board Secretary must ensure that any such action is formally recorded and reported to the next meeting of the Board for consideration and ratification.
- 1.2 Chair's action may either be completed as a paper based consultation or as a virtual meeting dependent on the nature of the decision being taken. If it is paper based then the form in appendix 1 will be completed. If a meeting is required then minutes of the meeting will be taken by the Board Secretary as a record of the action taken.
- 1.3 Chair's action may not be taken where either the Chair or the Chief Executive has a personal or business interest in an urgent matter requiring decision. In this circumstance, the Deputy Chair or the Executive Director acting on behalf of the Chief Executive will take a decision on the urgent matter, as appropriate.

CHAIR'S ACTION

Subject Matter/Title:

Nature of matter to be approved/background:

RECOMMENDATION:

Minute ref/Committee/Date detailing where the matter has been presented prior to seeking Chair's Action:

Reason for Urgency:

Name of Executive Director recommending urgency:

Signature of Executive Director:.....

Names of two Board members who have been consulted

1) Name:(Board Member) I approve/do not approve* the proposed action outlined above.

Comments if any:

Signed..... Date:

2) Name:(Board Member) I approve /do not approve* the proposed action outlined above.

Comments if any:

Signed..... Date:

Chair's Signature

I approve/do not approve* the proposed action outlined above

Signed..... Date:.....

Comments if any

Chief Executive's Signature

(In the absence of the CEO, an alternative Executive Director to the proposing director, considers the proposal, and acts on behalf of the CEO on this matter)

I approve /do not approve* the proposed action outlined above

Signed..... Date:

Comments if any

* please delete as appropriate



CYFARFOD / MEETING	Cyfarfod Bwrdd				
	PREIFAT / PRIVATE		CYHOEDDUS / PUBLIC		
	<input type="checkbox"/>		<input checked="" type="checkbox"/>		
DYDDIAD / DATE	16.07.20				
EITEM AGENDA AGENDA ITEM	11				
TEITL / TITLE SCW/20/11	Covid-19 a'r Strategaeth Gweithlu ar gyfer lechyd a Gofal Cymdeithasol				
AWDUR / AUTHOR	Jon Day, Cyfarwyddwr Cynorthwyol y Gweithlu				
CYFRANIADAU GAN/ CONTRIBUTIONS FROM:					
PAPURAU CEFNOGOL / SUPPORTING PAPERS	Atodiad 1 – Y Strategaeth Gweithlu ar gyfer lechyd a Gofal Cymdeithasol – cynllun ar dudalen Atodiad 2 – Y Strategaeth Gweithlu ar gyfer Gofal Cymdeithasol – crynodeb o gamau gweithredu Atodiad 3 – Alinio'r ymateb i Covid-19 i'r strategaeth gweithlu iechyd a gofal cymdeithasol drafft				
GWEITHGAREDD CYNLLUN BUSNES / BUSINESS PLAN ACTIVITY	Torri ar draws pob rhaglen waith yn y cynllun busnes				
GWEITHRED / ACTION REQUIRED	CYMERADWYA ETH / APPROVAL	DARPARU LLYW / PROVIDE A STEER	DARPARU SICRWYDD / PROVIDE ASSURANCE	TRAFODAETH / DISCUSSION	CRAFFU / SCRUTINISE
	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ARGYMHELLIAD / RECOMMENDATION	Gwahoddir aelodau'r Bwrdd i drafod y papur ac i swyddogion i roi sicrwydd ar y cysylltiadau rhwng y cynllun busnes a'r strategaeth gweithlu, a chytuno bod meysydd blaenoriaeth yn cael eu rhannu ag AaGIC a'u bod yn cael eu trafod â'r Llywodraeth.				
PRIF BWYNTIAU; MATERION ALLWEDDOL I DYNNU SYLW	Mae'r papur hwn yn mapio canlynol yn achos pob un o saith thema'r strategaeth, <ul style="list-style-type: none">• yr hyn sydd wedi cychwyn o ganlyniad i'r pandemig;				

<p>ATYNT; CWESTIYNAU I'W YSTYRIED</p> <p>MAIN POINTS; KEY ISSUES TO DRAW TO ATTENTION; QUESTIONS TO CONSIDER</p>	<ul style="list-style-type: none"> • yr hyn sydd wedi arwain at ddatrysiadau gweithlu newydd sy'n ategu gweledigaeth a nodau'r strategaeth ac sydd wedi'i ymgorffori yn y cynllun busnes ar gyfer 2020/2021 • blaenoriaethau allweddol o'r strategaeth gweithlu yr hoffem gael cytundeb AaGIC arnynt i'w rhannu â Llywodraeth Cymru o ganlyniad i Covid-19
<p>ASESIADAU EFFAITH / IMPACT ASSESSMENTS</p>	<p>Bydd asesiadau effaith yn cael eu cwblhau fel rhan o'r meysydd gwaith unigol wrth iddynt ddatblygu.</p>

Covid19 a'r Strategaeth Gweithlu ar gyfer Iechyd a Gofal Cymdeithasol Drafft

1. Cyd-destun

- 1.1 Ym mis Rhagfyr 2019, cymeradwyodd y Bwrdd '[Strategaeth Gweithlu ar gyfer Iechyd a Gofal Cymdeithasol Cymru Iachach](#)'. Cafodd ei chymeradwyo hefyd gan Fwrdd Addysg a Gwella Iechyd Cymru (AaGIC) ac wedyn fe'i cyflwynwyd i Lywodraeth Cymru i'w hystyried ymhellach, ac i gael cyngor ar ei gweithredu. Hyd yma, nid ydym wedi clywed dim gan Lywodraeth Cymru yn glŷn â chymeradwyo na gweithredu'r strategaeth.
- 1.2 Dangosir y crynodeb o fwriad strategaeth y gweithlu yn Atodiad 1.
- 1.3 Er cyflwyno'r Strategaeth i Lywodraeth Cymru, mae profiadau Covid-19 wedi amlygu meysydd y mae angen eu cryfhau. Mae hyn yn cynnwys, ond heb ei gyfyngu i, llesiant y gweithlu, y gallu i ddeall siâp ein gweithlu, newid y ffordd mae hyfforddiant yn cael ei ddarparu, mynediad at gyfarpar a chyfarpar diogelu personol (PPE) yn ogystal â pharch cydradd rhwng gofal cymdeithasol ac iechyd.
- 1.4 Un o brif nodweddion yr adborth ar strategaeth y gweithlu drafft oedd y syniad o barch cydradd a'r gwahaniaeth ymddangosiadol rhwng iechyd a gofal cymdeithasol. Cafodd hyn ei amlygu ymhellach yng nghamau cynnar y pandemig lle'r oedd staff y GIG yn cael eu clodfori fel arwyr, yn cael cynnig buddiannau sylweddol o fynediad cynnar i siopau, eitemau am ddim a'r 'curo dwylo' ar nos lau. Er bod hyn wedi ei ymestyn yn ddiweddarach i gynnwys cydweithwyr yng ngofal cymdeithasol, roedd yn dangos y gwahaniaethau rhwng y ddau sector.
- 1.5 Mae'r ymateb i Covid-19 wedi arwain at gyflymu arloesi, ymrwymiad, ymroddiad a pharodrwydd i arwain ac i adweithio i newid, ond mae hefyd wedi dangos inni realiti'r meysydd y mae angen eu cryfhau mewn rhai o feysydd ein gweithlu, rhai lle mae angen ymateb brys ond hefyd ystod o gamau y gellir adeiladu arnynt yn awr yn y cyfnod adfer ac yn y pen draw fel rhan o'r strategaeth gweithlu 10 mlynedd tymor hir.
- 1.6 Cafodd gallu Gofal Cymdeithasol Cymru i fod yn fwy hyblyg ac ymatebol i'r argyfwng ar y pryd a'r gallu i ddatblygu a chyflawni'r adnoddau ar y wefan mewn amser mor fyr groeso cynnes gan y sector, gyda'r adnoddau iechyd a llesiant yn parhau i fod ymhlith y mwyaf poblogaidd.
- 1.7 Nid yw perthnasedd y canfyddiadau a'r camau y cytunwyd arnynt yn y strategaeth gweithlu drafft wedi newid, ond mae'r pandemig Covid-19 wedi amlygu cyfleoedd i ddatblygu meddwl ar rai o'r camau allweddol yn gynharach nag oedd wedi'i ragwelid ac maent wedi dangos yr angen am ymateb ar fwy o frys i gynorthwyo'r sector a'r gweithlu.
- 1.8 Mae cyflwyno adnoddau a dulliau gweithio newydd e.e. cerdyn gweithwyr gofal cymdeithasol wedi'u hategu gan ddatblygiad a newid pwyslais rhaglenni gwaith presennol fel Gofalwn Cymru e.e. hysbysebion teledu, porth swyddi ac yn y blaen.

- 1.9 Rydym wedi manteisio ar y cyfle i ailedrych ar y strategaeth a'r camau gweithredu, i sicrhau y byddwn, wrth weithredu'r strategaeth, yn gwneud y gorau o'r hyn a ddysgwyd yn sgil y pandemig hwn. Rydym yn credu bod angen cyflymu ffyrdd newydd o hybu llesiant staff, dulliau gwahanol i ddarparu addysg a hyfforddiant o safon uchel yn ogystal â sut yr ydym yn gweithio ac yn ymgysylltu â'r sector. Mae hyn wedi'i grynhoi yn y tabl yn Atodiad 3. Nid yw hyn yn ystyried gweithgarwch busnes craidd fel cymwysterau, ymarfer sy'n rhoi pwyslais ar ganlyniadau, ac ati.
- 1.10 Cafwyd trafodaeth gynnar ag AaGIC i rannu syniadau a hefyd i rannu ymateb i'r hyn a wnaed yn ystod y pandemig presennol ac roedd yn ymddangos bod cytundeb ar y prif flaenoriaethau sy'n gadarnhad pellach i'r agenda integreiddio.
- 1.11 I gloi felly, rydym yn credu bod y camau gweithredu yn y strategaeth yn briodol ar gyfer y 10 mlynedd nesaf a bod y prif gynlluniau yn ein cylch gwaith a'n hadnoddau cyfredol wedi'u hadlewyrchu yn y Cynllun Busnes ar gyfer 2020/2021.
- 1.12 Rydym yn cydnabod, fodd bynnag, na chafwyd cytundeb ar y strategaeth ddrafft ac nad ydym hyd yma wedi cael cais i arwain y gwaith o weithredu'r strategaeth. O gofio ein profiad drwy ysgrifennu'r strategaeth a thrwy ymateb i faterion pwysig yn ymwneud â'r gweithlu a ddaeth i'r amlwg yn sgil Covid – 19 rydym yn bwriadu ysgrifennu at AaGIC i gynnig cyngor i'r Gweinidog gydag AaGIC ar flaenoriaethau y mae angen gweithredu arnynt ar unwaith. Mae'r rhain yn cynnwys eitemau sy'n ymwneud â: llesiant y gweithlu; arweinyddiaeth dosturiol a chyfunol; gwybodaeth am y gweithlu; addysg a dulliau dysgu; recriwtio a chadw staff.

2. Goblygiadau i adnoddau

- 2.1 Er nad oes dim goblygiadau ariannol uniongyrchol o ganlyniad i'r papur hwn, rhagwelir y bydd gofynion buddsoddi yn gysylltiedig â gweithredu'r strategaeth.

3. Ystyriaethau o ran risgiau

- 3.1 Bydd risgiau sy'n gysylltiedig â phrosiectau a rhaglenni gwaith unigol yn cael eu dangos fel rhan o'r cynlluniau ar gyfer prosiectau unigol.
- 3.2 Y brif risg yw peidio â manteisio ar gynlluniau allweddol a roddwyd ar waith o ganlyniad i bandemig Covid19 a'r perygl o golli momentwm mewn meysydd allweddol fel llesiant, gwella statws y sector gofal cymdeithasol a gweithio tuag at gydraddoldeb rhwng y sectorau gofal cymdeithasol ac iechyd
- 3.3 Heb strategaeth gweithlu y cytunwyd arni mae perygl na allwn gyflawni'r brif uchelgais mewn ffordd gydlynus ac integredig ar draws gofal cymdeithasol ac iechyd.

4. Ymgysylltu

- 4.1 Hyd yma mae ymgysylltu i ad-drefnu blaenoriaethau o fewn strategaeth y gweithlu wedi'i gyfyngu i drafodaeth gychwynnol â swyddogion yn AaGIC.
- 4.2 Bydd ymgysylltu yn allweddol i'r rhan fwyaf os nad i bob un o'r prosiectau unigol sy'n rhan o'r cynllun busnes ond nid yw'r manylion wedi'u cwblhau eto.

5. Effaith

- 5.1 Bydd asesiadau effaith unigol yn cael eu cynnal ar gyfer pob prosiect wrth iddynt gael eu cadarnhau.

The Ambition – 2030

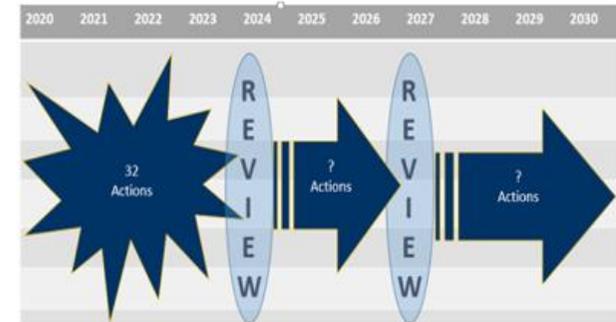
To have a motivated, engaged and valued Health and Social Care workforce with the capacity, competence and confidence to meet the needs of the people of Wales



What will be different

- Our workforce feels valued, is treated fairly and their wellbeing is supported
- Workforce language, culture and diversity reflects our population
- Potential shortage areas are known earlier and targeted effectively
- Widespread values based and inclusive recruitment ensures we have the right people
- Common competences are identified and underpin new and different ways of working
- Learning is delivered through flexible and accessible routes
- Widespread digital skills capability underpins care delivery
- National bi-lingual careers service is widening access to careers in health and care for all ages

Implementation



What success will look like

- Very high levels of staff engagement, motivation, wellbeing and satisfaction
- Better recruitment and retention of staff through attractive and flexible working arrangements and career opportunities
- Increased levels of Welsh language skills in the health and care workforce
- Flexible education opportunities and career development
- Intelligence led workforce planning enabling us to change our workforce to meet our population need
- A compassionate culture, role modelled by excellent leaders and managers

The Legislative Framework

Engagement & Consultation – what we heard

A HEALTHIER WALES: OUR WORKFORCE STRATEGY FOR HEALTH AND SOCIAL CARE

	ACTION	DESCRIPTOR
	1. Introduce a Health and Wellbeing Framework across the health and social care workforce setting clear and measurable standards to help drive improvement.	<i>This will be co-produced with employers, trade unions, staff and students, including groups from protected characteristics and based on exemplary practice from other sectors.</i>
	2. Introduce a 'Staff Governance' Framework setting out expectations for both employers and employees to drive positive employee experience and improved quality.	<i>This is based on the <u>model in place in Scotland</u> which enshrines social partnership and is underpinned by legislation. It will represent a system of corporate accountability for a fair and just culture and effective management of all staff. It will encompass a range of key areas including information and communication, Welsh language, training and development, partnership approaches, equality and diversity, health and wellbeing, and holding people to account. This doesn't just include the statutory sector but is reflected through commissioning arrangements with the private and voluntary providers. The staff governance framework will be developed in partnership with professional and staff organisations, and it will drive all policies that affect the workforce.</i>
	3. Work towards fair reward and recognition across the health and social care workforce.	<i>This will take account of the <u>Report of the Fair Work Commission (2019)</u> and <u>Is Wales Fairer? (2018)</u>.</i>
	4. Implement a consistent approach to monitoring and measuring employee experience through health and social care staff surveys.	<i>This will include an ongoing engagement index score that enables us to capture staff experience across different settings, professional groups and protected characteristics.</i>
	5. Incorporate a set of workforce wellbeing and engagement measures in the performance framework for	<i>This should include quality of leadership, staff engagement, bullying and harassment.</i>

ACTION		DESCRIPTOR
	organisations, and the broader health and social care system.	
Attraction & Recruitment	6. Establish a National Careers Service for health and social care which promotes all roles and reaches out to all parts of the community and workforce.	<i>This will be a bilingual service which will build on current approaches and be supported by a comprehensive marketing campaign and single branding for the full range of occupations, professions and roles across health and social care</i>
	7. Review and develop targeted schemes for a) significant shortages in professional and occupational groups and hard to recruit areas including medicine, domiciliary care, social work and nursing (<i>linked to action 31</i>) b) under-represented groups	<i>This will include identified protected characteristics including Welsh language considerations, rural and remote areas, incentives, bursaries and international recruitment.</i>
	8. Implement a modern values based bi-lingual recruitment approach for all health and social care staff.	<i>This will be based on best practice and supported digitally with recognition of socio-economic impacts to ensure a streamlined, speedy, efficient, smooth, accessible, inclusive recruitment approach and excellent experience for new employees.</i>
Seamless Working Models	9. Develop a multi-professional workforce plan to support implementation of the new primary and community care workforce model (Strategic Programme for Primary Care).	<i>This will encompass the education and training needed to sustain innovation and improvement in primary care, as well as the development of improved workforce intelligence, modelling and implementing cross sector competence frameworks</i>

ACTION		DESCRIPTOR
10	Develop a multi-professional workforce plan to support implementation of Together for Mental Health.	<i>This will encompass all age ranges and protected characteristics aligning with the models of care and standards of service needed in the future. This will also take account of the roles of private and voluntary provider services, volunteers and carers as well as statutory services.</i>
11	Translate the workforce models being developed through Regional Partnership Boards into a good practice guide for integrated working.	<i>This will draw on the innovation being developed at local level and accelerate the transformation process by ensuring it leads to fundamental and sustainable changes in the workforce. This will include private and voluntary provider services, volunteers and carers.</i>
12	Develop a clear competence and capabilities framework for extended skills and advanced practice across professional groups.	<i>This will support staff to have more flexible career pathways and will support organisations to have a clearer understanding of what they can expect from each level of practice. This will, in turn, allow recognition of the contribution of each staff group, and in bringing together multi-disciplinary teams, reduce constraints by historic protocols or prescriptions for practice.</i>
13	Implement a values based, common induction programme for all of our workforce who deliver health and social care in primary and community settings.	<i>This will be based on the results of the current pilot in the Hywel Dda area and will be made accessible to private and voluntary provider services, volunteers and carers where appropriate.</i>
14	Work with partners to harmonise governance, regulation and registration arrangements to facilitate multi-professional working.	<i>One of the key priorities will include the support workforce, considering statutory registration mechanisms for current non-registered, or voluntary registered staff. It will also be important to influence the regulation agenda at a UK level, alongside the other nations, to encourage a more streamlined and unified approach in the future across the Health Professions Regulators and Social Care Wales as a Social Care Regulatory body.</i>
15	Implement a “Building a Digitally Ready Workforce Programme” focused on enhancing the digital	<i>This will require the development of a digital capabilities framework and will be undertaken on a partnership basis with staff organisations and professional bodies.</i>

ACTION		DESCRIPTOR
	literacy and confidence of the wider health and social care workforce in Wales.	
16	Commission consistent digital aspects as part of all undergraduate curricula for health and social care professionals.	<i>This will align with the previous action so that there is a consistent approach to digital capabilities; with consideration needed in relation to the socio-economic constraints and the physical / learning requirements of all learners.</i>
17	Implement a requirement for all digital transformation projects and programmes to include a clear organisational development plan.	<i>This will require the development of organisational development plans to deliver the cultural change required when integrating digital, workforce and service developments.</i>
18	Work with education providers to ensure education meets the needs of the health and social care system, and includes programmes delivered through the medium of Welsh.	<i>This will need to include pre-registration programmes, continuing professional development programmes and opportunities to deliver programmes through the Welsh language.</i>
19	Work with education providers to support the workforce to develop and/or improve Welsh language skills.	<i>This will need to include support for health and social care students and our existing and future workforce to learn welsh, enhance existing skills and build confidence to use these skills.</i>
20	In partnership with Higher Education Institutions, implement changes to the content of curricula and flexibility of provision for undergraduate programmes to meet future needs and delivery modes, stipulating inter professional education, placement requirements for common	<i>This will need to reflect skills such as leadership (inclusive of positive action schemes), quality improvement, prevention, co-production, academic and research skills.</i>

Excellent
Education &
Learning

	ACTION	DESCRIPTOR
	competences, and language requirements.	
21	Continue to invest in increasing the numbers of health and social care professionals who are trained in Wales, with a focus on value.	<i>This will be informed by the increased sophistication of workforce intelligence, value based investment and underpinned by a clear quality and equality management framework across all professional and occupational groups.</i>
22	Widen access into health and social care careers by developing the work-based learning model.	<i>This will be designed to support apprenticeships and “grow your own” approaches, especially from under-represented groups and people with disabilities, with more flexible and more local training pathways in health and social care, and opportunities to recognise prior learning and experience.</i>
23	Develop a clear and equitable funding and commissioning model for health and social care education including undergraduate education, apprenticeships and vocational education.	<i>This will need to take into account views of students, service users, education providers and education commissioners.</i>
24	Develop a clear strategy for Continuing Professional Development (CPD) across professional and occupational groups.	<i>This will increase the proportion of inter-professional learning and consider appropriate funding models. The strategy will need to work towards an equitable approach across professions based on the specific needs of their roles.</i>
25	Develop a strategy to frame a consistent approach to compassionate leadership in health and social care in Wales.	<i>This will articulate clear expectations and actions for leadership across the system. This is linked with the actions in Theme 1 in particular, where people’s protected characteristics, physical and mental wellbeing are maximised and in which choices and behaviours that benefit future health and wellbeing are understood.</i>
26	Establish an accessible range of leadership development resources	<i>This will be supported through a digital portal and other accessible formats; hosting leadership resources, signposting to local and national leadership opportunities including positive action schemes, supporting social networking and promoting</i>

Leadership and Succession

Workforce Supply & Shape

	ACTION	DESCRIPTOR
	and programmes for individuals and organisations.	<i>experiential learning opportunities. We will develop a range of inclusive leadership implementation and assessment tools to support organisations embed the leadership strategy.</i>
27	Develop a talent management pipeline for leadership roles.	<i>This will be supported by core role descriptions, inclusive access to appropriate development programmes opportunities and alumni networks.</i>
28	Create a centre of excellence for workforce intelligence for health and social care in Wales.	<i>This will use high quality standardised data sets, analytical methods and sophisticated modelling techniques to support workforce planning, development and productivity. This will facilitate benchmarking and opportunities to improve efficiency.</i>
29	Build capacity and capability in workforce planning and development across health and social care, underpinned by a standardised, methodology.	<i>This will be based on a six step inclusive methodology for workforce planning across health and social care.</i>
30	Develop workforce planning guidance for Welsh language skills identification and development in the health and social care workforce.	<i>This will be used to implement the Welsh language Skills Strategy and inform our workforce supply.</i>
31	Develop workforce plans for key professional and occupational groups, in the first instance; Nursing, Domiciliary care, Social Work, Medicine	<i>These plans will bring together the actions described in the other themes to focus specifically on short to medium term improvements in these shortage areas and maximise opportunities to engage underrepresented groups. The plans will be built on a review of what we need from these roles in the future, rather than focusing on what these roles have been in the past. These plans will reflect guidance and standards on inclusivity, quality and safety, efficiency and productivity.</i>
32	Commission a programme of work to understand the contribution of	<i>This will help us to understand the volume and shape of this workforce so that we can plan our workforce more effectively and support them in their roles. We will work with</i>

ACTION		DESCRIPTOR
	volunteers and carers to inform future workforce plans.	<i>the Third Sector Support Wales and others to develop the potential of volunteering to support health and care in Wales through programmes such as Helpforce.</i>

The following table shows the areas of work that are currently being undertaken in 2020/2021 either as a direct response to Covid-19 or as part of the planned recovery phase to the pandemic. They are categorised against the 7 themes of the draft health and social care workforce strategy and represent key areas that are within our remit to progress and therefore contained within the 2020/2021 business plan.

The new areas of work linked to the workforce strategy such as the employers liaison service, the wellbeing framework, digital learning solutions and workforce plans for both the direct care workforce and social work profession, will focus on scoping out the options and opportunities with a view to using this intelligence to assist with zero based budgeting in readiness for 2021/2022.

Within this there will inevitably be areas of joint working with health e.g. the final stages of the induction pilot in Hywel Dda, mental health workforce plan and the area of leadership development. However there are still some significant gaps where integration was clearly identified in the actions of the draft strategy particularly around seamless models of working. Equally whilst we are progressing certain areas such as careers and workforce data, other examples of opportunities to work ambitiously across health and social that are not being exploited include:

- National Careers Service
- Joint workforce data intelligence centre of excellence
- Developing common standards across both education programmes and post qualifying development

Lastly there is one key area of action identified in the draft strategy around fair reward which it is assumed will be picked up by the Fair Work forum but the current pandemic has undoubtedly brought this particular challenge further into focus and can be seen as fundamental in addressing the challenges facing the workforce

Theme of the workforce strategy	Covid19 Response	Business plan response
An Engaged, Motivated & Healthy Workforce	<ul style="list-style-type: none"> ➤ Our approach to dealing with FtP and concerns during this time ➤ Social care worker card – including production, and distribution ➤ Producing guidance and resources on well-being ➤ Member of the Health and Social care Covid-19 Wellbeing group (now disbanded) ➤ Established social care wellbeing group 	<ul style="list-style-type: none"> ➤ Introduce a health and wellbeing framework in line with the learning of the workforce strategy ➤ Establish employer liaison service ➤ Scope out requirements for digital improvements to SCW online which support registered persons training and learning. ➤ Review and implement reformed Fitness to practice procedures

		<ul style="list-style-type: none"> ➤ Make the transition from care worker card to registration card by 2021
Attraction & Recruitment	<ul style="list-style-type: none"> ➤ Expanding WeCare Wales campaign to enable individuals interested in a career in care to view live job vacancies via a jobs portal ➤ WeCare Wales TV advert as a thank you to the sector but also raising awareness of the social care sector ➤ Producing guidance on safe recruitment 	<ul style="list-style-type: none"> ➤ Enhanced website to include recruitment site with basic pre-employment training ➤ Further TV advertising campaigns
Seamless Working Models	<ul style="list-style-type: none"> ➤ Pilot of joint induction framework ➤ Implementation of Level 2 & 3 Qualifications 	<ul style="list-style-type: none"> ➤ Mental Health Workforce plan being discussed with Welsh Government and HEIW colleagues
Building a Digitally Ready Workforce	<ul style="list-style-type: none"> ➤ Section on the Covid-19 signposting digital training modules and courses for social care workers ➤ Survey of the workforce managers to establish changes to approach in delivering digital learning solutions 	<ul style="list-style-type: none"> ➤ Develop a digital learning and network approach to enable ongoing skills and learning development ➤ Maximise our digital offer across all of our business
Excellent Education & Learning	<ul style="list-style-type: none"> ➤ Reviewing the impact of Covid-19 on current and future Social Work students ➤ Re focus (if required) financial support for training and development ➤ Develop one stop shop of curated expert guidance on Covid-19 ➤ Working with consortium on vocational qualifications to support assessment and observations during Covid-19 	<ul style="list-style-type: none"> ➤ Refocus of funding for education and learning including SCWWDP grant and bursaries

Leadership and Succession	<ul style="list-style-type: none"> ➤ Adapted approach to our leadership programmes to support virtual delivery ➤ Alternative route for registration of managers, supporting career progression 	<ul style="list-style-type: none"> ➤ Support progression of collective and collaborative leadership approaches
Workforce Supply & Shape	<ul style="list-style-type: none"> ➤ Undertake emergency registration of social workers who previously left the register ➤ Extend period domiciliary care workers have to register from 6 to 12 months ➤ Bring forward revised requirements for Manager registration, making it easier for providers ➤ Guidance for volunteering in social care settings 	<ul style="list-style-type: none"> ➤ Drive use of research and intelligence in planning and service design ➤ Develop a social care data strategy including revised approaches to workforce data collection and analysis ➤ Development of a workforce plan for Social Work ➤ Development of a workforce plan for direct care workforce