

## Bundle Audit & Risk Assurance Committee 27 August 2019

4.3

WAO Integrated Care Fund (ICF) Review

*Presenter: WAO/Sarah Jennings*

[Integrated Care Fund Report \(English\)](#)

[Integrated Care Fund Report \(Welsh\)](#)

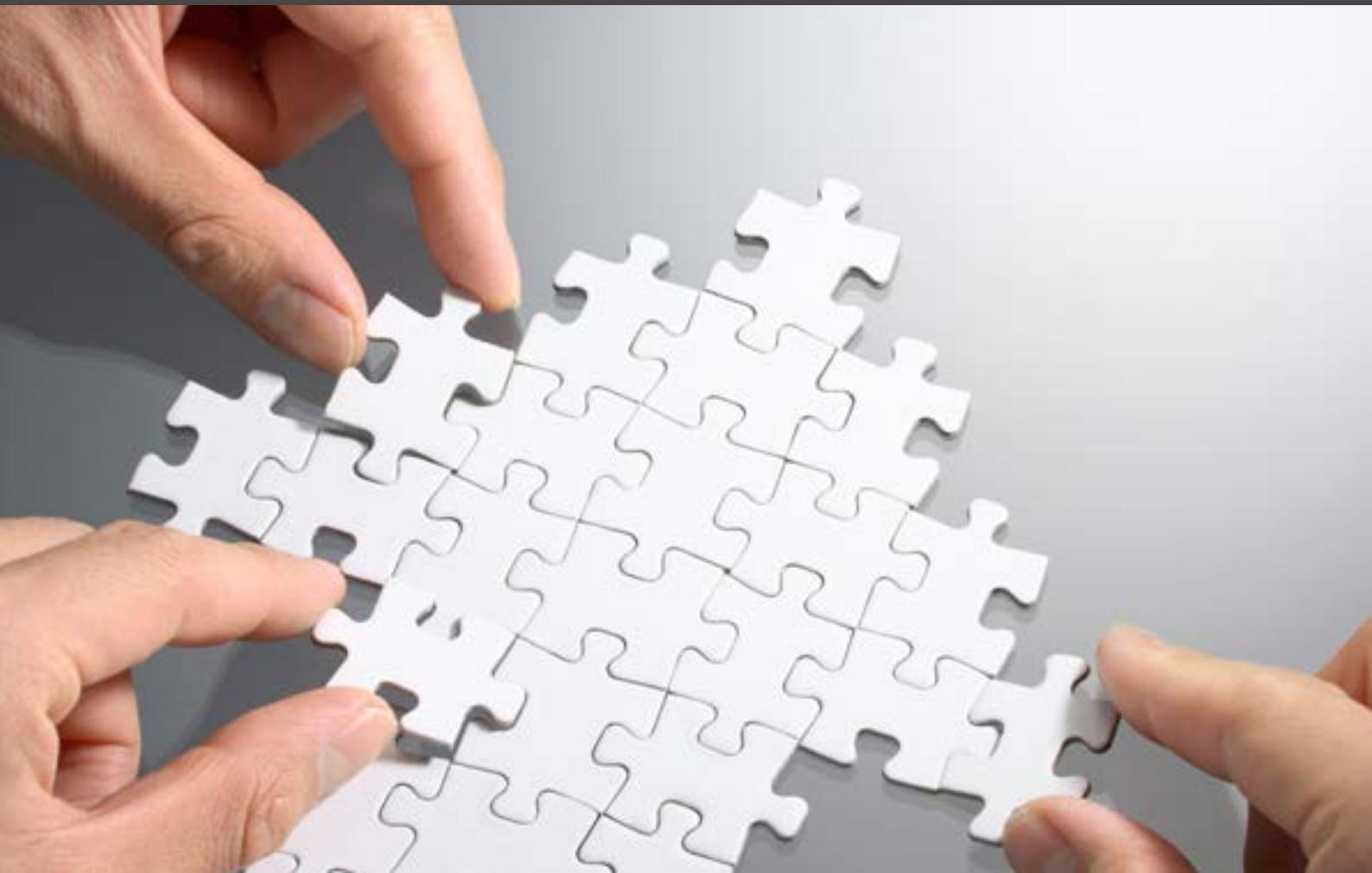
[West Wales Regional ICF Report \(English\)](#)

Archwilydd Cyffredinol Cymru  
Auditor General for Wales

# Integrated Care Fund



WALES AUDIT OFFICE  
SWYDDFA ARCHWILIO CYMRU



This report has been prepared for presentation to the National Assembly under the Government of Wales Acts 1998 and 2006, and the Public Audit (Wales) Act 2004.

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**Mae'r ddogfen hon hefyd ar gael yn Gymraeg.**

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# Summary report

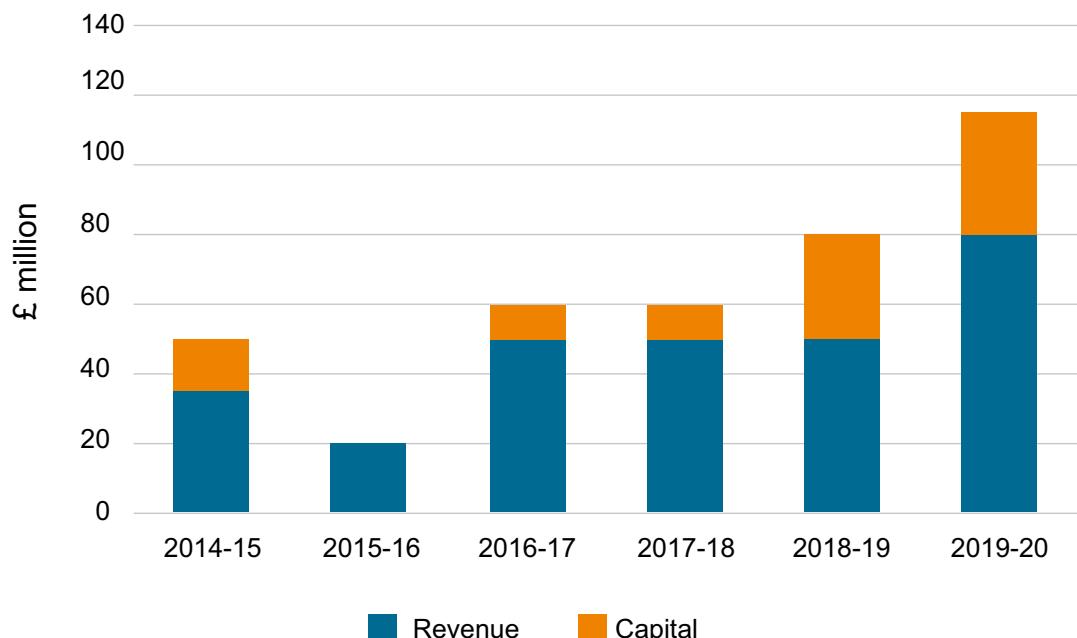
## Summary

- 1 The Integrated Care Fund (the fund) is allocated by the Welsh Government across Wales. The aim of the fund is to drive and enable integrated working between social services, health, housing and the third sector and independent providers to develop sustainable services.
- 2 The Welsh Government first established the fund on a one-year basis for 2014-15 (as the Intermediate Care Fund<sup>1</sup>). At that time, the Welsh Government focused the fund on supporting older people and helping to avoid unnecessary hospital admissions, or inappropriate admission to residential care. It also focused on preventing delayed discharges from hospital and reducing the rates of delayed transfers of care.
- 3 After some continued funding in 2015-16, the Welsh Government extended the scope of the fund for 2016-17 to include:
  - a children and adults with complex needs;
  - b children and adults with learning disabilities; and
  - c the Integrated Autism Service ([Exhibit 2](#)).
- 4 In 2017-18, the Welsh Government extended the scope of the fund again to include carers (of all ages), and the Welsh Community Care Information System<sup>2</sup> ([Exhibit 2](#)).
- 5 Since the inception of the fund, the Welsh Government has made a total of £270 million available up to March 2019. Except for 2015-16, there have been both capital and revenue-based allocations each year ([Exhibit 1](#)). For 2019-20, the Welsh Government has increased the capital allocation to £35 million. The revenue allocation has increased to £80 million, resulting in a total fund allocation of £115 million.

<sup>1</sup> In 2017, the Welsh Government changed the name to the Integrated Care Fund to better reflect its aim of driving integrated working.

<sup>2</sup> As part of our wider programme of work, we are taking forward a separate examination of the implementation of the system.

## Exhibit 1: total funds available between April 2014 and March 2020



Note: Revenue funding supports spending on staffing and administrative expenses. Capital funding supports purchasing and improving assets, including land, buildings, equipment and vehicles.

Source: Wales Audit Office analysis of Welsh Government guidance.

- 6 The Welsh Government distributes the fund across Wales to the seven Regional Partnership Boards (RPBs)<sup>3</sup> based on a range of funding principles<sup>4</sup>. The RPBs, aligned geographically with the seven health boards ([Appendix 2](#)), are responsible for overseeing and managing the use of the fund in their area. The health boards receive the funds and act as the banker on behalf of the respective RPB. [Appendix 3](#) provides a breakdown of how the Welsh Government has allocated the fund across the RPBs in the period from April 2014 to March 2019.

3 The **Social Services and Well-being (Wales) Act 2014** established RPBs in 2016. RPBs are responsible for ensuring that partner organisations work effectively together to identify needs within the regions' population (a population assessment). They are also responsible for developing and managing an area plan to address those needs.

4 The Welsh Government allocates the fund across the different strands of the programme, some of which is held centrally for the national initiatives. Funding focused on older people is allocated based on the 'Townsend' formula which is also used for the wider allocation of NHS Wales resources to health boards. Funding focused on children, and adults with learning disabilities, is based on a prescribing formula. Although a priority group, there is no discrete funding for carers.

- 7 The fund can support new initiatives (or projects), as well as the extension of existing initiatives to a broader area. The Welsh Government's intention is that successful initiatives are sustained but mainstreamed into organisations' core business and supported by other funding streams.
- 8 RPBs must use the fund in line with Welsh Government guidance. The RPBs approve revenue projects. They then submit an annual Revenue Investment Plan to the Welsh Government setting out how the fund will be used. The RPBs submit proposals for the use of capital funds to the Welsh Government for approval. The RPBs must demonstrate how the proposed projects complement key policies/legislation, including the Social Services and Well-being (Wales) Act 2014 and the Well-being of Future Generations (Wales) Act 2015.
- 9 **Exhibit 2** sets out some examples of funded projects. **Appendix 4** provides further information about the number and scale of projects supported across Wales between April 2014 and March 2019.

## Exhibit 2: examples of funded projects



### **'The Bay' Reablement Unit – (Cardiff and Vale RPB)**

'The Bay' is a six-bed unit providing a bridge between hospital discharge and home for those who require additional time in a supportive environment to maximise their independence.



### **'Stay Well @ Home' – (Cwm Taf RPB)**

'Stay Well @ Home' is a range of services developed to help keep people well and independent at home and prevent admission to hospital. Services include the Community Integrated Assessment Service, the Community Ward, Community Intra Venous Therapy and Reablement.



### **Multi Agency Placement Support Service (MAPSS) – (Western Bay RPB)**

The regional MAPPS helps looked-after children with, or at risk of, mental illness and/or emotional and/or behavioural difficulties, by providing specialist placement support.



### **Egwyl Fer (Short Breaks) – (North Wales RPB)**

This initiative developed and enhanced the provision of Short Breaks for disabled children with complex needs and/or learning disabilities. This initiative offers a variety of short-break options to meet the needs of children, young people, and their families following multiagency assessments.



### **The Social Zone Café – (West Wales RPB)**

‘Caffi Man Cwrdd’ or ‘The Social Zone Café’ is a supported employment café which provides work experience, training and employment opportunities in catering, food and customer service for people with learning disabilities in Pembrokeshire.



### **Return to Home – (Powys RPB)**

The Return to Home project supports people with learning disabilities to lead meaningful and valued lives within their own communities. The project has supported the development of assessment processes to support people to relocate back to Powys and has included the construction of a six-bed unit in Welshpool.



### **Supporting life alongside caring – (Greater Gwent RPB)**

To help support life alongside caring and respite, the partnership has developed a Small Grants Scheme for carers. The aim is to support carers in different aspects of their caring role. The Carers Trust runs the scheme on behalf of the region. The scheme is open and accessible to all carers over the age of 16.

### **Integrated Autism Service – (all RPBs)**



(IAS)

The Integrated Autism Service is part of the Welsh Government's commitment set out in its refreshed Autistic Spectrum Disorder Action Plan to improve services for individuals identified as autistic, and their families and carers. Rolled out across the regions over the three-year period 2016-17 to 2018-19, the service provides adult diagnostic assessment, support and advice.



(WCCIS)

### **Welsh Community Care Information System – (all RPBs)**

The Welsh Community Care Information System is a computer system designed to help health and social care professionals work together to provide care closer to people's homes. The system is being rolled out across Wales over a three-year period starting from 2017-18.

Source: Wales Audit Office analysis of RPB monitoring returns to the Welsh Government.

- 10 On behalf of the Auditor General for Wales, we have examined whether the fund is being used effectively to deliver sustainable services that achieve better outcomes for service users. We have focused on whether the Welsh Government is effectively managing the fund to deliver against its intentions, as well as understanding whether RPBs are demonstrating effective use of the fund. We also considered whether the projects supported by the fund are making a clear difference at a local level.
- 11 **Appendix 1** sets out our audit methods, which included a survey of RPB members and leads of projects supported by the fund. **Appendix 5** provides more detail about responses to our surveys. We provided feedback about regional arrangements to each of the RPBs in autumn 2018. We also provided feedback on our emerging findings to the Welsh Government. We note in the main body of this report where the Welsh Government has already acted to address the issues we identified.
- 12 In 2015, we published a report<sup>5</sup> on the independence of older people. In that report, we made a recommendation to local authorities, health bodies, third-sector partners and the Welsh Government in relation to the fund. **Appendix 6** sets out our assessment of progress against that recommendation.

5 Auditor General for Wales, **Supporting the Independence of Older People: Are Councils Doing Enough?** October 2015.

- 13 Overall, we have concluded that the fund has had a positive impact, supporting improved partnership working and better integrated health and social care services. However, aspects of the way the fund has been managed at national, regional and project levels have limited its potential to date. There is little evidence of successful projects yet being mainstreamed and funded as part of public bodies' core service delivery.
- 14 **The fund has helped to bring organisations together to plan and provide services.** Partnerships between health and social care bodies have been around for some time but integrated working prior to the fund was limited. The fund has provided an impetus for partners to develop integrated services and to move to joint funding arrangements in the context of wider policy and legislation. The feedback we received from RPB members and project leads reflected generally positive views in this regard.
- 15 **Aspects of the way funding has been allocated by the Welsh Government and used by regional partners have limited the potential of the fund to date.** The changing and expanding scope of the fund has created challenges for RPBs. Despite attempts by the Welsh Government to provide early information, the late issuing of guidance and notification of allocations has previously created difficulties for regional planning with knock-on impacts on the approval of capital bids and the subsequent allocation of funds. In addition, the annual nature of the fund in its early years has also led to a short-term approach, rather than promoting strategic planning of longer-term changes. The Welsh Government is taking steps to address the annual nature of the fund and issued the 2019-20 guidance in a timelier way.
- 16 RPBs can find it difficult to balance local population needs with the Welsh Government's indicative allocations for target groups. Other short-term funding streams from the Welsh Government focusing on the same target groups, but with differing criteria, also make it difficult for RPBs to take a combined approach. The RPBs use their allocations in different ways, not all of which have supported a regional focus. The Welsh Government has re-emphasised its desire for regional approaches in the 2019-20 guidance and as part of its scrutiny of investment plans. Other variations include the approach to funding central co-ordination, third-sector involvement and the approach to agreeing projects, with limited sharing and learning of the approaches used across Wales.

- 17 **Governance arrangements for the fund need to be further developed to strengthen central oversight and ensure greater consistency across the regions.** The Welsh Government has established governance arrangements for the fund. However, we found that through its project board, and in general terms, the Welsh Government could do more to consider how its own actions impact on regional partners and integrate funding streams. The Welsh Government's staffing capacity to support regular and timely oversight of the fund has also been limited. The Welsh Government has already made some changes to respond to these issues.
- 18 At a regional level, RPBs frequently delegate responsibility for the fund to an RPB sub-group. Each of the RPBs has in place a memorandum of understanding setting out their agreed decision-making process. However, our work has identified that there is very little scrutiny of the decisions made by the RPBs by health boards and local authorities, with a general lack of awareness across those organisations about how the fund is being used. At a project level, the rigour of project management varies between regions and organisations, and few projects involve service users at the outset.
- 19 **Despite positive examples, the overall impact of the fund in improving outcomes for service users remains unclear, with little evidence of successful projects yet being mainstreamed.** RPBs identify a range of positive case studies but the Welsh Government's central monitoring arrangements do not yet provide a basis on which to assess the fund's overall impact. RPBs undertake quarterly monitoring of projects but the information gathered has tended to focus on the outputs from the funding rather than outcomes for service users. The Welsh Government and the RPBs recognise the need to strengthen outcome reporting and the Welsh Government intends to commission some wider evaluation work having decided to postpone a previously announced evaluation given the plans for our own work. In addition, the Welsh Government intends to publish an annual report on the use of the fund in 2018-19 by September 2019.
- 20 There is little evidence that successful projects have been mainstreamed and funded as part of public bodies' core service delivery. RPBs have found it difficult to convince partner organisations to invest in projects, not helped by a lack of project evaluations but also in the context of wider funding pressures. The Welsh Government recognises the challenges that RPBs face in mainstreaming but has not previously provided any detailed guidance. The guidance for 2019-20 does now include a clear expectation that revenue investment plans include exit strategies for each project. However, further practical support would be helpful, building on an existing annual shared learning event.

## Recommendations

21 Our recommendations are intended to help support the Welsh Government and the RPBs improve the arrangements for managing the fund. However, they may also be relevant to other Welsh Government funding streams, such as the NHS Transformation Fund<sup>6</sup>. In addition, we consider the recommendations that we made in our 2015 report on the independence of older people remain relevant ([Appendix 6](#)). Our feedback to RPBs on regional arrangements identified areas for improvement specific to individual regions to address local issues.

### Recommendations

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#### Timeliness of guidance and decision-making

R1 We recommend that the Welsh Government:

- keeps under review whether the earlier issuing of guidance has mitigated the issues raised in previous years in relation to the timeliness of decision-making in respect of project funding; and
- considers whether any further improvements in the process can be made.

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#### Multiple short-term funds available for health, social care and housing

R2 Building on previous mapping work, we recommend that the Welsh Government review all the short-term funding streams available to health, social care and housing partners and the respective criteria and, where practical, makes appropriate changes to:

- minimise duplication;
- ensure that the purpose of the funding streams are complementary and that the collective allocations for specific groups of people align with the local population needs, as well as the Welsh Government priority areas; and
- ensure that the regional partner organisations, where relevant through the RPBs, can take a combined approach to the use of the funding streams available to them.

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6 The Welsh Government's NHS Transformation Fund 2018-2020 must be used towards achieving the commitments made in **A Healthier Wales: our Plan for Health and Social Care**, June 2018.

## **Recommendations**

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### **Project board arrangements**

R3 We recommend that the Welsh Government further strengthens its governance arrangements for the fund by reviewing the membership of its project board to include representation from outside of the departments directly involved in the fund to provide some independent challenge.

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### **Regional Partnership Board scrutiny arrangements**

R4 We recommend that the Welsh Government works with NHS bodies and local authorities to ensure that appropriate scrutiny arrangements are in place for decisions made by the RPBs on behalf of those bodies.

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### **Project monitoring**

R5 We recommend that the Welsh Government works with RPBs to:

- agree key outcome measures which are expected to be achieved, and monitored, for the different target groups in receipt of the fund. Where possible, these measures should align to wider outcome measures set out in national outcome frameworks already in place;
  - make clear how the information gathered is used centrally; and
  - streamline the reporting requirements for revenue and capital projects, where practical to do so.
- 

### **Shared learning and mainstreaming projects**

R6 We recommend that the Welsh Government increases its support for shared learning across the RPBs with a particular focus on:

- approaches to managing the fund, in the context of the variation highlighted in this report; and
  - overcoming challenges to mainstreaming successful projects.
-

## Part 1

The fund has helped to bring organisations together to plan and provide services



## Health and social care partnerships have been around for some time but integrated working prior to the fund was limited

- 1.1 Health and social care partnership forums have existed for some time. In 2003, the Welsh Government required key public bodies to work together to set out how they would meet the needs of their local populations in a health, social-care and wellbeing strategy for their local area<sup>7</sup>. To drive this agenda forward, public bodies established partnership forums (or steering groups) across the different areas. These forums were established on the footprint of the 22 local authorities working with the 13 NHS trusts and the 22 local health boards that existed at that time. Following NHS reconfiguration in 2009, the integrated health and social-care partnership forums started to merge, forming seven partnership forums. Those partnership forums provided the basis of the RPBs that are in place today.
- 1.2 The previous partnership forums had no statutory basis. The only requirement that the Welsh Government placed on the partnership bodies was to produce the local health, social-care and wellbeing strategy. Partnerships explored the potential to pool funds to develop integrated services that would support the delivery of their local strategies. However, there were only a handful of Section 33 agreements<sup>8</sup> or jointly funded posts or services prior to the introduction of the fund in 2014. The willingness of key public bodies to release funds into joint arrangements was a key barrier.

<sup>7</sup> Welsh Assembly Government, **Health, Social Care and Well-being Strategies, Policy Guidance**, February 2003.

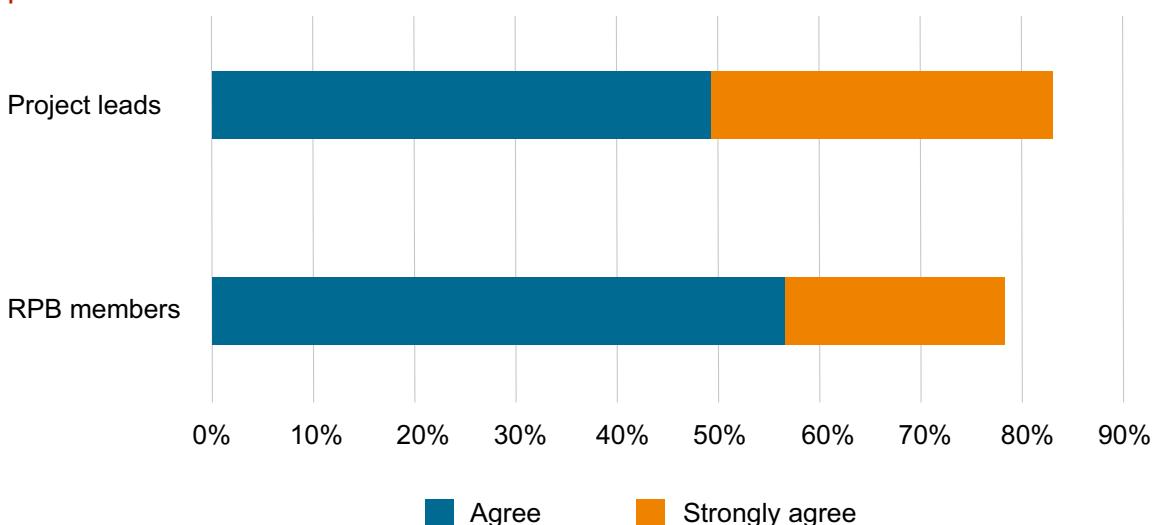
<sup>8</sup> Section 33 of the **National Health Service Act 2006** makes provision for NHS bodies and local authorities to enter into agreements which can include the establishment and maintenance of a fund which is made up of contributions of one or more NHS body, and one or more local authority, to provide a service or function.

## The fund has provided an impetus for regional partners to develop integrated services and to move to joint funding arrangements in the context of wider policy and legislation

- 1.3 The introduction of the fund in 2014 provided a fresh opportunity for the partnership forums to develop integrated services and to start to build the willingness of public bodies to commit to working together, a key aim of the fund when first established. The requirement of the Social Services and Well-being (Wales) Act 2014 for the establishment of RPBs by April 2016 emphasised the need for partnerships to increase service integration. The Act also required RPBs to establish pooled funds by April 2016. These are now in place across the seven RPBs, focused on areas such as Integrated Family Support Services and Community Equipment Services. Pooled funds have also been in place since April 2018 for the commissioning of adult care home provision.
- 1.4 During our work, Welsh Government officials emphasised to us that the maturing of partnership arrangements because of the fund had provided a solid basis for taking pooled funding arrangements forward. This was echoed in the Health and Social Care Plan **A Healthier Wales** published in June 2018. The plan was positive about the way partnerships, and more specifically the RPBs, had created integrated models of care using the fund.
- 1.5 Several of the projects funded have also been supported by other funding sources, demonstrating the commitment by the partner organisations to ensuring the projects are successful, although such examples are not widespread. This has either included core funding or funds made available to individual organisations through additional revenue allocations from the Welsh Government, such as the NHS ‘winter pressures’ funding.
- 1.6 Feedback from those we met at a regional and project level also emphasised that the fund had been a catalyst to improved partnerships and joint working. Many individuals spoke about an increased commitment to partnership working since the creation of the fund. Importantly, they also commented on an increased focus on improved outcomes for the service users.

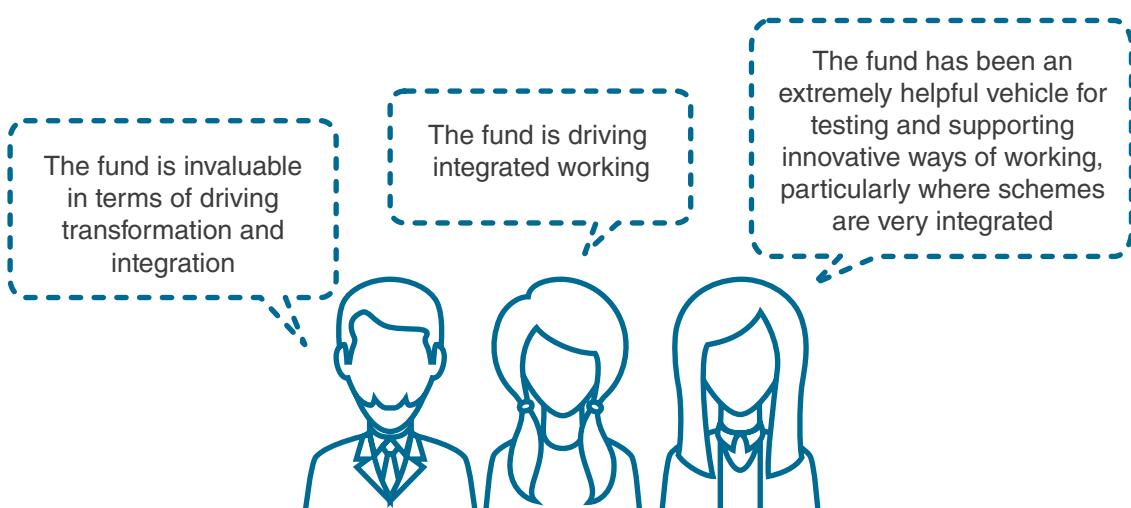
- 1.7 As part of our surveys of RPB members and project leads, we asked about the impact of the fund on partnership working. The responses we received confirmed generally positive views about the impact that the fund has had on strengthening partnership working ([Exhibits 3 and 4](#)).

**Exhibit 3: percentage of people surveyed who agreed or strongly agreed that the Integrated Care Fund is helping to drive integrated working between key partners.**



Source: Wales Audit Office survey of RPB members and project leads.

**Exhibit 4: respondents to our survey told us that...**



Source: Wales Audit Office survey of RPB members and project leads.

## Part 2

Aspects of the way funding has been allocated by the Welsh Government and used by regional partners have limited the potential of the fund to date



## **Changing expectations, issues with the timeliness of funding allocation processes and short-term horizons have hampered regional delivery**

**The changing and expanding scope of the fund has created challenges for Regional Partnership Boards**

- 2.1 The Welsh Government issues annual guidance for both the revenue and capital elements of the fund. Since the introduction of the fund in 2014-15, there have been annual changes to the criteria that the regional partners need to meet. The Welsh Government has emphasised to us that some of these changes have been informed by feedback from partner organisations and supported by an overall increase in funding.
- 2.2 When introduced in 2014-15, the focus of the fund was for a single year to support older people, particularly the frail elderly. The Welsh Government designed it to be used for new, innovative and integrated services which would help avoid unnecessary hospital admissions, or inappropriate admission to residential care. It also focused on preventing delayed discharge from hospital and reducing the rates of delayed transfers of care. Following positive feedback from the regional partners, the Welsh Government agreed to continue revenue funding for 2015-16. The purpose of the continued funding was to take forward existing projects deemed to be effective in linking out-of-hospital NHS care<sup>9</sup> and social care. Towards the end of 2015-16, the Welsh Government confirmed that the fund would be available for new projects for the financial year 2016-17.

<sup>9</sup> Out-of-hospital NHS care is provided outside of a major hospital setting, usually by primary and community-based services such as GPs and district nurses.

- 2.3 During 2016-17, the Welsh Government made a commitment to make the fund available on an annual basis up to 2021. The focus broadened to provide support to additional distinct population groups: children with complex needs, and children and adults with learning disabilities. The Welsh Government also retained an element of the fund to support the development and implementation of an Integrated Autism Service, overseen through national arrangements. Revenue projects within the new population groups also needed to have a reablement<sup>10</sup> focus, reducing longer-term care and a reliance on services provided outside of Wales. The focus of capital funds also changed from small-scale housing adaptations to support independent living, to larger adaptations and development of reablement and step-down schemes<sup>11</sup>. The Welsh Government made a separate fund available to support housing adaptations previously supported through the fund<sup>12</sup>.
- 2.4 For 2017-18, the fund was rebranded from the Intermediate Care Fund to become the Integrated Care Fund. This rebrand reflected the broadened focus and scope of the fund as a mechanism for RPBs to support delivery of the Social Services and Well-being (Wales) Act 2014. The focus on older people was realigned to those with long-term or complex needs, including dementia. The fund was also extended to include carers, including young carers. The Welsh Government retained an element of the fund to support the roll-out of the Welsh Community Care Information System (WCCIS).
- 2.5 For 2019-20, the fund has now been extended to include children at risk of becoming looked after, in care or adopted. The Welsh Government allocated an additional £15 million allocation for this group as part of the overall £30 million increase in revenue funding ([Exhibit 1](#)). [Exhibit 5](#) shows the priority groups in receipt of the fund from 2014-15 to 2019-20.

<sup>10</sup> Reablement is defined as short-term care, usually provided at home, to aid recovery after hospital.

<sup>11</sup> Step-down schemes provide low-intensive support for patients who are medically well and no longer require the care provided in an acute hospital ward, but who are not yet able to go home. Schemes usually provide short-term care and can be based within community hospitals or care homes.

<sup>12</sup> The Welsh Government provided a separate allocation of £4 million to the enhanced adaptations system 'Enable – Support for Independent Living' from 1 April 2016. In February 2018, the Auditor General for Wales published a report on Housing Adaptations.

**Exhibit 5: priority groups and projects in receipt of the fund, 2014-15 to 2019-20**

<b>2014-15</b>	 Older people with complex needs
<b>2015-16</b>	 Children and adults with learning disabilities
<b>2016-17</b>	 Older people with complex needs  Children and adults with learning disabilities
	 Children with complex needs  Integrated autism service
<b>2017-18</b>	 Older people with complex needs
<b>2018-19</b>	 Children with complex needs  Integrated autism service
	 Children and adults with learning disabilities  Welsh Community Care Information System
	 Carers
<b>2019-20</b>	 Older people with complex needs  Integrated autism service
	 Children with complex needs  Welsh Community Care Information System
	 Children and adults with learning disabilities  Carers
	 Children at risk of becoming looked after, in care or adopted

Note: the total value of the fund – revenue and capital – has increased from £50 million in 2014-15 to £115 million in 2019-20 (Exhibit 1).

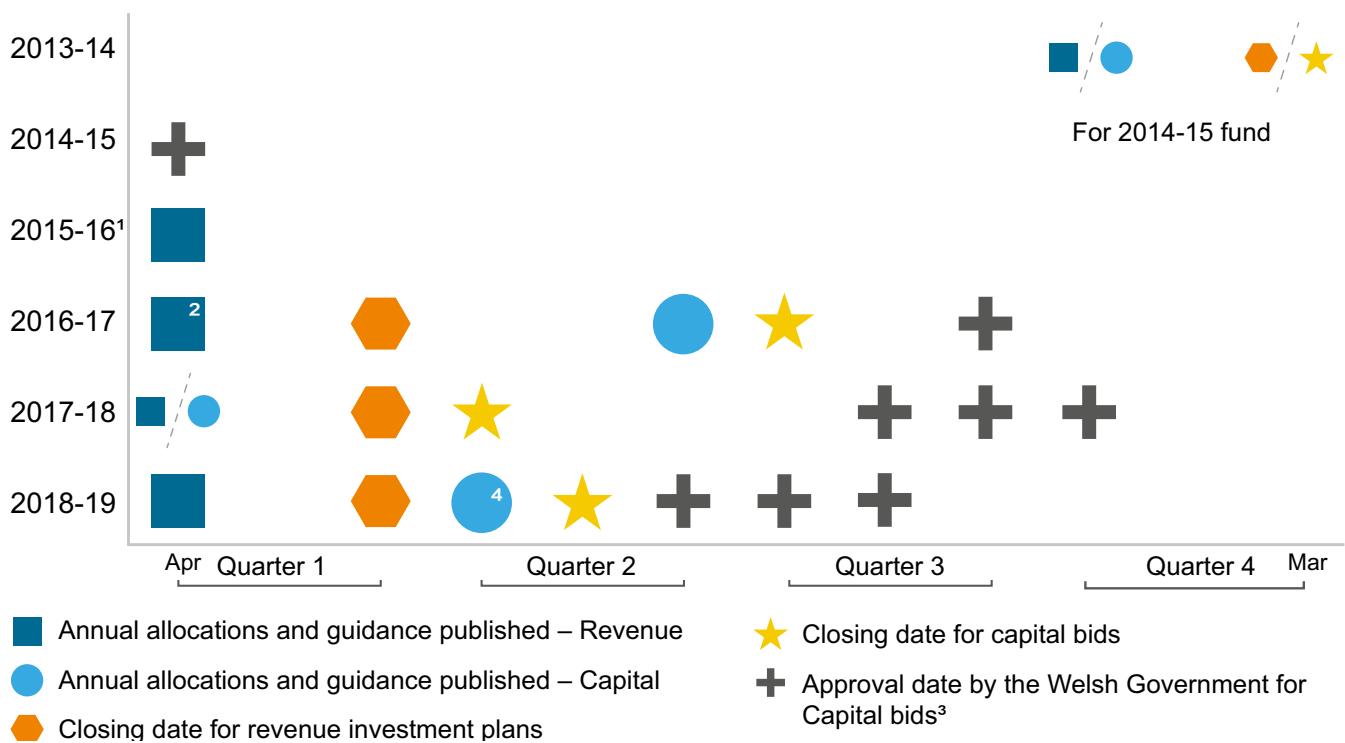
Source: Wales Audit Office analysis of Welsh Government guidance.

- 2.6 RPBs have welcomed the changes to the fund and the introduction of additional population groups. However, we identified that, over time, RPBs have felt that the criteria of the fund have become too prescriptive. They stated that they find it difficult to identify and approve revenue projects that continue to satisfy the range of criteria, particularly for population groups that have been supported for some time.
- 2.7 Changes in the Welsh Government's reporting requirements for RPBs have also presented challenges. These changes have required regional partners to adapt their reporting arrangements for projects that have run over more than one year. They have also meant that the ability to undertake year-on-year comparisons for these projects has been limited.

**Despite attempts by the Welsh Government to provide early information, the late issuing of guidance and notification of allocations has previously created difficulties for regional planning**

- 2.8 The timeliness of the Welsh Government's revenue and capital guidance, and the subsequent allocation of the funds, was consistently raised as an issue which affected the ability of the RPBs to use and manage the fund effectively. For 2014-15, the Welsh Government issued its guidance in January 2014. However, for 2015-16 to 2018-19 this did not happen until the beginning of, or months into, the relevant financial year ([Exhibit 6](#)). This has then had an impact on the timelines for submissions of plans by the RPBs, the approval process and subsequent release of funds. Except for 2014-15, capital funding has also not been agreed until quarter three or, in one case, quarter four of the financial year. This is despite the requirement for the RPBs to spend the money by the end of the financial year. The Welsh Government has worked to issue more timely guidance for 2019-20 ([paragraphs 2.24 to 2.29](#)).

**Exhibit 6: timeline for the publication of guidance and allocations and funding approvals, 2014-15 to 2018-19**



**Notes:**

1. In 2015-16, the Welsh Government issued a letter rather than formal guidance. This was due to the fund being used to extend existing successful projects for a further year or to extend good practice projects across Wales. Regional leads simply had to notify the Welsh Government where there was a significant change in their programme. There were no capital monies available in 2015-16.
2. In 2016-17, the Welsh Government held back £15 million from the revenue fund, notifying RPBs that the remaining fund would be used to support preventative services across the differing population groups. A total of £13 million was subsequently issued to the regions in September 2016 with the remaining £2 million held by the Welsh Government.
3. The Welsh Government does not approve the revenue bids, this is done by the RPBs. The Welsh Government instead satisfies itself that the revenue investment plans put together by the RPBs meet the criteria of the fund and make full use of the allocations available.
4. The Welsh Government has noted that the timings for an internal review of the ICF capital programme, which ultimately led to a three-year capital allocation (paragraph 2.24), did not allow for joint guidance to be issued for 2018-19.

Source: Wales Audit Office analysis of Welsh Government guidance, allocation and confirmation letters.

- 2.9 The Welsh Government provides early verbal indications to regional leads of their expected allocations and any intended changes to the use of the fund prior to issuing formal guidance, to enable them to start to plan. However, the RPBs told us that they have been reluctant to plan their use of the fund on a large scale prior to receiving formal notifications due to the changing expectations of the fund to date. In addition, some RPBs have received early indications of funding which later changed.
- 2.10 Some RPBs have begun an earlier planning cycle based on their indicative allocations. Nevertheless, these uncertainties and timing issues have impacted on the RPBs' preparedness and ability to plan an annual work programme which best uses their annual allocation. The Welsh Government has tried to address the uncertainty around the population groups by setting out in the guidance for 2017-18 that the priority areas would remain the same for the next three years. However, the priority areas have changed with the fund now extended to include children at risk of becoming looked after, in care or adopted, for 2019-20.
- 2.11 In 2018-19, the Welsh Government also made available a separate fund specifically for dementia which was administered through the Integrated Care Fund process and guidance. The separate fund to support the Dementia Action Plan for Wales 2018-2022 accounted for an additional £5 million, made available to RPBs. Although there was reference in the annual guidance for the fund, detailed guidance on the use of dementia monies was not made available until September 2018. That guidance indicated that dementia projects already supported through the fund could not be shifted across to the new dementia monies. Many RPBs identified that had they known that this restriction would be placed on them, they would have held off from submitting dementia-related projects as part of their general revenue investment plans, and instead focused their projects on other complex-need groups.
- 2.12 The guidance for the fund has continued to encourage the development of projects that combine revenue and capital funding<sup>13</sup>. However, even where the guidance and allocations have been published at the same time, the requirement for the Welsh Government to approve capital bids has added a substantial gap between the two funding-stream timelines. These issues have presented missed opportunities in making the most strategic use of the fund, with very few projects making use of both streams.

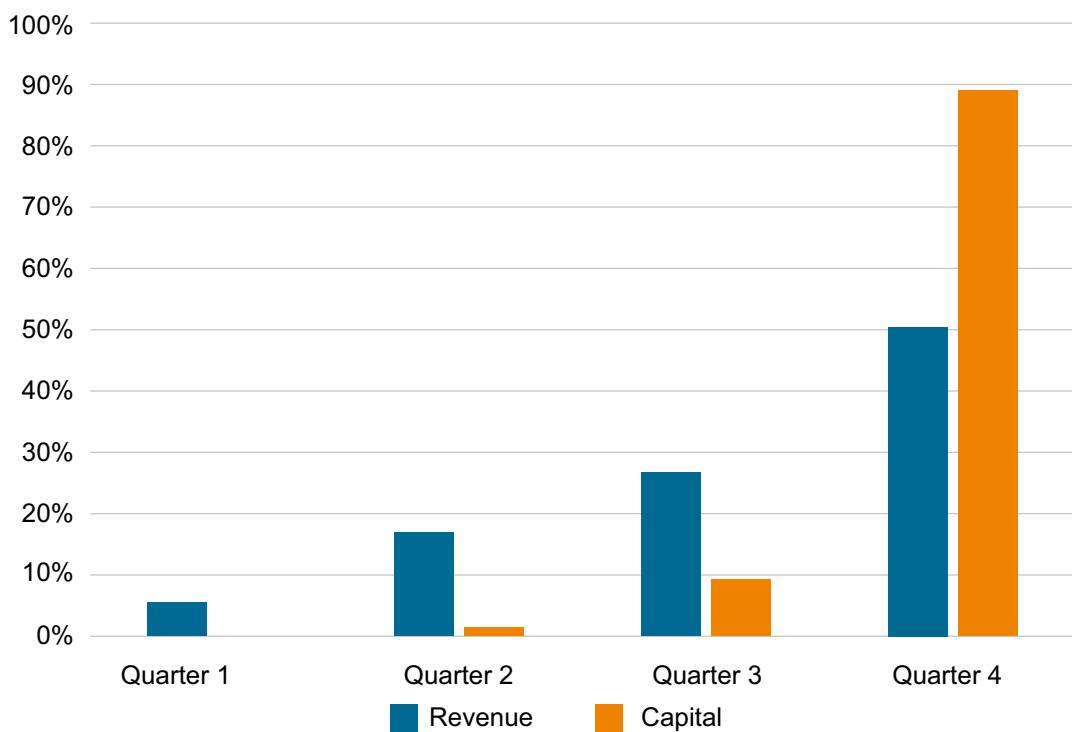
13 The 2018-19 guidance states that the fund can be used so revenue supports capital-funded projects, such as staffing for new-build provision.

## The annual nature of the fund in its early years has not promoted strategic planning and effective use of the fund

- 2.13 The Welsh Government has been clear that the allocated funds must be used by the end of the financial year that they are intended for. Many of the RPBs have expressed their frustration at the short-term annualised focus on the fund which they say has led them to short-term planning and delivery, restricting their ability to plan more strategically over a longer timeframe. In practice, this has meant that many projects put forward are based on their ability to be initiated and concluded quickly, and not those that over a longer period could have a greater impact.
- 2.14 The annual guidance from the Welsh Government has clearly stated that the fund should be used to pump-prime new and innovative projects, which can include remodelling or upscaling previously funded projects. The guidance, however, has also stated that the projects should be sustainable beyond the year of the funding, with an expectation that the projects should run no longer than a year.
- 2.15 Given the late notification of allocations and guidance outlined in [paragraphs 2.8 to 2.10](#), regional partners have often been unable to get projects up and running in a timely manner, and to then allow them to run for enough time to demonstrate their impact. Consequently, over the period of the fund being in place, many of the projects have, in practice, been allowed to roll forward into the next financial year.
- 2.16 Even with the decision to roll forward projects, the need to resubmit project proposals and wait for confirmation of the funding has meant that projects may stop and start. Public bodies have been able to get around this challenge by allowing some projects to progress or start 'at risk' while awaiting approval, and the funding to be released. Third-sector bodies do not generally have the resources to continue to run projects 'at risk' while awaiting funding confirmation.

- 2.17 Even once approved, there are several practical issues that can add delays to getting projects up and running within the one-year window, including:
- a **recruitment:** processes can take a significant amount of time, often around three or four months, with some organisations reluctant for the recruitment process to start until the Welsh Government releases the funds.
  - b **capability and skills:** lead organisations for projects find it difficult to attract suitable candidates for annual fixed-term posts, and often need to advertise multiple times before they can appoint a successful applicant. Retention of staff is also difficult due to the short-term nature of the funding, leading to frequent changes of staff year-on-year for the same projects.
  - c **procurement:** many capital projects will need to complete procurement processes, which can take a significant amount of time.
- 2.18 Because of the inbuilt delays in the funding process, many revenue projects do not begin or restart until the second or third quarter of the financial year. The profile of expenditure during the year reflects this, with a significant proportion of the revenue fund spent in the last quarter of the year.
- 2.19 Exhibit 7 sets out the profile of revenue and capital spend for 2016-17 and 2017-18. The capital-spend profile had been significantly worse than the revenue-spend profile, largely because of the late approval of capital bids for both the 2016-17 and 2017-18 financial years.

**Exhibit 7: percentage of the revenue and capital fund spent by quarter in 2016-17 and 2017-18**



Source: Wales Audit Office analysis of RPB monitoring returns to the Welsh Government.

- 2.20 The delays in getting projects up and running mean that underspends occur at year-end. The Welsh Government guidance clearly states that the funds cannot roll forward to the following year. Instead the health boards can retain any surplus revenue monies at the year-end, although this is not intended to be the default position. In the early years of the fund, we are aware that some health boards retained surplus monies which they were able to use towards their bottom line and which caused tension within the partnerships at that time.
- 2.21 The RPBs have since developed varying approaches for managing underspends. The most advanced process is within the West Wales region where a reserve list of projects is kept which can be supported if surplus funds become available. In other areas, the fund has been used on short-term projects which can be initiated and concluded quickly. We are also aware that, in 2017-18, the Welsh Government agreed that the Cwm Taf region could carry over a small amount of funding to be used in 2018-19.

2.22 The effective management of underspends remains an issue in some areas. However, this should start to improve in 2019-20 following a requirement by the Welsh Government for processes for minimising underspends to be articulated in revenue investment plans.

2.23 Underspend in capital funds has been more problematic. Delays in receiving the funds alongside the time it can take to work through procurement processes have meant that much of the capital fund has not been spent on what was intended. Instead funds have been used to support one-off equipment purchases or returned to the Welsh Government at the year-end.

## The Welsh Government is taking steps to address the annual nature of the fund and issued the 2019-20 guidance in a timelier way

2.24 For 2018-19, the Welsh Government provided a three-year allocation for the capital element of the fund and introduced changes that split the stream in two:

- a 25% of the total amount to be on small-scale one-year capital projects, with its use to be determined by the RPBs; and
- b 75% of the total amount to be on transformational, long-term projects up to 2021, to be approved by a Welsh Government panel.

2.25 RPB members across Wales were positive about this change, and some have begun to develop three-year regional capital plans to ensure best use of the fund going forward. However, as of November 2018 some RPBs were still to receive approval for their capital projects.

2.26 Despite stating that 25% of the capital fund would be at the discretion of the RPBs, the Welsh Government considered these proposals through its capital panel before they could begin. As a result, several projects were not able to progress during 2018-19 given the time remaining and have subsequently been resubmitted in 2019-20. The Welsh Government expects this process to have improved for 2019-20.

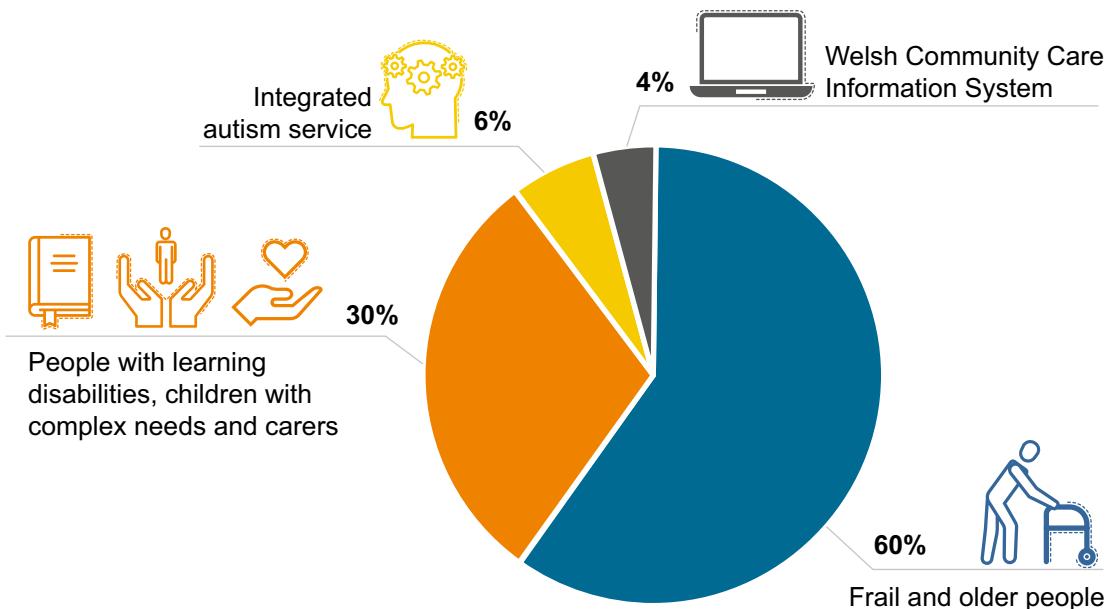
- 2.27 After considering our initial feedback, the Welsh Government acted to provide an early indication of the revenue allocation for 2019-20 in December 2018 and to issue the guidance for 2019-20 in February 2019, covering both revenue and capital funding streams. Not only has this helped with the timeliness issues but it has also helped to ensure consistency of messages between verbal and written communication that had previously caused confusion over allocations.
- 2.28 For 2019-20, the Welsh Government has recognised the need for the RPBs to be able to also plan their use of the revenue funding on a longer-term basis. The Welsh Government has required the RPBs to set out their intentions over a two-year period. In developing its 2019-20 guidance, the Welsh Government has also made greater reference to the Well-being of Future Generations (Wales) Act 2015, although we acknowledge that the overall aim of the fund was already closely aligned with the five ways of working<sup>14</sup> set out in the Act.
- 2.29 The earlier issuing of guidance which covers both revenue and capital funds will help address many of the issues raised by RPB members. Welsh Government officials responsible for revenue and capital funding are jointly scrutinising the 2019-20 funding. The Welsh Government expects the approval of projects will take place earlier in the financial year, and by no later than the end of July 2019. Timely approvals are, however, reliant on when the RPBs submit their capital investment plans and this has taken longer than the Welsh Government expected.

## Regional Partnership Boards can find it difficult to balance local population needs with the Welsh Government's indicative allocations for target groups

- 2.30 The Social Services and Well-being (Wales) Act 2014 places a duty on the RPBs to undertake a population assessment to identify the needs of the region's local population, and an area plan to address the specific needs identified. Since 2017-18, the Welsh Government guidance has required that all projects supported by the fund must address the care and support needs identified within population assessments and area plans. **Exhibit 8** shows how the Welsh Government allocated the 2018-19 revenue funding.

<sup>14</sup> The Well-being of Future Generations (Wales) Act 2015 sets out five ways of working needed for public bodies to achieve the seven wellbeing goals set out in the Act. The five ways of working are long term, integration, involvement, collaboration and prevention.

**Exhibit 8: proportion of the 2018-19 revenue funding allocated to different population groups**



Source: Wales Audit Office analysis of Welsh Government guidance.

2.31 Some RPB members noted that this approach to allocating specific amounts of the fund creates a tension for them to balance their use of the fund between the specified target groups and the needs identified within their population assessment. This tension is compounded when consideration is given to the other Welsh Government funding streams that the RPBs are responsible for which are also ring-fenced to specific groups of people. Examples include the Dementia Action Plan funding outlined in paragraph 2.11.

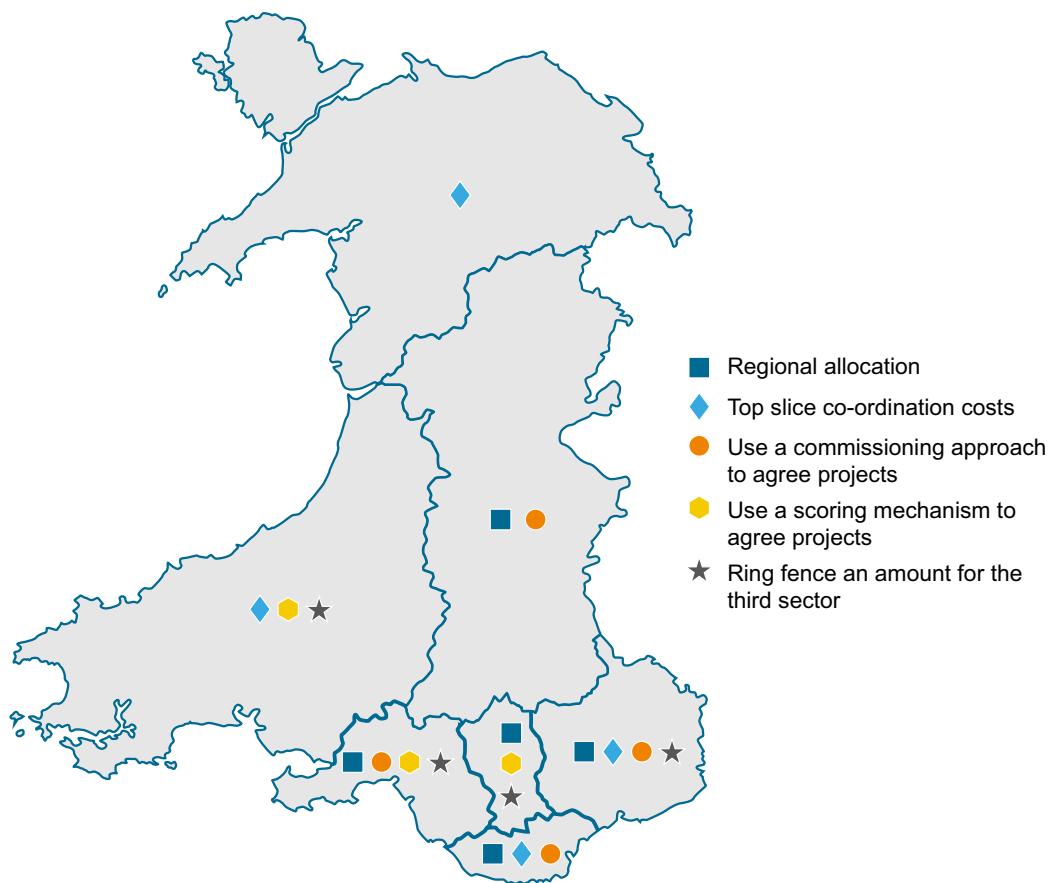
2.32 Different criteria for Welsh Government funding streams also make it difficult for RPBs to take a combined approach to using the funds available to them to meet the local population needs. Instead they have to submit and support separate projects for each fund. Consequently, many regional partners feel that there may be a risk of a disproportionate amount of funding collectively being allocated for specific population groups. They feel that this limits their ability to prioritise funding based on need. For example, some RPB members stated in response to our survey that:

- ‘the way in which the fund is structured means that it can be difficult to align the funding to what needs doing for our local population’; and
- ‘the ring fencing can be a hindrance as it can overly commit the partnership to an area that is not a big priority’

## Regional Partnership Boards use their allocations in different ways, not all of which have supported a regional focus

- 2.33 While the Welsh Government allocates the fund on a regional basis, it is then up to each of the RPBs to agree through their revenue investment plans how to use the fund. The approaches to the use of the fund vary between the regions, with limited sharing and learning of the approaches used across Wales ([Exhibit 9](#)).

Exhibit 9: approaches applied to the allocation of funds 2014-2018 across the RPBs



### Notes:

1. In North Wales, most of the fund is allocated across smaller footprint areas, such as Anglesey and Gwynedd; Conwy and Denbighshire; and Flintshire and Wrexham.
2. Before 2017-18, Powys RPB top-sliced an element of the fund to support communication and engagement costs.
3. In West Wales, most of the fund is allocated between the three local authority areas, although a small proportion is held at a regional level to support the delivery of agreed regional projects.

Source: Wales Audit Office fieldwork.

- 2.34 Five of the seven RPBs seek to allocate the funds on a regional basis except for North Wales and West Wales, where both RPBs allocate the funds to a lower level. This is either at a single local-authority level or across more than one local authority but not the whole region. This dilutes the intended focus on regional delivery and has resulted in some tensions between localities around the fairness of the allocation within the region. Our RPB member survey identified less positive views from North Wales and West Wales in relation to whether the process used to allocate the fund was fair. The Welsh Government has re-emphasised its desire for regional approaches in the 2019-20 guidance and as part of its scrutiny of investment plans. The Welsh Government has noted that while RPBs use their allocations in different ways, they are increasingly regional in their approach but with further progress needed in some areas.
- 2.35 Four RPBs have consistently used some of the fund to support management, oversight and co-ordination of the fund at a regional level. The sums ‘top-sliced’ during 2018-19 range from £60,000 (1%) in the Greater Gwent region to £400,000 (8%) in the West Wales region. This ‘top-slice’ is often used to contribute towards the funding of a specific post and in West Wales as programme management for identified RPB priorities. While this may be a good use of the fund at a local level, it is reducing the amount of funding which could otherwise be used for projects. All other RPBs have funded co-ordination through a different funding stream, or through core funding.
- 2.36 Most RPBs fund a high number of moderate-cost projects. The more projects there are, the greater the need for oversight and co-ordination. **Appendix 4** sets out the scale and number of the projects since 2014 by region, with the Cwm Taf and Cardiff and Vale RPBs focusing on fewer, larger-scale projects compared with the North Wales RPB which has more, smaller-scale projects.
- 2.37 Four of the RPBs have adopted a ‘commissioning approach’ to developing their work programme for the fund. In effect, the RPBs are commissioning their sub-groups responsible for the various population groups, to identify work required within the area plans which would benefit from funding to support delivery of the local priorities. The commissioning approach helps to align the use of the fund with the priorities set out in the area plans, rather than seeking an open and potentially more scattergun invite for project proposals. However, there have been some concerns about representation at these sub-groups and, as a result, the ability of some partners to influence decision-making (**paragraph 3.16**).

- 2.38 On receipt of proposals, several RPBs use a structured scoring mechanism to assess which proposals the RPB want to take forward and set out in their revenue investment plan or capital plan. These scoring mechanisms vary slightly but largely focus on the extent to which the projects meet the needs of the fund, as well as alignment with regional priorities and the area plan. The other RPBs take a less rigid approach, focusing predominantly on whether the projects meet the fund criteria.
- 2.39 A key aim of the fund is to promote joint working between statutory and third-sector organisations. The third-sector representatives that we spoke to identified a range of challenges which have affected their ability to access the fund. To address this, some of the RPBs have ring-fenced some of the fund specifically for the third sector to use, predominantly through a grants-type approach. This has increased access for the third sector, particularly for small short-term projects. However, it has still left the third sector disconnected from the wider programme where they could equally have valid contributions to make to some of the larger-scale projects.

## Part 3

Governance arrangements for the fund need to be further developed to strengthen central oversight and ensure greater consistency across the regions



## The Welsh Government has established governance arrangements for the fund but needs to do more to consider how its actions impact on regional partners and integrate funding streams

- 3.1 The budget for the fund comes from two areas of the Welsh Government and as such the responsibility for oversight is shared:
  - the policy and governance responsibility relating to the revenue stream of funding is with the Minister for Health and Social Services; and
  - responsibility for the capital element of the fund rests with the Deputy Minister for Housing and Local Government.
- 3.2 The Welsh Government oversees the development and delivery of the fund through a formal project board. Representatives from across the Welsh Government's social services, health, housing and regeneration departments make up the board. The project board meets on a quarterly basis to:
  - a review progress;
  - b monitor each RPB's performance, outcomes and expenditure;
  - c where appropriate, clarify and seek agreement on the administrative management of the fund;
  - d ensure emerging issues are identified and addressed in a timely and proactive manner; and
  - e provide a strategic steer on the future direction of the fund.
- 3.3 While officials feel that working across portfolios has improved through this arrangement, they acknowledged that if key individuals were missing from project board meetings then the rigour and quality of discussion suffered. Our own observations of the project board identified opportunities for greater internal challenge on changes made to the fund and the impact that these may have on the regional partners. For example, there appeared to be little acknowledgement of the impact of issues related to the timing of guidance ([paragraphs 2.8 to 2.10](#)).
- 3.4 Since our fieldwork, a member of staff has been seconded into the Welsh Government from Powys RPB to support the management of the fund. This arrangement has brought some valuable insight from the RPBs into the project board and has already resulted in the Welsh Government having a better understanding of the impact of their processes and decision-making on the regional partners.

- 3.5 We also identified a lack of challenge on the information submitted through the RPB quarterly returns. Although the project board receives updates, drawing on the information submitted by the RPBs, we observed limited discussion focused on these reports.
- 3.6 The fund has the potential to overlap with other funds made available from the Welsh Government, such as the Primary Care Fund. However, there was limited evidence that the project board was clearly considering the overlaps and ensuring that the criteria complemented the other funding streams available. Some RPBs have begun to consider how they could more effectively use these funding streams together to benefit their populations, but there is currently no requirement for them to do so.
- 3.7 The project board has subsequently recognised the overlap between the fund and the new NHS Transformation Fund launched in 2018. For 2019-20, the Welsh Government has gone some way to articulate the linkages in the guidance. The Welsh Government has also made links with other relevant funding streams through changes to the membership of the project board and other work is underway to map out the wider funding landscape. Meanwhile, a new reference group is considering the co-ordination of policy and funding relevant to RPBs. In addition, learning from the Families First and Flying Start programmes has been considered following the introduction of 'children at risk of becoming looked after' as a priority group for 2019-20.

## The Welsh Government's staffing capacity to support regular and timely oversight of the fund has been limited

- 3.8 Day-to-day oversight of the fund is by the Welsh Government through a small management team, consisting of three members of staff. The team is responsible for communicating with the regional leads, preparing annual guidance, and reviewing performance and delivery of the fund across the seven RPBs.
- 3.9 The RPBs reported a positive relationship with the central team for both the revenue and capital elements of the fund, with welcomed opportunity to engage through attendance at RPBs, one-to-one dialogue and meetings with the RPB chairs. However, the regional fund leads previously did not have the opportunity to come together on a regular basis with the central team. Since our fieldwork, a lead network group has been established which supports more frequent two-way dialogue between the team and those responsible for managing the fund in each of the regions.

- 3.10 The RPBs have identified frustration with the amount of information that they needed to provide on a quarterly basis to meet the Welsh Government reporting requirements. The Welsh Government considers that the requirements have been proportionate to the level of investment through the fund. However, capacity issues within the central team mean that there have been time lags of up to three or four months between the RPBs submitting their returns and the point at which they receive formal feedback from the Welsh Government on areas for improvement.
- 3.11 The RPBs have also expressed frustration that much of the monitoring information submitted is not being used for any obvious purpose. Welsh Government officials have acknowledged that the team did not have the capacity to examine each project in detail or to follow through on all the information, for example, by conducting site visits to gain a better understanding of the work. However, they have emphasised that the information is used not just to inform their feedback but to support the Welsh Government's own accountability, for example, in response to Ministerial questions. There have also been periodic visits at a regional level and to some projects.
- 3.12 The seconded member of staff from Powys RPB ([paragraph 3.4](#)) has helped provide some additional resource since late 2018, replacing a longstanding vacancy. Work is also underway to revisit the amount of information required through the reporting arrangements. [Paragraphs 4.1 to 4.11](#) consider the arrangements in more detail.

## Regional Partnership Boards frequently delegate responsibility for the fund to a sub-group and there is limited scrutiny of the use of the fund by health boards and local authorities

- 3.13 The Social Services and Well-being (Wales) Act 2014 required RPBs to be established on the footprint of the health boards and to include representation from social services, cabinet members, health boards including members, third-sector organisations and user and carer representatives. All the RPBs have representation from the statutory bodies, although the level of attendance from health board representatives can be variable, ranging from one to three. Health board representation is routinely through partnership and primary-care leads either at director or manager level, as well as independent members.

- 3.14 Membership from local authorities can also vary to up to three members from a single authority, resulting in large RPBs in areas with five to six authorities and a risk of local-authority representatives dominating the discussion. Local-authority representation is routinely through social-service directors and cabinet members, although the Welsh Government amended the Act in 2018 to require RPBs to have housing representation<sup>15</sup>. Representation from housing prior to the amendment to the Act was variable across RPBs. Third-sector organisations are represented on RPBs, although it can be challenging getting representation from service users and carers.
- 3.15 RPBs have responsibility for delivering area plans and using any funds made available to them. This requires them to make decisions on the use of the fund across the region, on behalf of the public bodies that they represent. Each of the RPBs has in place a memorandum of understanding setting out their agreed decision-making process. Our work, however, has identified that there is very little scrutiny of the decisions made by the RPBs. Although some RPB members seek ratification from their host organisation, this is not common practice across much of Wales. We also found limited evidence that representatives were routinely reporting back decisions made by RPBs to the boards and scrutiny committees of the relevant public bodies, with a general lack of awareness among health boards and local authorities about how the fund is used.
- 3.16 Within the RPBs, responsibility for the fund is largely delegated to sub-group arrangements. The RPBs receive recommendations from the sub-groups as to how the fund should be used, along with assurance reports during the year as to how the fund is spent. Representation on the sub-groups largely comprises directors or heads of service, with representation from other partners such as the third-sector, housing and carers often lacking. Third-sector representatives particularly raised concerns with us that while members of the RPBs, they are not always represented at sub-groups. As such, the ability for them to engage and influence the decisions surrounding the fund is limited. In some RPBs, we also raised potential conflicts of interest as an issue as the members on the sub-groups recommending the decisions for the allocation of the fund were managing the services that were also benefiting from the fund.

15 The amendment to the Act also included representation from housing associations.

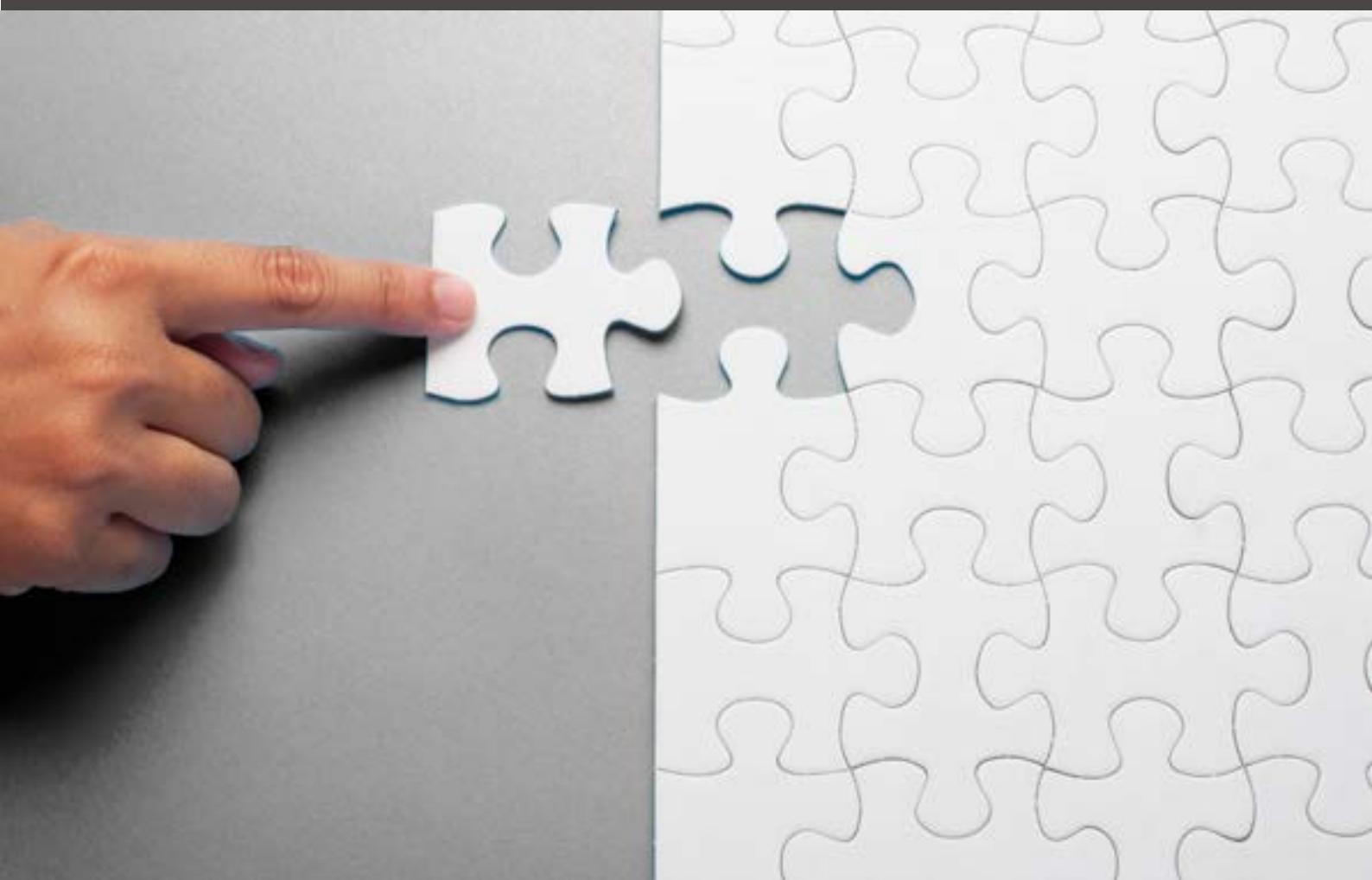
- 3.17 Timing of RPB meetings can be an issue. The Welsh Government sets out in the annual guidance clear but often tight deadlines for submissions of revenue investment plans, capital plans and quarterly monitoring returns. We found that some RPB chairs were signing off monitoring returns outside of the RPB meetings because of the tight timescales between the end of the quarter and the submission dates. Some chairs felt uncomfortable doing this and refused to do so without reporting the returns through the RPB meeting. This has required realignment of some of the RPB meeting dates with the Welsh Government timescales.

## The rigour of project management varies between regions and organisations, and few projects involve service users at the outset

- 3.18 Oversight and management arrangements of individual projects are largely based on the arrangements used by the host organisation. However, not all projects are supported by detailed project plans and the approach to managing project risks is inconsistent. Some projects have local risk registers which feed into organisational or area risk registers, but many do not have mechanisms in place to identify, manage and escalate risks.
- 3.19 The leads for each of the projects frequently have wider responsibilities beyond the project. This can result in issues in terms of capacity to plan, manage and report on the projects as required, with many project leads struggling to meet the reporting deadlines set by the Welsh Government.
- 3.20 Few projects have involved service users at the outset due to the short timescales within which the regional partners have to develop their project proposals. However, regional partners seek to engage through the carer and user representatives on the RPB. There is a requirement in the Social Services and Well-being Act (Wales) 2014 for each RPB to establish a citizen's panel. Panel arrangements differ across the regions. In some cases, RPBs are using engagement mechanisms that public bodies already have in place to engage with service users and citizens. There is currently little evidence that regional partners are making use of these arrangements to engage citizens in planning projects supported by the fund.
- 3.21 Despite the intention of the fund to support the pump-priming of new and innovative projects, relatively few projects have had defined exit plans either to mainstream the project if successful or to terminate the project if it fails to deliver the intended benefits. Responding to our survey, 40% of project leads identified that they were required to include an exit strategy as part of their project plans. The inclusion of an exit strategy for each project is now a requirement of the fund for 2019-20, following our early feedback to the Welsh Government ([paragraphs 4.12 to 4.17](#)).

## Part 4

Despite positive examples, the overall impact of the fund in improving outcomes for service users remains unclear, with little evidence of successful projects yet being mainstreamed



## **Regional Partnership Boards identify a range of positive case studies, but the Welsh Government's central monitoring arrangements do not yet provide a basis on which to assess the fund's overall impact**

- 4.1 Since the inception of the fund, the Welsh Government has required the RPBs to report both financial and performance data on their revenue and capital use of the fund on a quarterly basis. Each year the guidance outlines reporting requirements. In 2016-17, the Welsh Government guidance also began including the reporting deadlines.
- 4.2 There are, however, different reporting formats for revenue and capital. The main reason for the difference is that the capital element of the fund is identified as a grant and, as such, has different reporting requirements. While the RPBs acknowledge this, they find the different approaches frustrating and would welcome a simplified process.
- 4.3 There are also separate reporting processes in place for the Integrated Autism Service and Welsh Community Care Information System strands of the revenue funding. Scrutiny and reporting of these schemes rest directly with the Welsh Government as part of the wider oversight of the Autistic Spectrum Disorder Action Plan and of the rollout of the information system across Wales.
- 4.4 The Welsh Government has outlined the reporting requirements for the RPBs with an emphasis on outcomes to measure the success of projects. This is instead of outputs which focus on the amount of activity undertaken. The Welsh Government set delayed transfers of care as a key outcome measure when the fund was first established. RPBs are not required to report their delayed transfer positions. Instead, the Welsh Government monitor the regional position through central mechanisms. All RPBs identified that with the increasing focus on preventative and admission avoidance services, as well as changes to the target population groups, delayed transfers of care do not now reflect the full scope of the fund.

- 4.5 The Welsh Government has not set any specific expectations about how the RPBs should measure or capture information about outcomes. Each RPB has developed its own processes. This approach has given the RPBs flexibility to use the tools they feel most appropriate to measure performance. But it has led to the Welsh Government receiving very different information about similar projects, making it difficult to collate or compare like-for-like information on outcomes at a national level. Within the different approaches to performance management that they have adopted, all regional partners also reported a difficulty in successfully quantifying outcomes.
- 4.6 In 2017-18, following consultation with the RPBs, the Welsh Government began including a reporting template within the guidance. Despite the emphasis on reporting outcomes, the template focuses mainly on what support has been provided through the fund, as well as spend. Regional partners have been encouraged to continue to collect any additional information that they felt was worthwhile to demonstrate project performance. This is in addition to that required to complete the template, and the RPBs often submit this additional information with their quarterly returns. Issues with capacity in the Welsh Government's central team ([paragraphs 3.8 to 3.12](#)) however, have meant that the Welsh Government does not have the opportunity to review all of the projects in detail.
- 4.7 Many regional partners have been capturing user experiences through case studies, believing that this best demonstrates the outcomes they are achieving and the impact that the fund is having on people's lives. However, the Welsh Government has encouraged RPBs to take a proportionate approach to the number of case studies submitted within their quarterly returns, focussing on good practice, given its limited capacity to analyse the information.
- 4.8 Many of the projects focus on prevention and earlier intervention. Regional partners, however, are unable to report decreases in service use elsewhere in the system and savings. This is due to increased demand on existing core services from a growing population with more complex needs, which is replacing the demand that the funded projects are now managing.

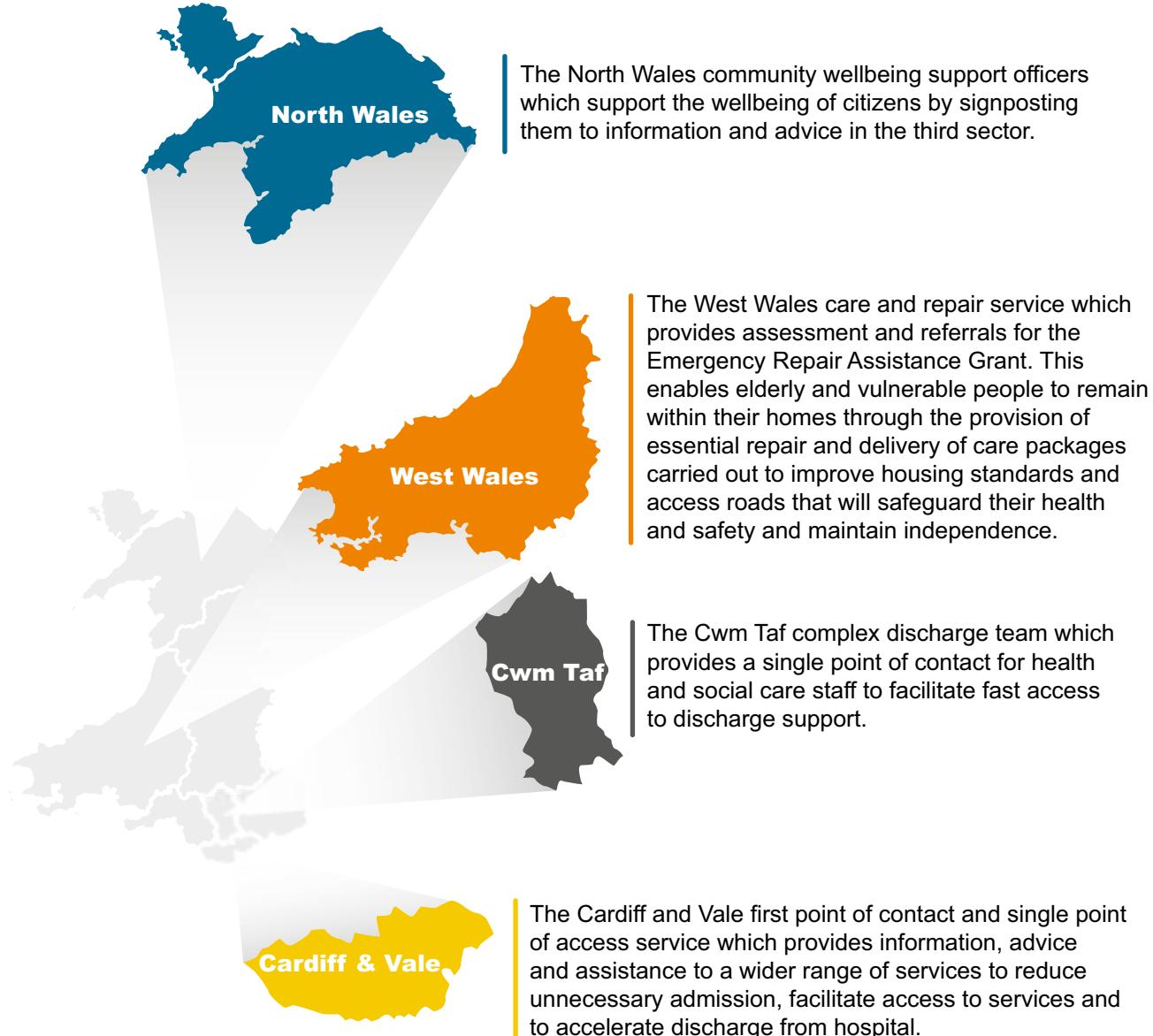
- 4.9 All RPBs recognise that measuring impact is an area that they could improve and are taking actions to better record outcomes. For example, the West Wales region is trialling the use of the Integrated Pathway for Older People<sup>16</sup>. As part of this, the regional partners are trying to link the local outcomes they achieve through the funded projects to the national outcomes identified as part of the pathway, although this is still in early development. In its latest guidance, the Welsh Government is encouraging RPBs to use Results Based Accountability<sup>17</sup> to measure outcomes, with three RPBs already using it to varying degrees of success.
- 4.10 Nevertheless, these issues mean that, to date, the Welsh Government has been unable to provide a national picture on the impact that the fund has had. In the meantime, the project board has received high-level assurance from the RPBs' information on spend and activities and used the information to inform Assembly Member site visits to different projects. The Welsh Government intends to publish an annual report on the use of the fund in 2018-19 by September 2019. The Welsh Government also intends to commission some wider evaluation work having decided to postpone a previously announced evaluation given the plans for our own work.
- 4.11 The RPBs have also found the requirement to report the same level of information for each quarter frustrating, particularly given that there has generally been a lower level of activity in the first quarter of the financial year. The Welsh Government has now recognised this and, for 2019-20, has introduced lighter touch reporting requirements for quarters one and three.

**There is little evidence that successful projects have yet been mainstreamed and funded as part of public bodies' core service delivery, although the Welsh Government has re-emphasised its expectations**

- 4.12 Since its inception in 2014, there has been a clear expectation from the Welsh Government that projects that are demonstrating impact should be mainstreamed into core budgets. In practice, many projects supported by the fund have rolled forward year on year ([paragraph 2.15](#)). Examples of this include:

16 The Integrated Pathway for Older People is a six-stage pathway developed by the Welsh Government to identify and understand what level of care older people need. The pathway has been updated in West Wales to include seven stages.

17 Results Based Accountability is an approach for measuring performance which focusses on how service users are better off to determine the success of a service rather than the more traditional focus on activity.



- 4.13 In the context of wider funding pressures, RPBs have found it difficult to convince the partner organisations that they represent to invest in these and other projects through core funding streams. Despite the requirement for the undertaking of project evaluations, very few projects, including those that have been in place since the introduction of the fund, have received any formal evaluation.

- 4.14 The intention is for RPBs to use evaluative information to assess the value of mainstreaming services supported by the fund. Information reported through the annual reports for RPBs and through case study material would indicate that many of these projects, however, are making a tangible difference ([Exhibit 10](#)). Further information is available in RPB Annual Reports, many but not all of which are published on their websites.

**Exhibit 10: examples of positive impacts of projects funded by the Integrated Care Fund**



**'The Bay' Reablement Unit**  
(Cardiff and Vale RPB)

By increasing the confidence, physical and mental strength of each individual admitted to the Bay, the unit can demonstrate a significant reduction in ongoing support requirements once the service user returns home. By ensuring that the care provided to the person is appropriately based upon need, savings of c.£500,000 per annum have been achieved – **Cardiff and Vale Integrated Health and Social Care Partnership Annual Report 2017-18**



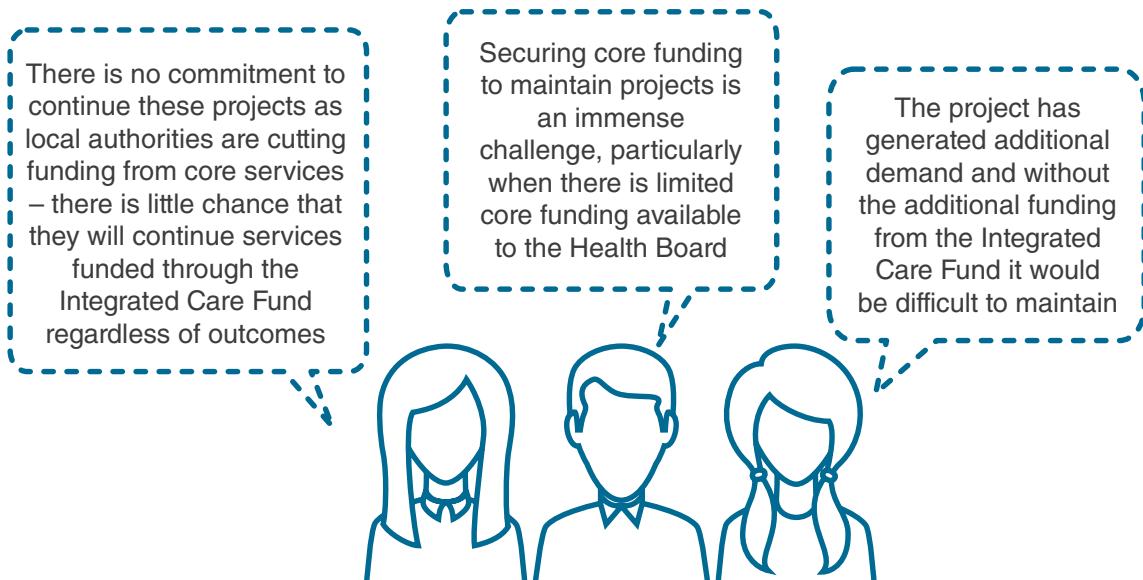
**Eating Disorders for Children and Young People**  
(Greater Gwent RPB)

This dedicated community eating disorder team can provide a routine Child and Adolescent Mental Health Service (CAMHS) assessment of a child or young person. This is leading to improved outcomes for children and young people and reduced admissions to Tier 4 beds – **Greater Gwent Regional Partnership Board Annual Report 2017-18**

Source: Wales Audit Office review of RPB Annual Reports.

- 4.15 Responding to our surveys, 91% of project leads agreed or strongly agreed that the projects that they were involved in were making a difference to service users. In addition, 87% of RPB members also agreed or strongly agreed that the projects funded in their region were making a difference to service users. Only 60% of project leads, however, identified that they had been able to demonstrate the impact of the project and 75% identified that there were challenges in mainstreaming the projects ([Exhibit 11](#)).

### Exhibit 11: challenges identified with mainstreaming projects through our project-lead survey

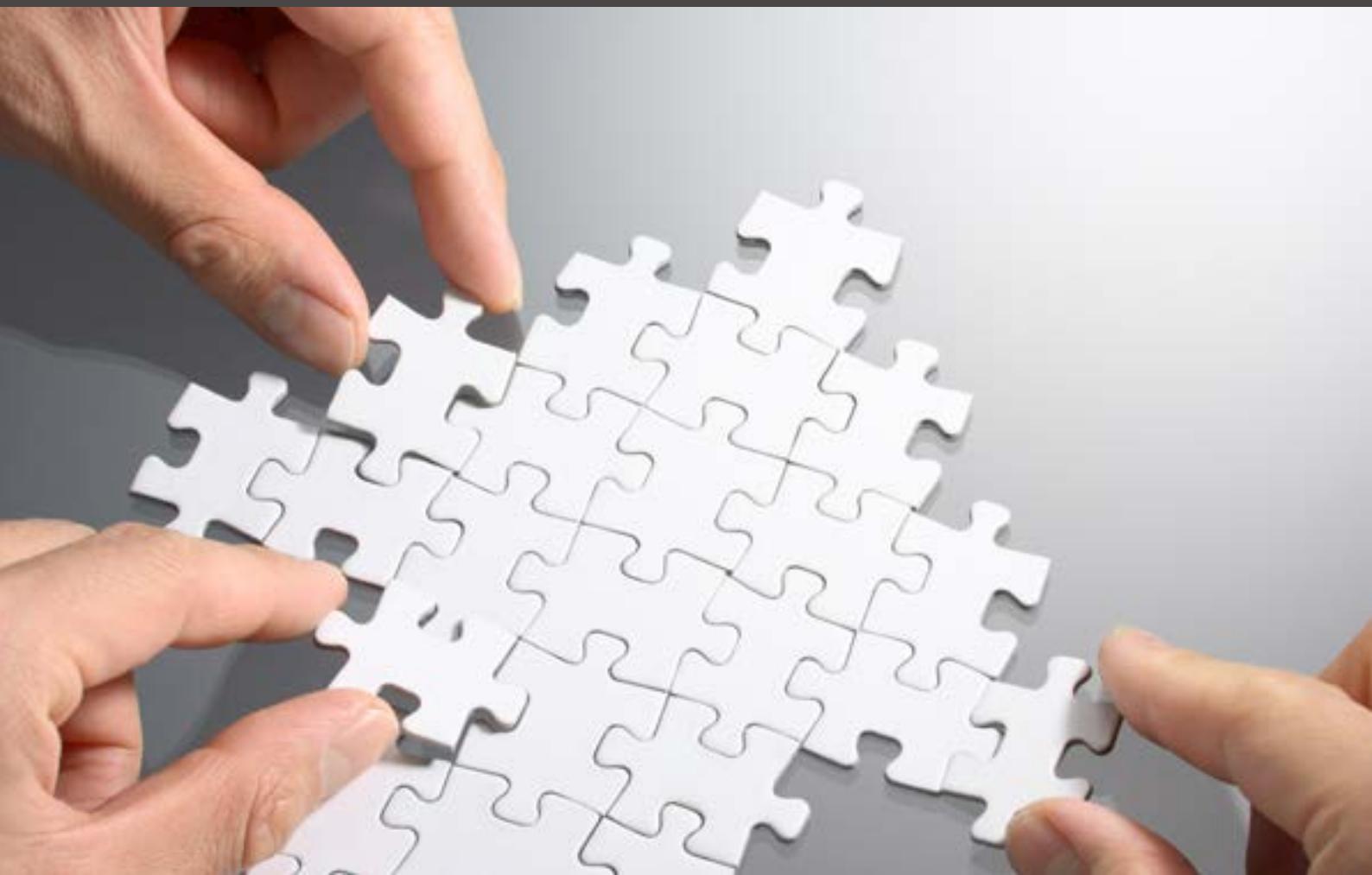


Source: Wales Audit Office survey of project leads.

4.16 Some of the projects, however, are now so embedded that they have in effect become a core service which, if stopped, would have a detrimental impact on wider service provision. In its latest guidance, the Welsh Government has emphasised that the fund should not be supporting projects that have become core services, and that other funding mechanisms should be sought. The Welsh Government recognises the challenges that the RPBs face in mainstreaming projects but has not previously provided any detailed guidance or support to help them address the issue. The guidance for 2019-20 does now include a clear expectation that revenue investment plans include exit strategies for each project ([paragraph 3.21](#)). However, this still lacks any practical examples about how regional partners can move to mainstream projects that are demonstrating impact. Regional partners may also have to make some difficult decisions to dis-invest from some services.

4.17 Once a year, the Welsh Government hosts an event to bring together RPB members and those directly involved in the funded projects. The aim of the event is to facilitate shared learning. Feedback from those who have attended identifies that the event is useful in understanding what projects are in place across Wales and showcasing projects that are working well. RPB members felt that the event would be more useful if there were wider opportunities to learn from the experiences of others, particularly in relation to overcoming challenges. The annual event could also be a useful mechanism for shared learning about mainstreaming.

# Appendices



# Appendix 1

## Audit methods

### Exhibit A1: audit methods used

We have reviewed central and regional documents including:



#### Document reviews

- Welsh Government guidance
- Strategic plans, including: local-authority corporate plans, health board integrated medium-term plans, public-service-board well-being plans
- Project plans
- RPB quarterly financial and performance monitoring returns
- Minutes from RPBs and sub-groups<sup>18</sup>

We have also reviewed relevant reports on health and social-care integration by Audit Scotland and the National Audit Office.



#### Surveys

We undertook surveys of RPB members and project leads responsible for projects during 2017-18.

We received responses from 71 of the 156 RPB members surveyed and 65 of the 243 project leads surveyed.



#### Interviews

We conducted interviews with:

- Regional leads for the Integrated Care Fund
- RPB members, including: elected members, officers, service users and third-sector representatives
- Project leads
- Welsh Government officials



#### Workshops

We held workshops with members of the relevant RPB sub-groups in each of the regions.

We also held workshops with a sample of project leads within each of the regions.

<sup>18</sup> Each RPB has delegated responsibility for elements of the fund to one or more sub-groups.



We analysed financial and project performance data for the period 2014-2019.

### Data analysis

---



We observed governance arrangements in practice by observing the Welsh Government's project board. We also observed meetings of all the RPBs and the relevant sub-groups responsible for overseeing the fund.

### Meeting observations

## Appendix 2

### Map of Regional Partnership Boards as at 31 March 2019<sup>19</sup>

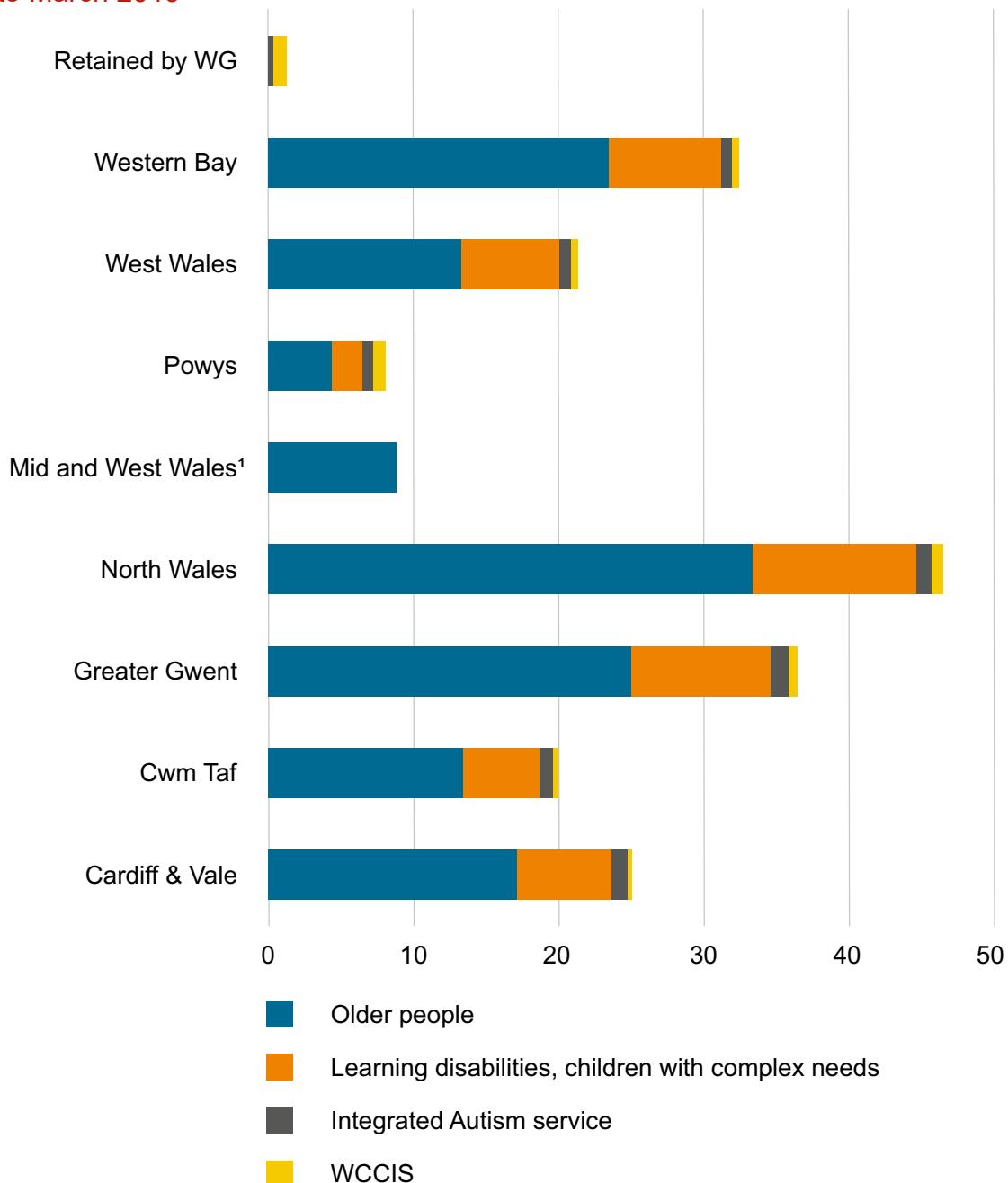


19 Following boundary changes relating to the Abertawe Bro Morgannwg University Health Board which came into effect on 1 April 2019, what is now Cwm Taf Morgannwg RPB includes Bridgend County Borough Council. The remaining partnership of Swansea Bay University Health Board, Swansea Council and Neath Port Talbot County Borough Council has been re-established as West Glamorgan RPB.

# Appendix 3

## Distribution of the fund between 2014 and 2019

Exhibit A2: distribution of revenue fund by region and area of scope, April 2014 to March 2019



### Note:

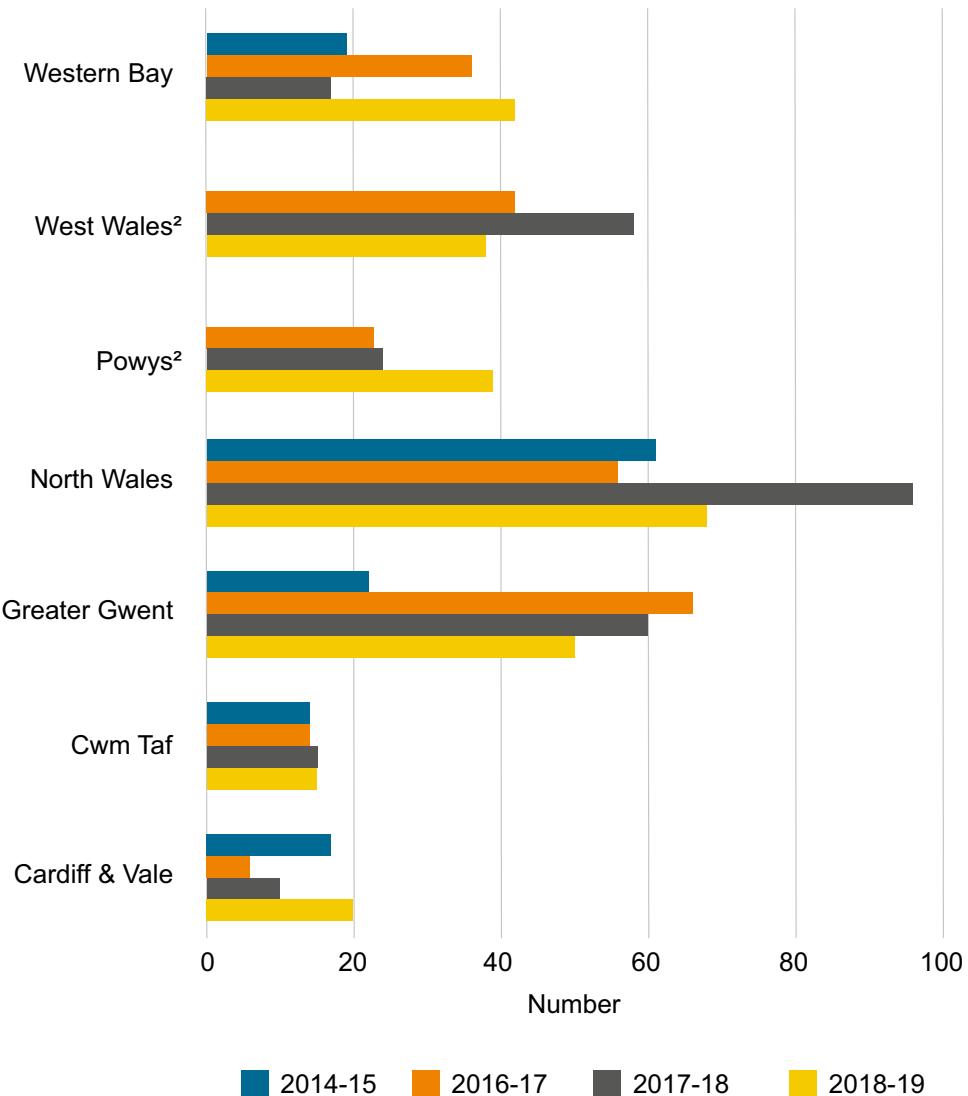
1. Between April 2014 and March 2016 West Wales and Powys were considered a single region and received a single allocation for Mid and West Wales.

Source: Wales Audit Office analysis of Welsh Government guidance and allocation letters.

# Appendix 4

## Breakdown of the number and scale of projects between 2014 and 2019

Exhibit A3: number of revenue projects by region, April 2014 to March 2019 (excluding 2015-16)<sup>1</sup>

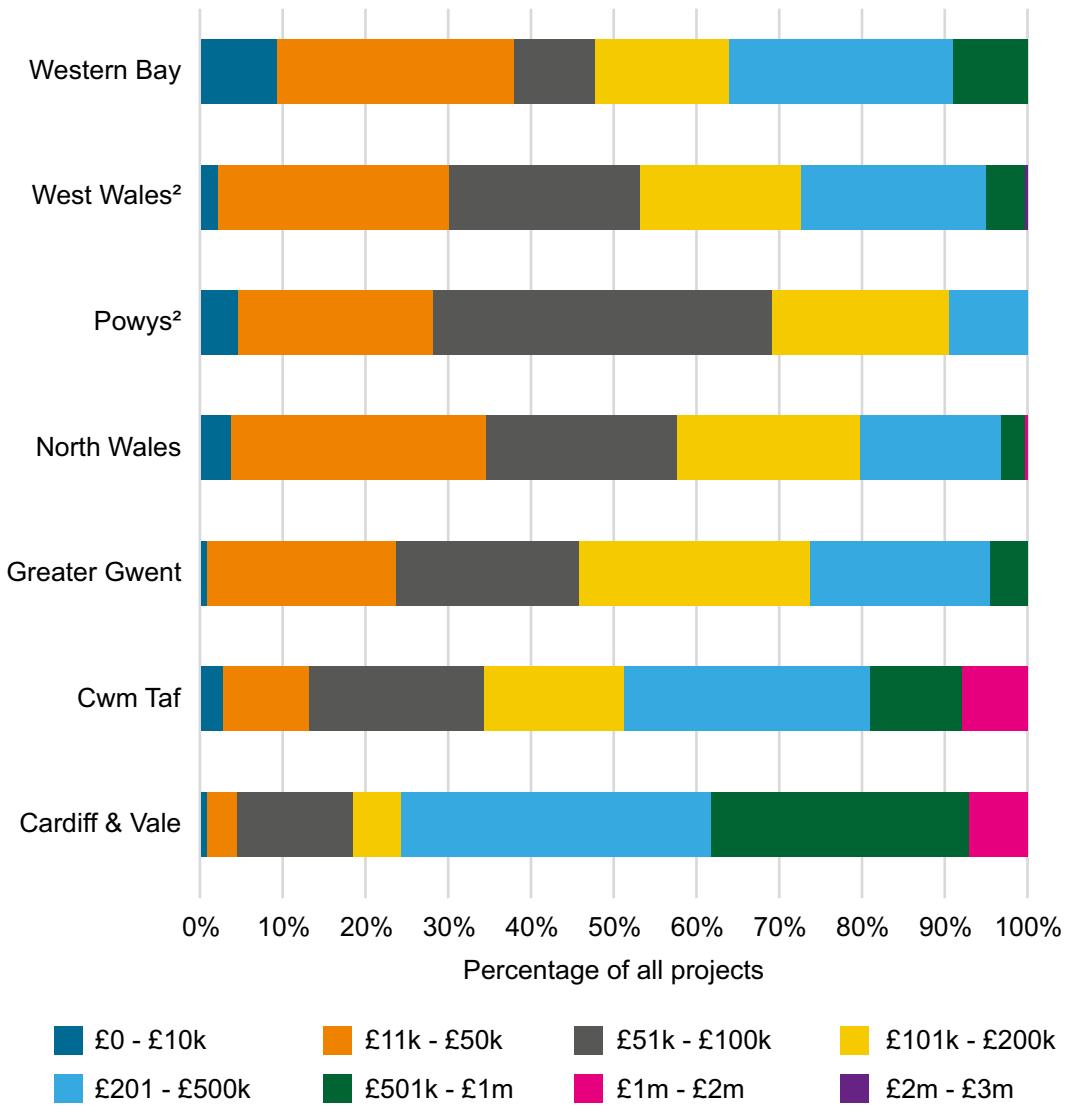


### Notes:

1. Projects were rolled forward for 2015-16 and have therefore been excluded.
2. Between April 2014 and March 2016 West Wales and Powys were considered a single region and received a single allocation for Mid and West Wales. We have excluded the number of projects for the Mid and West Wales region for the period 2014-2016 from the comparison.

Source: Wales Audit Office analysis of RPB monitoring returns to the Welsh Government.

**Exhibit A4: scale of projects by region, April 2014 to March 2019 (excluding 2015-16)<sup>1</sup>**



**Notes:**

1. Projects were rolled forward for 2015-16 and have therefore been excluded.
2. Between 2014-2016 West Wales and Powys were considered a single region and received a single allocation for the Mid and West Wales region. We have excluded the number of projects for the Mid and West Wales region for the period 2014-2016 from the comparison.

Source: Wales Audit Office analysis of RPB monitoring returns to the Welsh Government.

# Appendix 5

## Key findings from our surveys of RPB members and project leads

Our survey of RPB members<sup>20</sup> identified that:

-  59 out of 70 (84%) agreed that partner organisations demonstrate a commitment to partnership working.
-  38 out of 68 (56%) agreed that there were appropriate links with other regional groups and forums, such as Public Service Boards, to ensure that there were no overlaps or gaps in responding to legislative requirements.
-  33 out of 62 (53%) agreed that the ring fencing of the fund for the national initiatives was helpful.
-  21 out of 61 (34%) agreed that the templates provided by the Welsh Government for quarterly reporting captures the right information.
-  37 out of 59 (63%) agreed that there was helpful ongoing communication between the RPBs and the Welsh Government to understand any changes to the fund.
-  57 out of 71 (80%) agreed that proposals put forward for the RPB to approve are generally good quality.
-  39 out of 69 (57%) agreed that the RPB sets enough time aside for effective scrutiny of the delivery of the projects supported by the fund.
-  49 out of 68 (72%) agreed that there is a clear process for monitoring and managing project underspends and overspends within the RPB structure.
-  47 out of 68 (69%) agreed that the RPB and its sub-group focusses on outcomes when scrutinising the projects.
-  45 out of 70 (64%) agreed that the fund is funding the right projects.
-  60 out of 69 (87%) agreed that the projects funded were making a difference to service users.

<sup>20</sup> Not all members responding answered every question.

Our survey of project leads identified that:

-  46 out of 65 (71%) identified that their project(s) had received funding in previous years.
-  31 out of 65 (48%) identified that their project(s) received additional funding as well as the Integrated Care Fund.
-  60 out of 65 (92%) identified that their project(s) clearly linked to national strategic priorities, including the Well-Being of Future Generations (Wales) Act.
-  38 out of 65 (58%) identified that there was a risk management framework for their project(s).
-  58 out of 65 (89%) identified that they had received appropriate guidance from managers to support them in delivering the project(s).
-  27 out of 65 (40%) identified that they were required to include an exit strategy as part of their project plans.
-  51 out of 65 (78%) identified that there was a single point of accountability for delivery of the project(s).
-  21 out of 65 (32%) identified that their project(s) started on time.
-  26 out of 65 (40%) identified that there was a mechanism to measure the financial benefits of the project(s).
-  39 out of 65 (60%) identified that they had been able to demonstrate the impact of the project(s).
-  43 out of 65 (66%) identified that the fund is helping to provide sustainable and improved services in their region.
-  49 out of 65 (75%) identified that there were challenges in mainstreaming the project(s).
-  59 out of 65 (91%) identified that the project(s) was making a difference to service users.

# Appendix 6

## Progress against a previous recommendation

In the Auditor General's October 2015 report **Supporting the Independence of Older People: Are Councils Doing Enough?** we made the following recommendation to local authorities, health boards, third-sector partners and the Welsh Government. We have assessed progress against the recommendation ([Exhibit A5](#)).

### Exhibit A5: progress against the previous recommendation relating to the fund

Recommendation – to improve the management and impact of the [then] Intermediate Care Fund by:	Our assessment of progress
Setting a performance baseline at the start of projects to be able to judge the impact of these over time.	There is no single approach to performance management of projects, this differs amongst the regions as well as sometimes within the region ( <a href="#">paragraphs 3.18 to 3.20</a> ). There are examples of projects setting indicative performance during project planning, but it does not happen for all projects.
Agreeing the format and coverage of monitoring reports to enable funded projects to be evaluated on a like-for-like basis against the criteria for the fund, to judge which are having the greatest positive impact and how many schemes have been mainstreamed into core funding.	As outlined above, there is no single approach to project management or the ability to compare similar projects on a like-for-like basis ( <a href="#">paragraphs 4.5</a> ). There is evidence of some regions beginning to take an approach that would provide information for comparison (for example the regional outcomes framework in West Wales), but this is still in early development and there is no data available currently to make judgements about which projects are having the greatest impact.  Additionally, regions are struggling to capture positive impacts and evidence savings due to the preventative nature of the projects and there is little evidence that mainstreaming into core funding has taken place ( <a href="#">paragraphs 4.12 to 4.17</a> ).
Improving engagement with the full range of partners to ensure as wide a range of partners are encouraged to participate in future initiatives and programmes.	The extent to which partners are engaged with the fund does differ by region, with some ongoing concerns raised by third sector partners ( <a href="#">paragraph 3.16</a> ). However, the introduction of the RPBs since the inception of the fund has brought together a wider range of partners on a regional basis than was previously the case to contribute and participate in the programme ( <a href="#">paragraphs 1.1 to 1.7</a> ).

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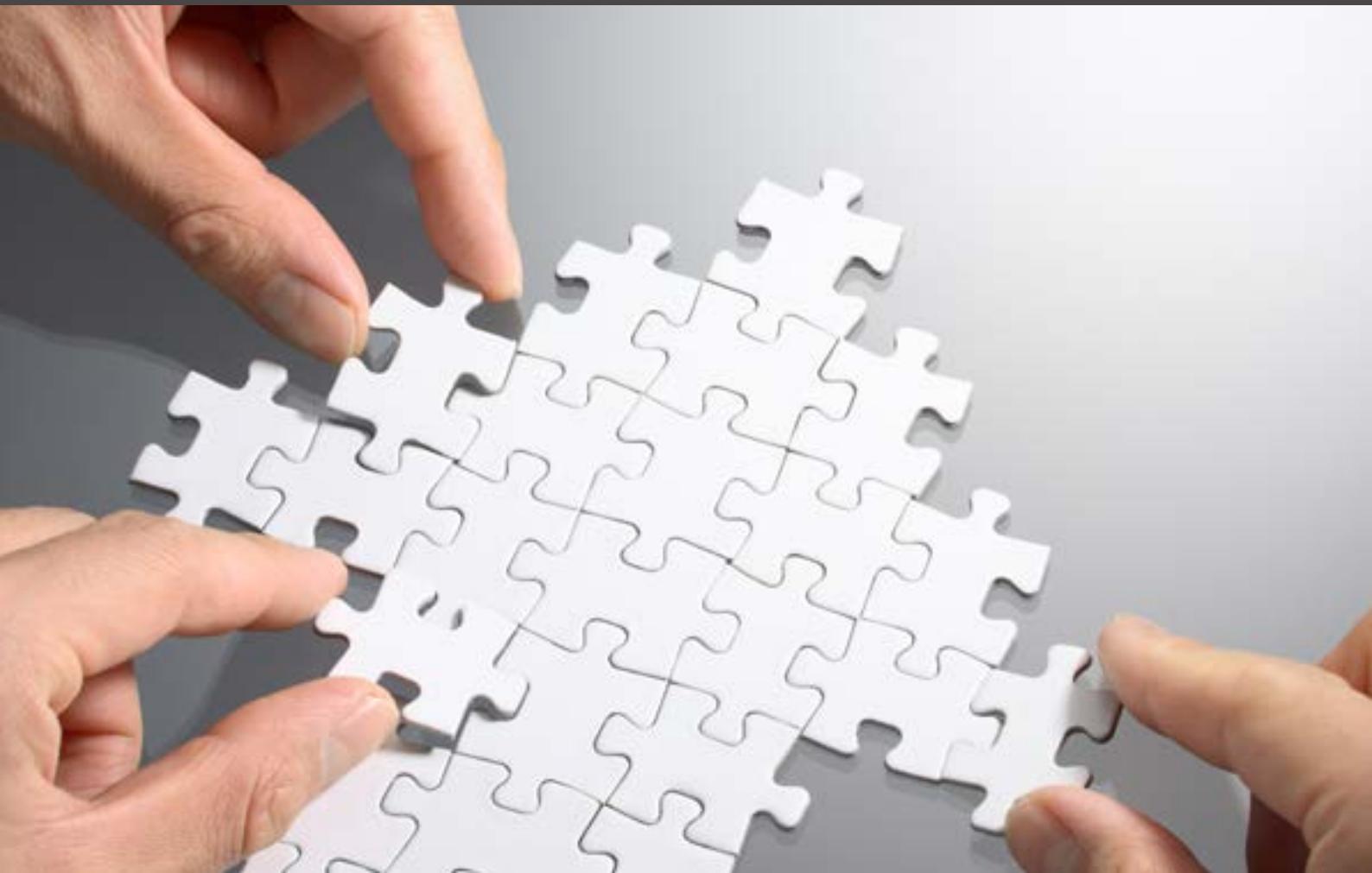
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Archwilydd Cyffredinol Cymru  
Auditor General for Wales

# Y Gronfa Gofal Integredig



WALES AUDIT OFFICE  
SWYDDFA ARCHWILIO CYMRU



Paratowyd yr adroddiad hwn i'w gyflwyno i'r Cynulliad  
Cenedlaethol o dan Ddeddfau Llywodraeth Cymru 1998 a  
2006, a Deddf Archwilio Cyhoeddus (Cymru) 2004.

Roedd tîm astudio Swyddfa Archwilio Cymru yn cynnwys Anne  
Beegan, Allison Rees, David Wilson, Fflur Jones, Matthew  
Brushett, Nathan Couch a Philippa Fido o dan gyfarwyddyd  
Matthew Mortlock.

**Swyddfa Archwilio Cymru**  
**24 Heol y Gadeirlan**  
**Caerdydd**  
**CF11 9LJ**

Mae'r Archwilydd Cyffredinol yn annibynnol o'r Cynulliad Cenedlaethol ac o lywodraeth. Mae'n archwilio ac yn ardystio cyfrifon Llywodraeth Cymru a'r cyrff cyhoeddus sy'n gysylltiedig â hi ac a noddir ganddi, gan gynnwys cyrff y GIG. Mae ganddo'r pŵer i gyflwyno adroddiadau i'r Cynulliad Cenedlaethol ar ddarbodaeth, effeithlonwydd ac effeithiolwydd y defnydd a wna'r sefydliadau hynny o'u hadnoddau wrth gyflawni eu swyddogaethau, a sut y gallent wella'r defnydd hwnnw.

Mae'r Archwilydd Cyffredinol hefyd yn archwilio cyrff llywodraeth leol yng Nghymru, mae'n cynnal astudiaethau gwerth am arian mewn llywodraeth leol ac yn arolygu cydymffurfiaeth gydag anghenion Mesur Llywodraeth Leol (Cymru) 2009.

Mae'r Archwilydd Cyffredinol yn ymgymryd â'i waith gan ddefnyddio staff ac adnoddau eraill a ddarperir gan Swyddfa Archwilio Cymru, sydd yn fwrrd statudol wedi'i sefydlu ar gyfer y nod hwnnw ac i foni tro a chynghori'r Archwilydd Cyffredinol.

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Cewch aildefnyddio'r cyhoeddiad hwn (heb gynnwys y logos) yn rhad ac am ddim mewn unrhyw fformat neu gyfrwng. Os byddwch yn ei aildefnyddio, rhaid i chi ei aildefnyddio'n gywir ac nid mewn cyd-destun camarweiniol. Rhaid cydnabod y deunydd fel hawlfraint Archwilydd Cyffredinol Cymru a rhaid rhoi teitl y cyhoeddiad hwn. Lle nodwyd deunydd hawlfraint unrhyw drydydd parti bydd angen i chi gael caniatâd gan ddeiliaid yr hawlfraint dan sylw cyn ei aildefnyddio.

Am fwy o wybodaeth, neu os ydych angen unrhyw un o'n cyhoeddiadau mewn ffurf ac/neu iaith wahanol, cysylltwch â ni drwy ffonio 029 2032 0500 neu drwy e-bostio post@archwilio.cymru. Rydym yn croesawu galwadau ffôn yn Gymraeg a Saesneg. Gallwch ysgrifennu atom hefyd, yn Gymraeg neu'n Saesneg, a byddwn yn ymateb yn yr iaith rydych chi wedi ei defnyddio. Ni fydd gohebu yn Gymraeg yn arwain at oedi.

**This document is also available in English.**

# Cynnwys

<b>Crynodeb</b>	<b>6</b>
<b>Argymhellion</b>	<b>14</b>
<b>1 Mae'r gronfa wedi helpu i ddod â sefydliadau ynghyd i gynllunio ac i ddarparu gwasanaethau</b>	<b>16</b>
Mae partneriaethau iechyd a gofal cymdeithasol yn bodoli ers peth amser ond nid oedd llawer o waith integredig yn digwydd cyn sefydlu'r gronfa	17
Mae'r gronfa wedi ysgogi partneriaid rhanbarthol i ddatblygu gwasanaethau integredig ac i symud at drefniadau ariannu ar y cyd yng nghyd-destun polisiau a deddfwriaeth ehangach	18
<b>2 Mae agweddau ar y ffordd y cafodd arian ei ddyrannu gan Lywodraeth Cymru a'i ddefnyddio gan bartneriaid rhanbarthol wedi cyfyngu ar botensial y gronfa hyd yma</b>	<b>20</b>
Mae disgwyliadau newidiol Llywodraeth Cymru, problemau o ran prydlondeb y prosesau dyrannu arian, a'r gorwelion byrdymor wedi llesteirio gwaith cyflawni rhanbarthol	21
Mae Llywodraeth Cymru yn mynd i'r afael â natur flynyddol y gronfa a bu iddi gyhoeddi canllawiau 2019-20 yn fwy prydlon	30
Gall y Byrddau Partneriaeth Rhanbarthol ei chael yn anodd taro cydbwysedd rhwng anghenion y boblogaeth leol a dyraniadau dangosol Llywodraeth Cymru ar gyfer grwpiau targed	32
Mae'r Byrddau Partneriaeth Rhanbarthol yn defnyddio eu dyraniadau mewn ffyrdd gwahanol ac nid yw pob un o'r rhain wedi cefnogi ffocws rhanbarthol	33

3	Mae angen datblygu trefniadau llywodraethu'r gronfa ymhellach i gryfhau'r gwaith goruchwyllo canolog ac i sicrhau mwy o gysondeb ar draws y rhanbarthau	37
	Mae Llywodraeth Cymru wedi sefydlu trefniadau llywodraethu'r gronfa, ond mae angen iddi wneud mwy i ystyried sut y mae ei gweithredoedd hithau'n effeithio ar bartneriaid rhanbarthol ac i integreiddio ffrydiau ariannu	38
	Mae capaciti staffio Llywodraeth Cymru i oruchwyllo'r gronfa'n rheolaidd ac yn amserol wedi bod yn gyfyngedig	39
	Yn aml, bydd y Byrddau Partneriaeth Rhanbarthol yn dirprwyo cyfrifoldeb dros y gronfa i is-grŵp ac nid yw'r byrddau iechyd a'r awdurdodau lleol yn craffu'n fanwl ar y modd y defnyddir y gronfa	40
	Mae cadernid y gwaith o reoli prosiectau'n amrywio o ranbarth i ranbarth ac o sefydliad i sefydliad, ac ychydig ohonynt sy'n cynnwys defnyddwyr gwasanaethau o'r dechrau'n deg	42
4	Er bod enghreifftiau cadarnhaol, nid yw effaith gyffredinol y gronfa o ran gwella canlyniadau defnyddwyr gwasanaethau yn glir o hyd, ac ni cheir llawer o dystiolaeth bod prosiectau llwyddiannus yn cael eu prif-ffrydio hyd yma	44
	Mae'r byrddau partneriaeth yn pennu amryw o astudiaethau achos cadarnhaol, ond nid yw trefniadau monitro canolog Llywodraeth Cymru yn gosod sylfaen i asesu effaith gyffredinol y gronfa hyd yma	45
	Ni cheir llawer o dystiolaeth bod prosiectau llwyddiannus wedi'u prif-ffrydio a'u hariannu fel rhan o wasanaethau craidd y cyrff cyhoeddus hyd yma, ond mae Llywodraeth Cymru wedi ailbwysleisio ei disgwyliadau	48

<b>Atodiadau</b>	<b>52</b>
Atodiad 1 – Dulliau archwilio	53
Atodiad 2 – Map o'r Byrddau Partneriaeth Rhanbarthol fel yr oeddent ar 31 Mawrth 2019	55
Atodiad 3 – Dosbarthiad y gronfa rhwng 2014 a 2019	56
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Atodiad 6 – Y cynnydd a wnaed o ran argymhelliaid blaenorol	61

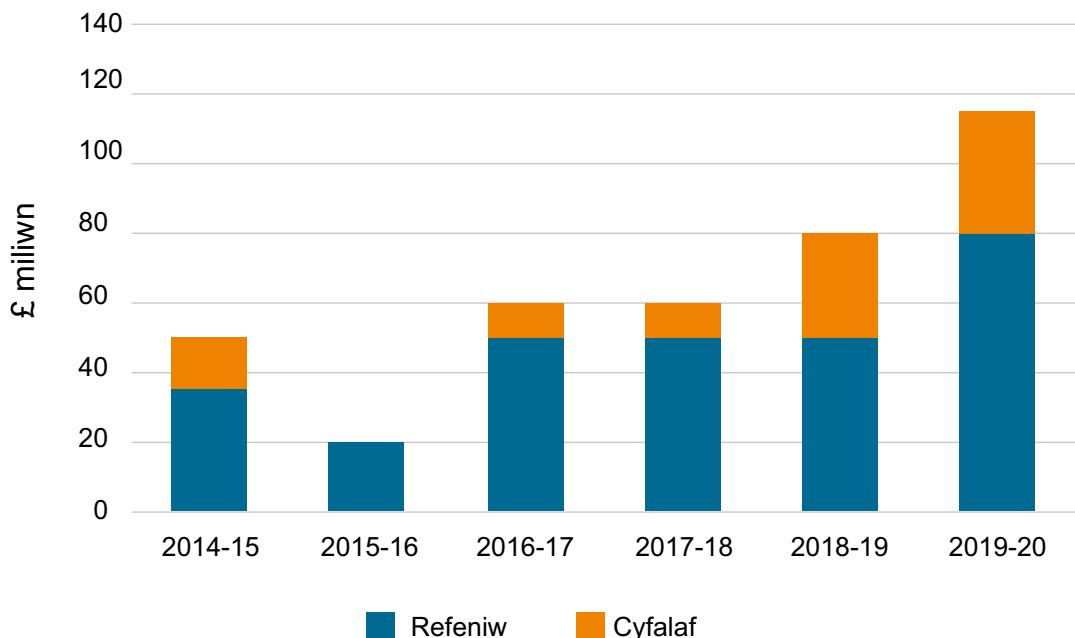
# Adroddiad cryno

## Crynodeb

- 1 Mae Llywodraeth Cymru'n dyrannu'r Gronfa Gofal Integredig (y gronfa) ledled Cymru. Nod y gronfa yw annog a galluogi gwasanaethau cymdeithasol, iechyd, tai, y trydydd sector a darparwyr annibynnol i weithio mewn ffordd integredig i ddatblygu gwasanaethau cynaliadwy.
- 2 Sefydlwyd y gronfa'n wreiddiol gan Lywodraeth Cymru am flwyddyn yn unig yn 2014-15 (fel y Gronfa Gofal Canolraddol<sup>1</sup>). Bryd hynny, roedd y gronfa'n canolbwytio ar gynorthwyo pobl hŷn a helpu i atal derbyniadau diangen i'r ysbyty neu dderbyniadau amhriodol i ofal preswyl. Roedd hefyd yn canolbwytio ar atal oedi wrth ryddhau cleifion o'r ysbyty a lleihau'r cyfraddau oedi wrth drosglwyddo gofal.
- 3 Ar ôl darparu rhywfaint o gyllid parhaus yn 2015-16, ehangodd Llywodraeth Cymru gwmpas y gronfa yn 2016-17 i gynnwys:
  - a plant ac oedolion ag anghenion cymhleth;
  - b plant ac oedolion ag anableddau dysgu; a'r
  - c Gwasanaeth Awtistiaeth Integredig (**Arddangosyn 2**).
- 4 Yn 2017-18, ehangodd Llywodraeth Cymru gwmpas y gronfa eto i gynnwys gofalwyr (o bob oed) a System Wybodaeth Gofal Cymunedol Cymru<sup>2</sup> (**Arddangosyn 2**).
- 5 Ers sefydlu'r gronfa, mae Llywodraeth Cymru wedi darparu cyfanswm o £270 miliwn hyd at fis Mawrth 2019. Ac eithrio 2015-16, gwnaed dyraniadau cyfalaf a refeniw bob blwyddyn (**Arddangosyn 1**). Mae Llywodraeth Cymru wedi cynyddu'r dyraniad cyfalaf i £35 miliwn yn 2019-20. Mae'r dyraniad refeniw wedi cynyddu i £80 miliwn, felly mae cyfanswm o £115 miliwn wedi'i ddyrannu i'r gronfa.

1 Yn 2017, newidiodd Llywodraeth Cymru enw'r gronfa i'r Gronfa Gofal Integredig i adlewyrchu'n well y nod o hybu gwaith integredig.  
2 Fel rhan o'r rhaglen waith ehangach, rydym yn mynd ati i gynnal ymchwiliad ar wahân i'r camau i roi'r system ar waith.

## Arddangosyn 1: cyfanswm yr arian a ddarparwyd rhwng Ebrill 2014 a Mawrth 2020



Nodyn: Mae arian refeniw'n cefnogi gwariant ar staff a threuliau gweinyddol. Mae arian cyfalaf yn cefnogi prynu a gwella asedau, gan gynnwys tir, adeiladau, cyfarpar a cherbydau.

Ffynhonnell: Dadansoddiad Swyddfa Archwilio Cymru o ganllawiau Llywodraeth Cymru.

- 6 Mae Llywodraeth Cymru'n dosbarthu'r gronfa ledled Cymru i'r saith bwrdd partneriaeth rhanbarthol<sup>3</sup> (y byrddau partneriaeth) ar sail egwyddorion ariannu amrywiol<sup>4</sup>. Mae'r byrddau partneriaeth yn cydffinio â'r saith bwrdd iechyd (Atodiad 2) ac maent yn gyfrifol am oruchwylio a rheoli'r modd y defnyddir y gronfa yn eu hardaloedd. Mae'r byrddau iechyd yn derbyn yr arian ac yn gweithredu fel banciwr ar ran y bwrdd partneriaeth perthnasol. Mae Atodiad 3 yn dangos sut y mae Llywodraeth Cymru wedi dyrannu'r gronfa fesul bwrdd partneriaeth o fis Ebrill 2014 i fis Mawrth 2019.

3 Sefydlwyd y Byrddau Partneriaeth Rhanbarthol yn 2016 gan **Ddeddf Gwasanaethau Cymdeithasol a Llesiant (Cymru) 2014**. Maent yn gyfrifol am sicrhau bod y sefydliadau sy'n bartneriaid iddynt yn cydweithio'n effeithiol i bennu anghenion poblogaeth y rhanbarth (asesiad o'r boblogaeth). Maent hefyd yn gyfrifol am baratoi a rheoli cynllun ardal i fynd i'r afael â'r anghenion hynny.

4 Mae Llywodraeth Cymru'n dyrannu'r arian ar draws gwahanol ffrydiau'r rhaglen. Cedwir peth ohono'n ganolog ar gyfer mentrau cenedlaethol. Dyrennir yr arian sy'n canolbwytio ar bobl hŷn ar sail fformiwl 'Townsend' a ddefnyddir hefyd i ddyrannu adnoddau GIG Cymru i'r byrddau iechyd. Dyrennir yr arian sy'n canolbwytio ar blant, ac oedolion ag anableddau, ar sail fformiwl presgripsiynu. Er ei fod yn grŵp sy'n flaenoriaeth, nid oes arian ar wahân ar gyfer gofalwyr.

- 7 Gall y gronfa gefnogi mentrau (neu brosiectau) newydd, yn ogystal ag estyn mentrau sy'n bodoli eisoes i ardal ehangach. Mae Llywodraeth Cymru'n bwriadu i fentrau llwyddiannus barhau, ond drwy eu prif-ffrydio i fusnes craidd y sefydliadau a'u cefnogi drwy ffrydiau ariannu eraill.
- 8 Rhaid i'r byrddau partneriaeth ddefnyddio'r gronfa yn unol â chanllawiau Llywodraeth Cymru. Y byrddau partneriaeth sy'n cymeradwyo prosiectau refeniw. Yna, maent yn cyflwyno Cynllun Buddsoddi Refeniw blynnyddol i Lywodraeth Cymru sy'n nodi sut y byddant yn defnyddio'r gronfa. Maent yn cyflwyno cynigion i ddefnyddio'r arian cyfalaf i Lywodraeth Cymru eu cymeradwyo. Rhaid iddynt ddangos sut y mae'r prosiectau arfaethedig yn cydweddu â deddfwriaeth/polisiau allweddol, gan gynnwys Deddf Gwasanaethau Cymdeithasol a Llesiant (Cymru) 2014 a Deddf Llesiant Cenedlaethau'r Dyfodol (Cymru) 2015.
- 9 Mae **Arddangosyn 2** yn rhestru rhai enghreifftiau o'r prosiectau a ariannwyd. Mae **Atodiad 4** yn rhoi mwy o wybodaeth am nifer a maint y prosiectau a gefnogwyd ledled Cymru rhwng mis Ebrill 2014 a mis Mawrth 2019.

### Arddangosyn 2: enghreifftiau o'r prosiectau a ariannwyd



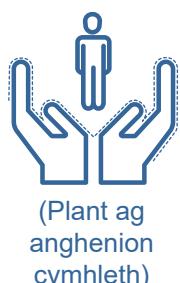
#### **Uned Ailalluogi 'Y Bae'** – (Bwrdd Partneriaeth Rhanbarthol Caerdydd a'r Fro)

Uned â chwe gwely sy'n bont rhwng yr ysbyty a'r cartref yw 'Y Bae', a hynny ar gyfer pobl y mae angen iddynt dreulio mwy o amser mewn amgylchedd cefnogol i sicrhau eu bod mor annibynnol â phosibl.



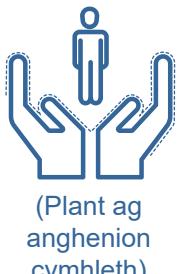
#### **'Cadw'n lach Gartref'** – (Bwrdd Partneriaeth Rhanbarthol Cwm Taf)

Ystod o wasanaethau a ddatblygwyd i helpu i gadw pobl yn iach ac yn annibynnol yn eu cartrefi ac i atal derbyniadau i'r ysbyty yw 'Cadw'n lach Gartref'. Mae'n cynnwys Gwasanaeth Asesu Integredig Cymunedol, Ward Cymunedol, Therapi Mewnwythiennol Cymunedol a Gwasanaeth Ailalluogi.



#### **Gwasanaeth Cymorth Lleoliadau Aml-asiantaeth** – (Bwrdd Partneriaeth Rhanbarthol Bae'r Gorllewin)

Mae'r gwasanaeth rhanbarthol hwn yn cynorthwyo plant sy'n derbyn gofal sy'n dioddef afiechyd meddwl a/neu emosiynol a/ neu anawsterau ymddygiadol, neu blant sydd mewn perygl o'u dioddef, drwy ddarparu cymorth lleoli arbenigol.



### **Egwyl Fer – (Bwrdd Partneriaeth Rhanbarthol Gogledd Cymru)**

Mae'r fenter hon wedi datblygu a gwella'r seibiannau byrion a ddarperir i blant anabl ag anghenion cymhleth a/neu anableddau dysgu. Mae'r fenter hon yn darparu seibiannau byrion amrywiol i ddiwallu anghenion plant, pobl ifanc a'u teuluoedd ar ôl asesiadau aml-asiantaeth.



(Anableddau Dysgu)

### **Caffi Man Cwrdd – (Bwrdd Partneriaeth Rhanbarthol Gorllewin Cymru)**

Caffi cyflogaeth â chymorth yw'r Caffi Man Cwrdd. Mae'n darparu profiad gwaith, hyfforddiant a chyfleoedd cyflogaeth ym maes arlwyd, bwyd a gwasanaeth cwsmeriaid i bobl ag anableddau dysgu yn Sir Benfro.



(Anableddau Dysgu)

### **Dychwelyd Adref – (Bwrdd Partneriaeth Rhanbarthol Powys)**

Mae'r prosiect Dychwelyd Adref yn cynorthwyo pobl ag anableddau dysgu i fyw bywydau ystyrlon a buddiol yn eu cymunedau eu hunain. Mae'r prosiect wedi cefnogi camau i ddatblygu prosesau asesu i gynorthwyo pobl i symud yn ôl i Bowys ac mae wedi mynd ati i adeiladu uned â chwe gwely yn y Trallwng.



(Gofalwyr)

### **Helpu i fyw yn ogystal â gofalu – (Bwrdd Partneriaeth Rhanbarthol Gwent Fwyaf)**

I helpu i gefnogi bywyd ochr yn ochr â gofalu a seibiant, mae'r bartneriaeth wedi llunio Cynllun Grantiau Bach ar gyfer gofalwyr. Ei nod yw cynorthwyo gofalwyr â gwahanol agweddau ar eu rôl ofalu. Mae'r Ymddiriedolaeth Gofalwyr yn gweithredu'r cynllun ar ran y rhanbarth, ac mae'n agored ac yn hygyrch i bob gofalwyr dros 16 oed.



(GAI)

### Gwasanaeth Awtistiaeth Integredig – (pob Bwrdd Partneriaeth Rhanbarthol)

Mae'r Gwasanaeth Awtistiaeth Integredig yn rhan o ymrwymiad Llywodraeth Cymru yn ei Chynllun Gweithredu diwygiedig ar gyfer Anhwylderau'r Sbectwm Awtistig i wella'r gwasanaethau i unigolion awtistig, eu teuluoedd a'u gofalwyr. Cyflwynwyd y gwasanaeth ar draws y rhanbarthau dros gyfnod o dair blynedd rhwng 2016-17 a 2018-19 ac mae'n darparu asesiadau diagnostig, cymorth a chyngor i oedolion.



(SWGCC)

### System Wybodaeth Gofal Cymunedol Cymru – (pob Bwrdd Partneriaeth Rhanbarthol)

System gyfrifiadurol yw System Wybodaeth Gofal Cymunedol Cymru i helpu gweithwyr iechyd a gofal cymdeithasol proffesiynol i gydweithio i ddarparu gofal yn nes at y cartref. Mae'r system yn cael ei chyflwyno ledled Cymru dros gyfnod o dair blynedd a ddechreuodd yn 2017-18.

Ffynhonnell: Dadansoddiad Swyddfa Archwilio Cymru o ffurflenni monitro'r Byrddau Partneriaeth Rhanbarthol a gyflwynwyd i Lywodraeth Cymru.

- 10 Ar ran Archwilydd Cyffredinol Cymru, rydym wedi pwysa a mesur a yw'r gronfa'n cael ei defnyddio i ddarparu gwasanaethau cynaliadwy sy'n cyflawni gwell canlyniadau i ddefnyddwyr gwasanaethau. Rydym wedi canolbwytio ar ba un a yw Llywodraeth Cymru'n rheoli'r gronfa'n effeithiol i gyflawni ei hamcanion, ac ar ddod i wybod a yw'r byrddau partneriaeth yn dangos eu bod yn defnyddio'r gronfa'n effeithiol. Rydym hefyd wedi ystyried a yw'r prosiectau a gefnogir gan y gronfa'n gwneud gwahaniaeth amlwg ar lefel leol.
- 11 Mae **Atodiad 1** yn amlinellu ein dulliau archwilio sy'n cynnwys arolwg ymhliith aelodau'r byrddau partneriaeth ac arweinwyr y prosiectau a gefnogwyd gan y gronfa. Mae **Atodiad 5** yn rhoi mwy o fanylion am yr ymatebion i'n harolygon. Rhoddwyd adborth i bob bwrdd partneriaeth am y trefniadau rhanbarthol yn yr hydref 2018. Rhoddwyd adborth am ein canfyddiadau cychwynnol i Lywodraeth Cymru hefyd. Ym mhrif gorff yr adroddiad hwn, rydym yn nodi ymhle mae Llywodraeth Cymru eisoes wedi mynd i'r afael â'r materion a benwyd gennym.

- 12 Yn 2015, bu inni gyhoeddi adroddiad<sup>5</sup> am annibyniaeth pobl hŷn. Yn ddo, gwnaethom argymhelliaid i'r awdurdodau lleol, y cyrff iechyd, partneriaid y trydydd sector a Llywodraeth Cymru o ran y gronfa. Yn **Atodiad 6**, ceir asesiad o'r cynnydd a wnaed o ran yr argymhelliaid hwnnw.
- 13 Yn gyffredinol, daethom i'r casgliad **bod y gronfa wedi cael effaith gadarnhaol drwy gefnogi gwaith partneriaeth gwell ac integreiddio gwasanaethau iechyd a gofal cymdeithasol yn well**. Fodd bynnag, mae agweddu ar y ffordd y cafodd y gronfa ei rheoli ar lefel genedlaethol, lefel ranbarthol a lefel prosiectau wedi cyfyngu ar ei photensial hyd yma. Ni cheir llawer o dystiolaeth bod prosiectau llwyddiannus yn cael eu prif-ffrydio a'u hariannu fel rhan o wasanaethau craidd y cyrff cyhoeddus hyd yma.
- 14 **Mae'r gronfa wedi helpu i ddod â sefydliadau ynghyd i gynllunio ac i ddarparu gwasanaethau.** Mae partneriaethau iechyd a gofal cymdeithasol yn bodoli ers peth amser, ond nid oedd llawer o waith integredig yn digwydd cyn sefydlu'r gronfa. Mae'r gronfa wedi ysgogi partneriaid i ddatblygu gwasanaethau integredig ac i symud at drefniadau ariannu ar y cyd yng nghyd-destun polisiau a deddfwriaeth ehangach. Mae'r adborth gan aelodau'r byrddau partneriaeth ac arweinwyr prosiectau yn dangos bod eu barn am hyn yn gadarnhaol ar y cyfan.
- 15 **Mae agweddu ar y ffordd y cafodd arian ei ddyrannu gan Llywodraeth Cymru a'i ddefnyddio gan y partneriaid rhanbarthol wedi cyfyngu ar botensial y gronfa hyd yma.** Mae'r ffaith bod cwmpas y gronfa wedi newid ac ehangu wedi creu heriau i'r Byrddau Partneriaeth Rhanbarthol. Er bod Llywodraeth Cymru wedi ceisio darparu gwybodaeth yn gynnar, mae'r ffaith iddi fod yn hwyr yn cyhoeddi canllawiau ac yn rhoi gwybod am ddyraniadau yn y gorffennol wedi creu anawsterau o ran cynllunio rhanbarthol. Mae hyn, yn ei dro, wedi effeithio ar gymeradwyo ceisiadau cyfalaf ac ar ddyrannu'r cronfeydd ar ôl eu cymeradwyo. Mae natur flynyddol y gronfa yn ystod ei blynnyddoedd cynnar hefyd wedi arwain at ddull byrdymor o weithredu, yn hytrach na hybu cynlluniau strategol ar gyfer newidiadau mwy hirdymor. Mae Llywodraeth Cymru'n mynd i'r afael â natur flynyddol y gronfa ac fe gyhoeddodd ganllawiau 2019-20 yn fwy prydlon.

5 Archwilydd Cyffredinol Cymru: **Helpu Pobl Hŷn i Fyw'n Annibynnol: A yw cyngorau'n gwneud digon?** Hydref 2015.

- 16 Gall y byrddau partneriaeth ei chael yn anodd taro cydbwysedd rhwng anghenion y boblogaeth leol a dyraniadau dangosol Llywodraeth Cymru ar gyfer grwpiau targed. Mae'r ffaith bod rhai o ffrydiau ariannu tymor byr eraill Llywodraeth Cymru'n canolbwytio ar yr un grwpiau targed, ond gyda meini prawf gwahanol, hefyd yn ei gwneud yn anodd i'r byrddau partneriaeth ddefnyddio dull cyfun. Mae'r byrddau partneriaeth yn defnyddio eu dyraniadau mewn gwahanol ffyrdd, ac nid yw pob un o'r rhain wedi cefnogi ffocws rhanbarthol. Mae Llywodraeth Cymru wedi ailbwysleisio ei dyhead iddynt ddefnyddio dulliau rhanbarthol yng nghanllawiau 2019-20 ac fel rhan o'i gwaith i graffu ar y cynlluniau buddsoddi. Mae'r gwahaniaethau eraill yn cynnwys y dull o ariannu gwaith cydgysylltu canolog, rhan y trydydd sector, a'r dull o gytuno ar brosiectau, ac mae'r camau i rannu'r dulliau a ddefnyddir ledled Cymru ac i ddysgu ohonynt yn gyfyngedig.
- 17 **Mae angen datblygu trefniadau llywodraethu'r gronfa ymhellach i gryfhau'r gwaith goruchwyliau canolog ac i sicrhau mwy o gysondeb ar draws y rhanbarthau.** Mae Llywodraeth Cymru wedi sefydlu trefniadau llywodraethu'r gronfa. Fodd bynnag, canfuwyd y gallai Llywodraeth Cymru wneud mwy, drwy ei bwrdd prosiect, ac yn gyffredinol, i ystyried sut y mae ei gweithredoedd hithau'n effeithio ar y partneriaid rhanbarthol ac i integreiddio ffrydiau ariannu. Bu capaciti staffio Llywodraeth Cymru i oruchwyliau'r gronfa'n rheolaidd ac yn amserol yn gyfyngedig hefyd. Mae Llywodraeth Cymru eisoes wedi gwneud rhai newidiadau i fynd i'r afael â'r materion hyn.
- 18 Ar lefel ranbarthol, mae'r byrddau partneriaeth yn aml yn dirprwyo'r cyfrifoldeb dros y gronfa i un o'u his-grwpiau. Mae gan bob un o'r byrddau partneriaeth femorandwm cyd-ddealltwriaeth sy'n nodi'r broses benderfynu y cytunwyd arni. Fodd bynnag, mae ein gwaith wedi dangos nad yw'r byrddau iechyd na'r awdurdodau lleol yn craffu'n fanwl ar benderfyniadau'r byrddau partneriaeth, a bod diffyg ymwybyddiaeth cyffredinol ar draws y sefydliadau hynny o'r ffordd y defnyddir y gronfa. Ar lefel prosiectau, mae cadernid y gwaith o'u rheoli'n amrywio o ranbarth i ranbarth ac o sefydliad i sefydliad, ac ychydig ohonynt sy'n cynnwys defnyddwyr gwasanaethau o'r dechrau'n deg.

- 19 **Ceir enghreiffiau cadarnhaol, ond nid yw effaith gyffredinol y gronfa o ran gwella canlyniadau defnyddwyr gwasanaethau'n glir o hyd, ac ni cheir llawer o dystiolaeth bod prosiectau llwyddiannus yn cael eu prif-ffrydio hyd yma.** Mae'r byrddau partneriaeth yn pennu amryw o astudiaethau achos cadarnhaol ond nid yw trefniadau monitro canolog Llywodraeth Cymru yn gosod sylfaen i asesu effaith gyffredinol y gronfa hyd yma. Mae'r byrddau partneriaeth yn monitro prosiectau bob chwarter, ond mae'r wybodaeth a gesglir wedi tueddu i ganolbwytio ar allbynna'u'r cyllid yn hytrach na chanlyniadau'r defnyddwyr. Mae Llywodraeth Cymru a'r byrddau partneriaeth yn cydnabod bod angen cryfhau'r broses o adrodd am ganlyniadau, ac mae Llywodraeth Cymru'n bwriadu comisiynu gwaith gwerthuso ehangach ar ôl iddi benderfynu gohirio gwerthusiad a gyhoeddwyd yn flaenorol oherwydd ein cynlluniau i ymgymryd â'n gwaith ni. Mae Llywodraeth Cymru hefyd yn bwriadu cyhoeddi adroddiad blynnyddol erbyn mis Medi 2019 am y ffordd y defnyddiwyd y gronfa yn 2018-19.
- 20 Ni cheir llawer o dystiolaeth bod prosiectau llwyddiannus wedi'u prif-ffrydio a'u hariannu fel rhan o wasanaethau craidd y cyrff cyhoeddus. Mae'r byrddau partneriaeth wedi'i chael yn anodd darbwyllo'r sefydliadau sy'n bartneriaid i fuddsoddi mewn prosiectau, ac nid yw'r ffaith nad yw prosiectau'n cael eu gwerthuso, na'r cyd-destun lle ceir pwysau ariannol ehangach, wedi helpu'r sefyllfa. Mae Llywodraeth Cymru'n cydnabod yr heriau y mae'r byrddau partneriaeth yn eu hwynebu o ran prif-ffrydio, ond nid yw wedi darparu unrhyw ganllawiau manwl o'r blaen. Mae canllawiau 2019-20 bellach yn nodi'n glir bod disgwyl i'r cynlluniau buddsoddi refeniw gynnwys strategaethau ymadael ar gyfer pob prosiect. Fodd bynnag, byddai'n ddefnyddiol darparu cymorth ymarferol pellach, gan adeiladu ar y digwyddiad dysgu ar y cyd a gynhelir bob blwyddyn.

## Argymhellion

21 Bwriedir i'n hargymhellion gynorthwyo Llywodraeth Cymru a'r Byrddau Partneriaeth Rhanbarthol i wella'r trefniadau i reoli'r gronfa. Fodd bynnag, gallant hefyd fod yn berthnasol i ffrydiau ariannu eraill Llywodraeth Cymru, fel Cronfa Trawsnewid y GIG<sup>6</sup>. Rydym hefyd yn credu bod ein hargymhellion yn adroddiad 2015 am annibyniaeth pobl hŷn yn dal i fod yn berthnasol (**Atodiad 6**). Yn ein hadborth i'r byrddau partneriaeth am y trefniadau rhanbarthol, pennwyd meysydd i'w gwella sy'n berthnasol i ranbarthau unigol er mwyn mynd i'r afael â materion lleol.

## Argymhellion

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### Canllawiau a phenderfyniadau prydion

A1 Rydym yn argymhell y dylai Llywodraeth Cymru:

- gadw llygad i weld a yw cyhoeddi ei chanllawiau'n gynharach wedi lliniaru'r problemau sydd wedi codi mewn blynnyddoedd blaenorol o ran prydiondeb penderfyniadau ynghylch ariannu prosiectau; ac
- ystyried a all wneud unrhyw welliannau eraill i'r broses.

### Cronfeydd tymor byr lluosog ar gyfer iechyd, gofal cymdeithasol a thai

A2 Gan adeiladu ar waith mapio blaenorol, rydym yn argymhell y dylai Llywodraeth Cymru adolygu'r holl ffrydiau ariannu tymor byr sydd ar gael ar gyfer partneriaid iechyd, gofal cymdeithasol a thai, ynghyd â'r mein prawf perthnasol, a lle bo'n ymarferol, dylai gyflwyno newidiadau priodol er mwyn:

- lleihau dyblygu;
- sicrhau bod amcanion y ffrydiau ariannu'n cydweddu â'i gilydd a bod y dyraniadau cyfun ar gyfer grwpiau penodol o bobl yn cydweddu ag anghenion y boblogaeth leol, yn ogystal â meysydd blaenorriaeth Llywodraeth Cymru; a
- sicrhau bod y sefydliadau rhanbarthol sy'n bartneriaid, lle bo'n berthnasol drwy'r Byrddau Partneriaeth Rhanbarthol, yn gallu mynd ati i ddefnyddio'r ffrydiau ariannu sydd ar gael iddynt ar y cyd.

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6 Rhaid defnyddio Cronfa Trawsnewid GIG 2018-20 a sefydlwyd gan Lywodraeth Cymru i gyflawni'r ymrwymiadau a wnaed yn **Cymru Iachach: ein Cynllun Iechyd a Gofal Cymdeithasol**, Mehefin 2018.

## Argymhellion

### Trefniadau y bwrdd prosiect

- A3 Rydym yn argymhell y dylai Llywodraeth Cymru gryfhau trefniadau llywodraethu'r gronfa ymhellach drwy adolygu aelodaeth y bwrdd prosiect i gynnwys cynrychiolaeth o'r tu allan i'r adrannau sy'n ymwneud yn uniongyrchol â'r gronfa, a hynny i roi rhywfaint o her annibynnol.

### Trefniadau graffu'r Byrddau Partneriaeth Rhanbarthol

- A4 Rydym yn argymhell y dylai Llywodraeth Cymru gydweithio â chyrrf y GIG a'r awdurdodau lleol i sicrhau bod trefniadau priodol ar waith i graffu ar y penderfyniadau y mae'r Byrddau Partneriaeth Rhanbarthol yn eu gwneud ar ran y cyrrf hynny.

### Monitro prosiectau

- A5 Rydym yn argymhell y dylai Llywodraeth Cymru gydweithio â'r Byrddau Partneriaeth Rhanbarthol er mwyn:
- cytuno ar y mesurau canlyniadau allweddol y disgwyli'r iddynt gael eu bodloni, a'u monitro, ar gyfer y gwahanol grwpiau targed sy'n cael arian o'r gronfa. Lle bo modd, dylai'r mesurau hyn gydwedd a'r mesurau canlyniadau ehangach a bennir yn y fframweithiau canlyniadau cenedlaethol sydd eisoes ar waith;
  - egluro sut y caiff yr wybodaeth a gesglir ei defnyddio'n ganolog; a
  - symleiddio gofynion adrodd prosiectau refeniw a phrosiectau cyfalaf lle bo'n ymarferol gwneud hynny.

### Dysgu ar y cyd a phrif-ffrydio prosiectau

- A6 Rydym yn argymhell y dylai Llywodraeth Cymru roi mwy o gefnogaeth ar gyfer cyfleoedd i ddysgu ar y cyd ar draws y Byrddau Partneriaeth Rhanbarthol, gan ganolbwytio'n benodol ar:
- ddulliau o reoli'r gronfa yng nghyd-destun y dulliau amrywiol a nodir yn yr adroddiad hwn; a
  - goesgyn yr heriau rhag prif-ffrydio prosiectau llwyddiannus.

## Rhan 1

Mae'r gronfa wedi helpu i ddod â  
sefydliadau ynghyd i gynllunio ac i  
ddarparu gwasanaethau



## Mae partneriaethau iechyd a gofal cymdeithasol yn bodoli ers peth amser ond nid oedd llawer o waith integredig yn digwydd cyn sefydlu'r gronfa

- 1.1 Mae fforymau partneriaeth iechyd a gofal cymdeithasol yn bodoli ers peth amser. Yn 2003, gofynnodd Llywodraeth Cymru i gyrrf cyhoeddus allweddol gydweithio i lunio strategaeth iechyd, gofal cymdeithasol a llesiant ar gyfer eu hardal<sup>7</sup>, gan nodi sut y byddent yn diwallu anghenion eu poblogaethau lleol. I hybu'r agenda hon, sefydlodd y cyrff cyhoeddus fforymau partneriaeth (neu grwpiau llywio) ar draws y gwahanol ardaloedd. Fe'u sefydlwyd ar ôl troed y 22 awdurdod lleol, gan gydweithio â'r 13 ymddiriedolaeth GIG a'r 22 bwrdd iechyd lleol oedd yn bodoli ar y pryd. Ar ôl ad-drefnu'r GIG yn 2009, dechreuodd y fforymau partneriaeth iechyd a gofal cymdeithasol integredig uno, gan greu saith fforwm partneriaeth. Gosododd y rhain sylfaen ar gyfer y Byrddau Partneriaeth Rhanbarthol sy'n bodoli heddiw.
- 1.2 Nid oedd i'r fforymau partneriaeth blaenorol unrhyw sail statudol. Yr unig beth yr oedd yn rhaid i'r cyrff partneriaeth ei wneud oedd paratoi strategaeth iechyd, gofal cymdeithasol a llesiant leol. Bu'r partneriaethau'n pwysa a mesur y posiblwydd o gronni arian i ddatblygu gwasanaethau integredig i'w helpu i roi eu strategaethau lleol ar waith. Fodd bynnag, dim ond llond dwrn o gytundebau Adran 33<sup>8</sup> neu swyddi neu wasanaethau wedi'u hariannu ar y cyd oedd yn bodoli cyn cyflwyno'r gronfa yn 2014. Parodrwydd y cyrff cyhoeddus allweddol i ryddhau arian ar gyfer trefniadau ar y cyd oedd un o'r prif rwystrau.

7 Llywodraeth Cynulliad Cymru, **Strategaethau Iechyd, Gofal Cymdeithasol a Llesiant, Canllawiau Polisi**, Chwefror 2003.

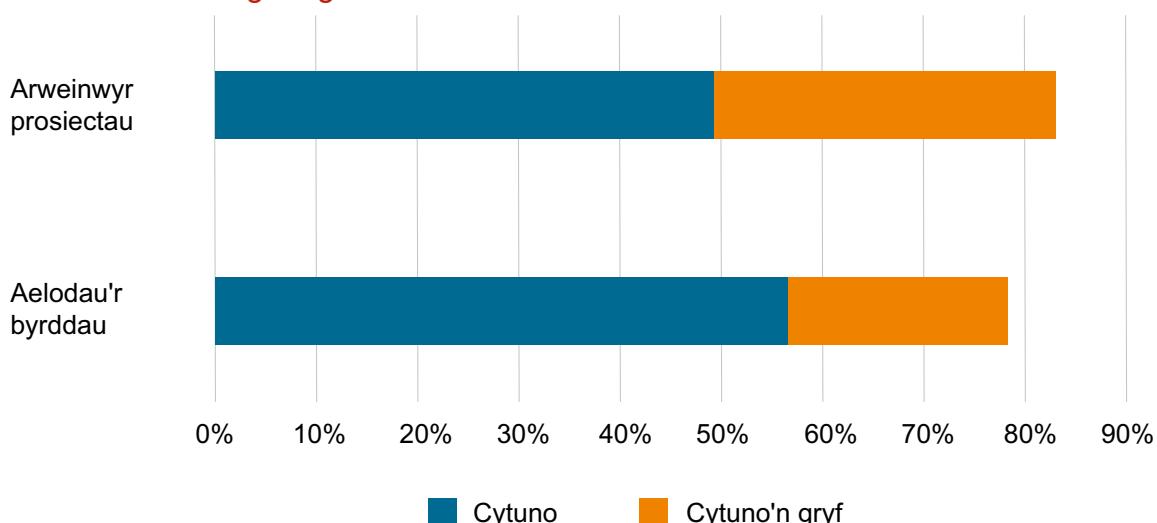
8 Mae Adran 33 o **Ddeddf Gwasanaeth Iechyd Gwladol 2006** yn caniatáu i gyrrf y GIG ac awdurdodau lleol ymrwymo i gytundebau. Gall hyn gynnwys sefydlu a chynnal cronfa sy'n cynnwys cyfraniadau gan un neu ragor o gyrrf y GIG, ac un neu ragor o awdurdodau lleol, a hynny i ddarparu gwasanaeth neu i gyflawni swyddogaeth.

## Mae'r gronfa wedi ysgogi partneriaid rhanbarthol i ddatblygu gwasanaethau integredig ac i symud at drefniadau ariannu ar y cyd yng nghyd-destun polisiau a deddfwriaeth ehangach

- 1.3 Pan gyflwynwyd y gronfa yn 2014, roedd yn gyfle newydd i'r fforymau partneriaeth ddatblygu gwasanaethau integredig a dechrau meithrin parodrwydd cyrff cyhoeddus i ymrwymo i gydwelio, sef un o brif nodau'r gronfa pan gafodd ei sefydlu. Yn unol â Deddf Gwasanaethau Cymdeithasol a Llesiant (Cymru) 2014, roedd yn ofynnol sefydlu Byrddau Partneriaeth Rhanbarthol erbyn mis Ebrill 2016, gan bwysleisio'r angen i'r partneriaethau integreiddio mwy o wasanaethau. Yn unol â'r Ddeddf honno, roedd hefyd yn ofynnol i'r Byrddau Partneriaeth Rhanbarthol sefydlu cronfeydd cyfun erbyn mis Ebrill 2016. Mae'r rhain bellach ar waith ar draws y saith bwrdd partneriaeth ac maent yn canolbwytio ar feisydd fel Gwasanaethau Integredig Cymorth i Deuluoedd a Gwasanaethau Cyfarpar Cymunedol. Mae cronfeydd cyfun hefyd ar waith ers mis Ebrill 2018 i gomisiynu darpariaeth cartrefi gofal i oedolion.
- 1.4 Yn ystod ein gwaith, pwysleisiodd swyddogion Llywodraeth Cymru fod y trefniadau partneriaeth wedi aeddfedu o ganlyniad i'r gronfa a bod hyn wedi gosod sylfaen gadarn i roi trefniadau ariannu cyfun ar waith. Adleisiwyd hyn yn y Cynllun Iechyd a Gofal Cymdeithasol, **Cymru Iachach**, a gyhoeddwyd ym mis Mehefin 2018. Mae'r cynllun yn cyfeirio'n gadarnhaol at y ffordd y mae partneriaethau ac, yn fwy penodol y Byrddau Partneriaeth Rhanbarthol, wedi creu modelau gofal integredig gan ddefnyddio'r gronfa.
- 1.5 Mae nifer o'r prosiectau a ariannwyd wedi cael cymorth o ffynonellau ariannu eraill hefyd, gan ddangos ymrwymiad y sefydliadau sy'n barheriaid i sicrhau bod prosiectau'n llwyddo, ond nid yw enghreifftiau o'r fath yn gyffredin. Mae hyn wedi cynnwys cyllid craidd neu arian a ddarparwyd i sefydliadau unigol drwy ddyraniadau refeniw eraill Llywodraeth Cymru fel arian 'pwysau'r gaeaf' y GIG.
- 1.6 Pwysleisiodd y rheini y bu inni gwredd â nhw ar lefel ranbarthol ac ar lefel prosiectau fod y gronfa wedi eu hysgogi i wella partneriaethau a gwaith ar y cyd. Dywedodd llawer o unigolion fod mwy o ymrwymiad i waith partneriaeth ers creu'r gronfa. Yn bwysig, bu iddynt ddweud hefyd fod mwy o ffocws ar wella canlyniadau defnyddwyr gwasanaethau.

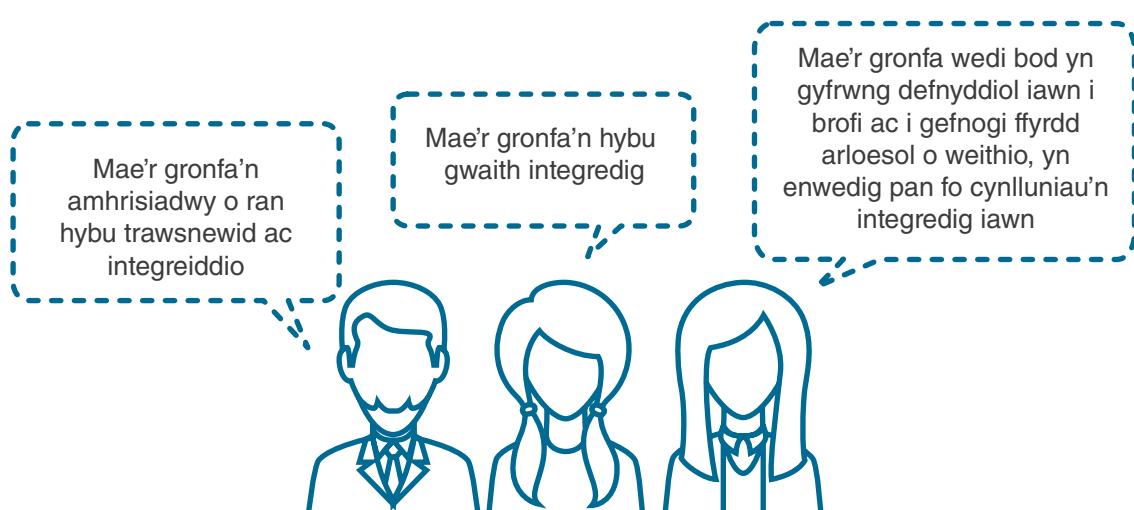
- 1.7 Fel rhan o'n harolygon ymhlieth aelodau'r Byrddau Partneriaeth Rhanbarthol ac arweinwyr prosiectau, gofynnwyd cwestiwn am effaith y gronfa ar waith partneriaeth. Roedd yr ymatebion a ddaeth i law ynghylch yr effaith yr oedd y gronfa wedi'i chael o ran cryfhau gwaith partneriaeth yn cadarnhau bod y farn yn gadarnhaol ar y cyfan (**Arddangosion 3 a 4**).

**Arddangosyn 3:** canran y bobl a holwyd a oedd yn cytuno neu'n cytuno'n gryf fod y Gronfa Gofal Integredig yn helpu i annog partneriaid allweddol i weithio mewn ffordd integredig.



Ffynhonnell: Arolwg Swyddfa Archwilio Cymru ymhlieth aelodau'r byrddau partneriaeth ac arweinwyr prosiectau.

#### **Arddangosyn 4: sylwadau rhai o'r rheini a atebodd ein harolwg**



Ffynhonnell: Arolwg Swyddfa Archwilio Cymru ymhlieth aelodau'r byrddau partneriaeth ac arweinwyr prosiectau.

## Rhan 2

Mae agweddau ar y ffordd y cafodd  
arian ei ddyrannu gan Lywodraeth  
Cymru a'i ddefnyddio gan bartneriaid  
rhanbarthol wedi cyfyngu ar botensial y  
gronfa hyd yma



## Mae disgwyliadau newidiol Llywodraeth Cymru, problemau o ran prydiondeb y prosesau dyrannu arian, a'r gorwelion byrdymor wedi llesteirio gwaith cyflawni rhanbarthol

Gan fod cwmpas y gronfa wedi newid ac ehangu, mae wedi creu heriau i'r Byrddau Partneraeth Rhanbarthol

- 2.1 Mae Llywodraeth Cymru'n cyhoeddi canllawiau blynnyddol ar gyfer elfennau refeniw a chyfalaf y gronfa. Ers cyflwyno'r gronfa yn 2014-15, mae'r mein prawf y mae angen i'r partneriaid rhanbarthol eu bodloni wedi newid bob blwyddyn. Mae Llywodraeth Cymru wedi pwysleisio wrthym fod rhai o'r newidiadau hyn yn seiliedig ar adborth gan sefydliadau sy'n bartneriaid ac iddynt gael eu hategu gan gynnydd yng nghyfanswm y cyllid.
- 2.2 Pan gyflwynwyd y gronfa yn 2014-15, roedd yn canolbwytio ar gynorthwyo pobl hŷn, yn enwedig pobl eiddil oedrannus, am flwyddyn. Roedd Llywodraeth Cymru'n bwriadu iddi gael ei defnyddio i greu gwasanaethau newydd, arloesol ac integredig a fyddai'n helpu i atal derbyniadau diangen i'r ysbyty neu dderbyniadau amhriodol i ofal preswyl. Roedd hefyd yn canolbwytio ar atal oedi wrth ryddhau cleifion o'r ysbyty a lleihau'r cyfraddau oedi wrth drosglwyddo gofal. Yn sgil adborth cadarnhaol gan y partneriaid rhanbarthol, cytunodd Llywodraeth Cymru i barhau i ddarparu arian refeniw yn 2015-16. Roedd yn bwriadu i'r arian gael ei ddefnyddio i ddatblygu'r prosiectau hynny a oedd yn cysylltu gofal y GIG tu allan i'r ysbyty<sup>9</sup> a gofal cymdeithasol yn effeithiol. Tua diwedd 2015-16, cadarnhaodd Llywodraeth Cymru y byddai'r gronfa ar gael ar gyfer prosiectau newydd ym mlwyddyn ariannol 2016-17.

9 Darperir y gofal hwn tu allan i'r ysbytai mawr, a hynny fel arfer gan wasanaethau sylfaenol a chymunedol fel meddygon teulu a nyrsys ardal.

- 2.3 Yn ystod 2016-17, ymrwymodd Llywodraeth Cymru i ddarparu'r gronfa bob blwyddyn tan 2021. Ehangwyd ei ffocws i ddarparu cymorth i grwpiau penodol eraill yn y boblogaeth: plant ag anghenion cymhleth, a phlant ac oedolion ag anableddau dysgu. Cadwodd Llywodraeth Cymru hefyd ran o'r gronfa i gefnogi camau i ddatblygu ac i weithredu'r Gwasanaeth Awstistiaeth Integredig a oruchwylir drwy drefniadau cenedlaethol. Roedd angen i'r prosiectau refeniw yn y grwpiau poblogaeth newydd hefyd ganolbwytio ar ailalluogi<sup>10</sup>, gan leihau gofal hirdymor a'r ddibyniaeth ar wasanaethau tu allan i Gymru. Newidiodd ffocws y cronfeydd cyfalaf hefyd o addasiadau tai ar raddfa fach er mwyn cefnogi byw'n annibynnol i addasiadau mwy o faint a phrosiectau i ddatblygu cynlluniau ailalluogi a chamu i lawr<sup>11</sup>. Darparodd Llywodraeth Cymru gronfa ar wahân ar gyfer yr addasiadau tai a gefnogwyd yn flaenorol drwy'r gronfa hon<sup>12</sup>.
- 2.4 Yn 2017-18, ailenwyd y Gronfa Gofal Canolraddol yn Gronfa Gofal Integredig. Roedd yr enw newydd yn adlewyrchu ffocws a chwmpas ehangach y gronfa fel modd o gynorthwyo'r Byrddau Partneriaeth Rhanbarthol i roi Deddf Gwasanaethau Cymdeithasol a Llesiant (Cymru) 2014 ar waith. Symudodd y ffocws ar bobl hŷn at y rheini ag anghenion hirdymor neu gymhleth, gan gynnwys dementia. Ehangwyd y gronfa hefyd i gynnwys gofalwyr, gan gynnwys gofalwyr ifanc. Cadwodd Llywodraeth Cymru ran o'r gronfa i gefnogi'r broses o gyflwyno System Wybodaeth Gofal Cymunedol Cymru.
- 2.5 Yn 2019-20, ehangwyd y gronfa i gynnwys plant sydd mewn perygl o dderbyn gofal, plant sy'n derbyn gofal neu blant sydd wedi'u mabwysiadu. Mae Llywodraeth Cymru wedi dyrannu £15 miliwn o arian ychwanegol ar gyfer y grŵp hwn fel rhan o gynnydd cyffredinol o £30 miliwn i'r arian refeniw (**Arddangosyn 1**). Mae **Arddangosyn 5** yn dangos y grwpiau blaenoriaeth a gafodd arian o'r gronfa rhwng 2014-15 a 2019-20.

<sup>10</sup> Diffinnir ailalluogi fel gofal tymor byr a ddarperir yn y cartref, fel rheol, i gynorthwyo unigolion i wella ar ôl cyfnod yn yr ysbyty.

<sup>11</sup> Mae cynlluniau camu i lawr yn darparu cymorth dwysedd isel i gleifion sy'n feddygol iach ac nad oes angen iddynt gael gofal ar ward ysbyty aciwt mwyach, ond nad ydynt yn gallu mynd adref eto. Fel arfer, mae'r cynlluniau'n darparu gofal tymor byr mewn ysbytai cymunedol neu gartrefi gofal.

<sup>12</sup> O fis Ebrill 2016, darparodd Llywodraeth Cymru £4 miliwn ar gyfer cynllun addasiadau uwch, 'Hwyluso - Cymorth i Fyw'n Annibynnol'. Ym mis Chwefror 2018, cyhoeddodd Archwilydd Cyffredinol Cymru adroddiad am Addasiadau Tai.

## Arddangosyn 5: grwpiau blaenorriaeth a phrosiectau a gafodd arian o'r gronfa rhwng 2014-15 a 2019-20

<b>2014-15</b>		Pobl hŷn ag anghenion cymhleth		
<b>2015-16</b>		Pobl hŷn ag anghenion cymhleth		
<b>2016-17</b>		Pobl hŷn ag anghenion cymhleth		Plant ac oedolion ag anableddau dysgu
		Plant ag anghenion cymhleth		Gwasanaeth awtistiaeth integredig
<b>2017-18</b>		Pobl hŷn ag anghenion cymhleth		Gwasanaeth awtistiaeth integredig
<b>2018-19</b>		Plant ag anghenion cymhleth		System Wybodaeth Gofal Cymunedol Cymru
		Plant ac oedolion ag anableddau dysgu		Gofalwyr
<b>2019-20</b>		Pobl hŷn ag anghenion cymhleth		Gwasanaeth awtistiaeth integredig
		Plant ag anghenion cymhleth		System Wybodaeth Gofal Cymunedol Cymru
		Plant ac oedolion ag anableddau dysgu		Gofalwyr
		Plant sydd mewn perygl o dderbyn gofal, mewn gofal ac wedi'u mabwysiadu		

Nodyn: mae cyfanswm gwerth y gronfa – refeniw a chyfalaf – wedi cynyddu o £50 miliwn yn 2014-15 i £115 miliwn yn 2019-20 (Arddangosyn 1).

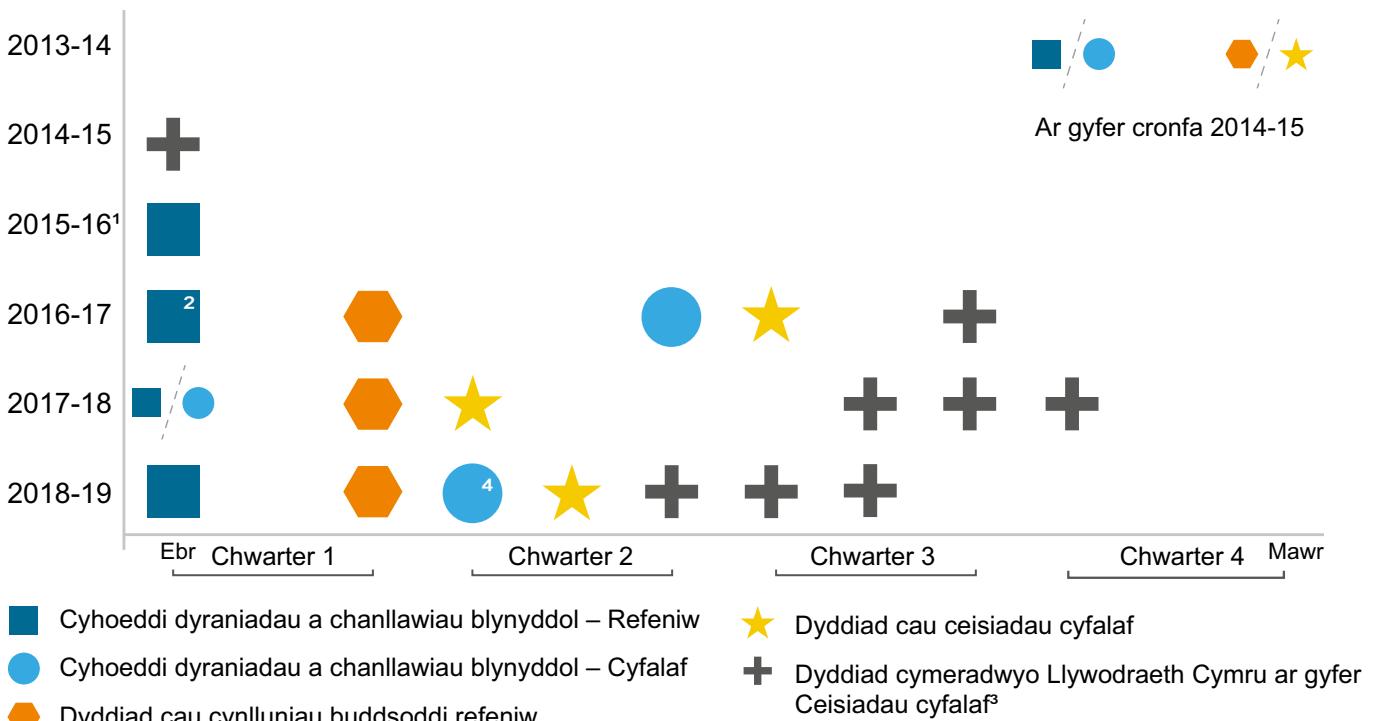
Ffynhonnell: Dadansoddiad Swyddfa Archwilio Cymru o ganllawiau Llywodraeth Cymru.

- 2.6 Mae'r Byrddau Partneriaeth Rhanbarthol wedi croesawu'r newidiadau i'r gronfa a'r grwpiau poblogaeth ychwanegol. Fodd bynnag, bu inni nodi bod y Byrddau Partneriaeth Rhanbarthol wedi teimlo, dros gyfnod, bod mein i prawf y gronfa'n datblygu i fod yn rhy rhagnodol. Dywedodd y Byrddau Partneriaeth Rhanbarthol eu bod yn ei chael yn anodd pennu a chymeradwyo prosiectau refeniw sy'n dal i fodloni'r ystod o feini prawf, yn enwedig ar gyfer grwpiau poblogaeth a gynorthwyir ers peth amser.
- 2.7 Mae newidiadau i ofynion adrodd Llywodraeth Cymru ar gyfer y Byrddau Partneriaeth Rhanbarthol wedi bod yn her hefyd. Yn sgil y newidiadau, bu'n rhaid i bartneriaid rhanbarthol newid eu trefniadau adrodd ar gyfer prosiectau sydd wedi para mwy na blwyddyn. Maent hefyd wedi cyfyngu ar y gallu i gymharu'r prosiectau hyn o flwyddyn i flwyddyn.

**Er bod Llywodraeth Cymru wedi ceisio darparu gwybodaeth yn gynnar, mae'r ffaith iddi fod yn hwyr yn cyhoeddi canllawiau ac yn rhoi gwybod am ddyraniadau yn y gorffennol wedi creu anawsterau o ran cynllunio rhanbarthol**

- 2.8 Cyfeiriwyd yn gyson at brydlondeb canllawiau refeniw a chyfalaf Llywodraeth Cymru, a'r dyraniadau dilynol, fel mater a oedd yn effeithio ar allu'r Byrddau Partneriaeth Rhanbarthol i ddefnyddio ac i reoli'r gronfa'n effeithiol. Cyhoeddodd Llywodraeth Cymru ei chanllawiau ar gyfer 2014-15 ym mis Ionawr 2014. Fodd bynnag, ni chafodd canllawiau 2015-16 i 2018-19 eu cyhoeddi tan ddechrau'r flwyddyn ariannol berthnasol, neu rai misoedd ar ôl iddi gychwyn (**Arddangosyn 6**). Effeithiodd hyn ar brydlondeb cyflwyno cynlluniau'r Byrddau Partneriaeth Rhanbarthol, y prosesau cymeradwyo, a'r broses o ryddhau arian. Ac eithrio 2014-15, ni chytunwyd ar gyllid cyfalaf tan drydydd chwarter neu, mewn un achos, bedwerydd chwarter y flwyddyn ariannol, a hynny er bod rhaid i'r Byrddau Partneriaeth Rhanbarthol wario'r arian erbyn diwedd y flwyddyn ariannol. Mae Llywodraeth Cymru wedi mynd ati i gyhoeddi canllawiau 2019-20 yn fwy prydron (**paragraffau 2.24 i 2.29**).

## Arddangosyn 6: amserlen cyhoeddi canllawiau a dyraniadau, a chymeradwyo arian, 2014-15 i 2018-19



### Nodiadau:

1. Yn 2015-16, cyhoeddodd Llywodraeth Cymru lythyr yn hytrach na chanllawiau ffurfiol. Gwnaeth hyn oherwydd bod y gronfa'n cael ei defnyddio i estyn prosiectau llwyddiannus am flwyddyn arall neu i estyn prosiectau arfer da ar draws Cymru. Y cyfan yr oedd rhaid i'r arweinwyr rhanbarthol ei wneud oedd hysbysu Llywodraeth Cymru os oedd eu rhaglen wedi newid yn sylwedol. Nid oedd unrhyw arian cyfalaif ar gael yn 2015-16.
2. Yn 2016-17, cadwodd Llywodraeth Cymru £15 miliwn o'r gronfa refeniw yn ôl, gan roi gwybod i'r byrddau partneriaeth y byddai gweddill y gronfa'n cael ei defnyddio i gefnogi gwasanaethau ataliol ar draws y gwahanol grwpiau poblogaeth. Yna, dosbarthwyd cyfanswm o £13 miliwn i'r rhanbarthau ym mis Medi 2016, ac fe gadwodd Llywodraeth Cymru y £2 filiwn oedd yn weddill.
3. Nid yw Llywodraeth Cymru'n cymeradwyo'r ceisiadau refeniw. Y byrddau partneriaeth sy'n gwneud hyn. Yn hytrach, mae Llywodraeth Cymru'n ei bodloni ei hun fod y cynlluniau buddsoddi refeniw a baratoir gan y byrddau partneriaeth yn bodloni meinu prawf y gronfa ac yn gwneud defnydd llwyr o'r dyraniadau sydd ar gael.
4. Mae Llywodraeth Cymru wedi nodi nad oedd modd iddi gyhoeddi canllawiau ar y cyd ar gyfer 2018-19 oherwydd amseriad adolygiad mewnol o raglen gyfalaif y Gronfa Gofal Integredig a arweiniodd at gyflwyno dyraniad cyfalaif tair blynedd (paragraff 2.24).

Ffynhonnell: Dadansoddiad Swyddfa Archwilio Cymru o ganllawiau, dyraniadau a llythyrau cadarnhau Llywodraeth Cymru.

- 2.9 Cyn cyhoeddi canllawiau ffurfiol, mae Llywodraeth Cymru'n rhoi amcan cynnar ar lafar i'r arweinwyr rhanbarthol o'r dyraniadau disgwyliedig ac unrhyw newidiadau arfaethedig o ran defnyddio'r gronfa er mwyn iddynt ddechrau cynllunio. Fodd bynnag, dywedodd y Byrddau Partneriaeth Rhanbarthol wrthym iddynt fod yn gyndyn o gynllunio eu defnydd o'r gronfa ar raddfa fawr cyn cael hysbysiadau ffurfiol gan fod y disgwyliadau wedi bod yn newid hyd yma. Cafodd rhai Byrddau Partneriaeth Rhanbarthol hefyd amcan cynnar o'u cyllid, ond fe'i newidiwyd yn ddiweddarach.
- 2.10 Mae rhai Byrddau Partneriaeth Rhanbarthol wedi cyflwyno cylch cynllunio cynharach ar sail eu dyraniadau dangosol. Serch hynny, mae'r ansicrwydd hwn a'r problemau amseru wedi effeithio ar barodrwydd y Byrddau Partneriaeth Rhanbarthol a'u gallu i gynllunio rhaglen waith flynyddol sy'n gwneud y defnydd gorau o'u dyraniad blynnyddol. Mae Llywodraeth Cymru wedi ceisio mynd i'r afael â'r ansicrwydd o ran y grwpiau poblogaeth drwy nodi yng nghanllawiau 2017-18 y bydd y meysydd blaenoriaeth yn aros yr un fath dros y tair blynedd nesaf. Fodd bynnag, mae'r meysydd blaenoriaeth wedi newid gan fod y gronfa wedi'i hestyn yn 2019-20 i gynnwys plant sydd mewn perygl o dderbyn gofal, sydd mewn gofal neu sydd wedi'u mabwysiadu.
- 2.11 Yn 2018-19, darparodd Llywodraeth Cymru hefyd gronfa ar wahân yn benodol ar gyfer dementia a weinyddwyd drwy broses a chanllawiau'r Gronfa Gofal Integredig. Roedd y gronfa ar wahân i gefnogi Cynllun Gweithredu Cymru ar gyfer Dementia 2018-2022 yn cyfrif am £5 miliwn ychwanegol a ddarparwyd i'r Byrddau Partneriaeth Rhanbarthol. Er bod y canllawiau blynnyddol yn cyfeirio at y gronfa, nid oedd canllawiau manwl ar gael ynghylch defnyddio'r arian dementia tan fis Medi 2018. Roedd y canllawiau hynny'n dangos nad oedd modd trosglwyddo'r prosiectau dementia a gefnogwyd eisoes drwy'r gronfa i ddefnyddio'r arian dementia newydd. Pe baent wedi gwybod am y cyfyngiadau hyn, dywedodd llawer o'r Byrddau Partneriaeth Rhanbarthol y byddent wedi oedi cyn cyflwyno prosiectau dementia fel rhan o'u cynlluniau buddsoddi refeniw cyffredinol a chanolbwytio yn lle hynny ar brosiectau ar gyfer grwpiau eraill ag anghenion cymhleth.
- 2.12 Mae canllawiau'r gronfa'n dal i annog prosiectau sy'n cyfuno arian refeniw a chyfalaf<sup>13</sup>. Fodd bynnag, hyd yn oed pan gyhoeddwyd y canllawiau a'r dyraniadau yr un pryd, mae'r ffaith bod gofyn i Lywodraeth Cymru gymeradwyo ceisiadau cyfalaf wedi creu bwlc sylweddol rhwng llinell amser y ddwy ffrwd ariannu. Oherwydd y materion hyn, collwyd cyfleoedd i wneud y defnydd mwyaf strategol o'r cynllun, ac ychydig iawn o'r prosiectau sy'n defnyddio'r ddwy ffrwd.

13 Mae canllawiau 2018-19 yn dweud y gellir defnyddio'r gronfa drwy wario arian refeniw i gefnogi prosiectau cyfalaf, er enghraift, drwy staffio adeilad newydd.

## Nid yw natur flynyddol y gronfa yn ystod ei blynnyddoedd cynnar wedi hybu cynllunio strategol na defnydd effeithiol o'r gronfa

- 2.13 Mae Llywodraeth Cymru wedi dweud yn glir bod rhaid defnyddio'r arian a ddyrannwyd erbyn diwedd y flwyddyn ariannol y mae'n berthnasol iddi. Mae llawer o'r Byrddau Partneriaeth Rhanbarthol wedi mynegi eu rhwystredigaeth â natur flynyddol, tymor byr y gronfa, gan ddweud bod hyn wedi peri iddynt gynllunio a chyflawni ar sail tymor byr a chyfyngu ar eu gallu i gynllunio'n fwy strategol dros gyfnod hirach. Yn ymarferol, mae hyn wedi arwain at gynnig llawer o brosiectau ar y sail bod modd eu cychwyn a'u cwblhau'n gyflym, yn hytrach na phrosiectau a allai gael mwy o effaith dros gyfnod hirach.
- 2.14 Yn ei chanllawiau blynnyddol, mae Llywodraeth Cymru wedi datgan yn glir y dylid defnyddio'r gronfa i ysgogi prosiectau newydd ac arloesol, gan gynnwys ailfodelu neu uwchraddio prosiectau a ariannwyd o'r blaen. Fodd bynnag, mae hefyd wedi dweud yn ei chanllawiau y dylai prosiectau fod yn gynaliadwy tu hwnt i flwyddyn yr arian, gyda disgwyliad na ddylai prosiectau bara mwy na blwyddyn.
- 2.15 Gan fod y dyraniadau a'r canllawiau wedi'u cyhoeddi'n hwyr fel y nodir ym **mharagraffau 2.8 i 2.10**, nid yw'r partneriaid rhanbarthol yn aml wedi gallu sefydlu prosiectau'n brydlon a chaniatáu iddynt weithredu am ddigon o amser i ddangos eu heffaith. O'r herwydd, dros y cyfnod ers cyflwyno'r gronfa, caniatawyd, yn ymarferol, i lawer o brosiectau gael eu dwyn ymlaen i'r flwyddyn ariannol nesaf.
- 2.16 Hyd yn oed o benderfynu dwyn prosiectau ymlaen, gall fod rhaid atal ac ailgychwyn prosiectau gan fod angen ailgyflwyno prosiectau arfaethedig ac aros am gadarnhad bod cyllid ar gael. Bu modd i gyrrff cyhoeddus oresgyn yr her hon drwy ganiatáu i rai prosiectau fwrw ymlaen neu gychwyn 'ar sail risg' tra maent yn aros i gael eu cymeradwyo ac i'r arian gael ei ryddhau. Yn gyffredinol, nid oes gan gyrrff y trydydd sector ddigon o adnoddau i barhau i gynnal prosiectau 'ar sail risg' tra maent yn aros i'r cyllid gael ei gadarnhau.

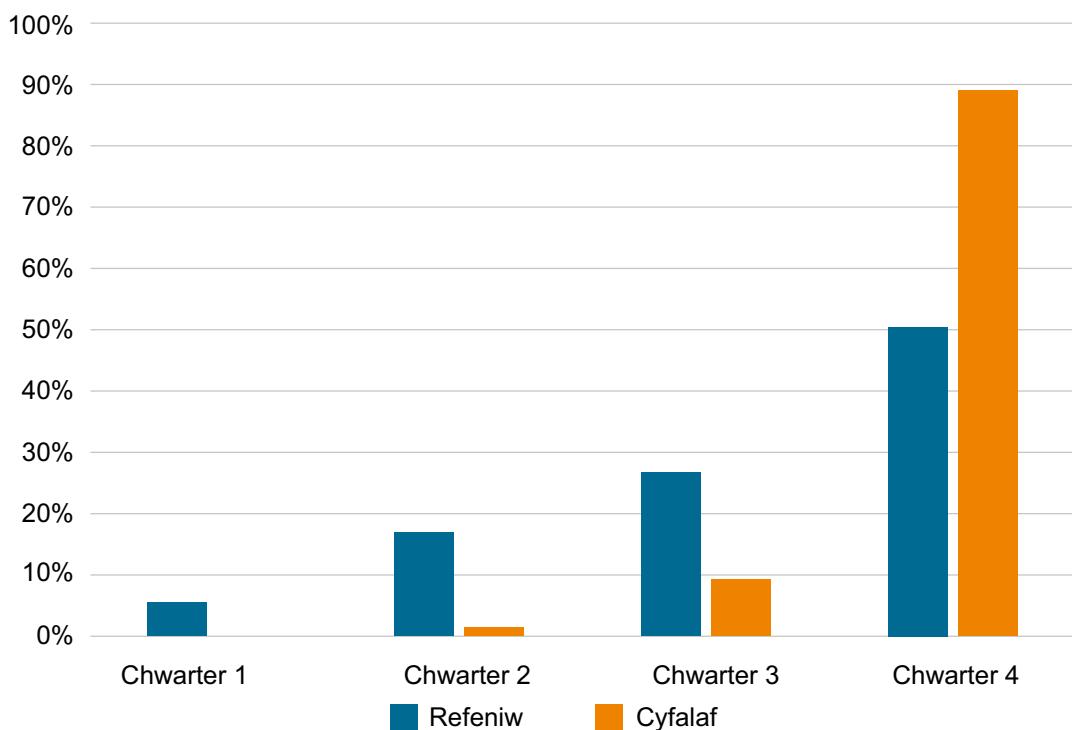
2.17 Hyd yn oed ar ôl eu cymeradwyo, gall nifer o faterion ymarferol beri oedi cyn cychwyn prosiectau o fewn blwyddyn, gan gynnwys:

- a **reciwtio:** gall y prosesau hyn gymryd cryn amser, tri neu bedwar mis yn aml, ac mae rhai sefydliadau'n gyndyn o gychwyn prosesau reciwtio hyd nes i Lywodraeth Cymru ryddhau'r arian.
- b **gallu a sgiliau:** mae sefydliadau arweiniol prosiectau'n ei chael yn anodd denu ymgeiswyr addas ar gyfer swyddi sy'n para am gyfnod penodol o flwyddyn, ac yn aml gall fod angen iddynt hysbysebu swydd sawl gwaith cyn penodi ymgeisydd llwyddiannus. Mae hefyd yn anodd cadw staff oherwydd natur fyrhoedlog yr arian. Mae hyn yn peri i staff prosiect newid yn aml o flwyddyn i flwyddyn.
- c **caffael:** rhaid i lawer o brosiectau cyfalaf gwblhau prosesau caffael sy'n gallu cymryd cryn amser.

2.18 Oherwydd bod oedi'n rhan annatod o'r broses ariannu, nid yw llawer o brosiectau refeniw'n cychwyn neu'n ailgychwyn tan ail neu drydydd chwarter y flwyddyn ariannol. Mae proffil y gwariant yn ystod y flwyddyn yn adlewyrchu hyn, gyda chyfran sylweddol o'r gronfa refeniw'n cael ei gwario yn ystod chwarter olaf y flwyddyn.

2.19 Mae **Arddangosyn 7** yn dangos proffil gwariant refeniw a chyfalaf 2016-17 a 2017-18. Mae proffil y gwariant cyfalaf wedi bod yn sylweddol waeth na phroffil y gwariant refeniw, a hynny i raddau helaeth oherwydd bod ceisiadau cyfalaf blynyddoedd ariannol 2016-17 a 2017-18 wedi'u cymeradwyo'n hwyr.

## Arddangosyn 7: canran y gronfa refeniw a chyfalaf a wariwyd fesul chwarter yn 2016-17 a 2017-18



Ffynhonnell: Dadansoddiad Swyddfa Archwilio Cymru o ffurflenni monitro'r Byrddau Partneriaeth Rhanbarthol a gyflwynwyd i Lywodraeth Cymru.

- 2.20 Mae'r oedi cyn cychwyn prosiectau wedi arwain at danwariant ar ddiwedd y flwyddyn. Mae canllawiau Llywodraeth Cymru'n nodi'n glir na ellir trosglwyddo arian i'r flwyddyn ariannol nesaf. Yn hytrach, gall y byrddau iechyd gadw unrhyw arian refeniw sydd dros ben ar ddiwedd y flwyddyn, er na fwriedir mai hon yw'r sefyllfa ddiofyn. Ym mlynnyddoedd cynnar y gronfa, rydym yn gwybod bod rhai byrddau iechyd wedi cadw symiau o arian dros ben yr oedd modd iddynt eu defnyddio tuag at eu sefyllfa elw a cholled a bod hyn wedi creu tensiwn rhyngddynt a'r partneriaethau ar y pryd.
- 2.21 Ers hynny, mae'r Byrddau Partneriaeth Rhanbarthol wedi datblygu dulliau amrywiol o reoli tanwariant. Mae'r broses fwyaf datblygedig ar waith yn y Gorllewin lle cedwir rhestr wrth gefn o brosiectau y gellir eu cefnogi os oes arian dros ben. Mewn ardaloedd eraill, defnyddiwyd y gronfa ar gyfer prosiectau tymor byr y gellir eu cychwyn a'u cwblhau'n gyflym. Rydym hefyd yn gwybod bod Llywodraeth Cymru wedi cytuno, yn 2017-18, y câi rhanbarth Cwm Taf ddwyn swm bach o arian ymlaen i'w ddefnyddio yn 2018-19.

- 2.22 Mae rheoli tanwariant yn effeithiol yn dal i fod yn broblem mewn rhai ardaloedd. Fodd bynnag, dylai hyn ddechrau gwella yn 2019-20 ar ôl i Lywodraeth Cymru ofyn i'r Byrddau Partneriaeth Rhanbarthol amlinellu eu prosesau i leihau tanwariant yn eu cynlluniau buddsoddi refeniw.
- 2.23 Mae tanwariant wedi bod yn fwy o broblem o ran y cronfeydd cyfalaf. Oherwydd yr oedi cyn derbyn arian, ynghyd â'r amser y gall ei gymryd i gynnal prosesau caffael, ni chafodd llawer o'r gronfa gyfalaf ei wario yn ôl y bwriad. Yn hytrach, defnyddiwyd yr arian ar gyfer gwariant untro i brynu cyfarpar neu fe'i dychwelwyd i Lywodraeth Cymru ar ddiwedd y flwyddyn.

## Mae Llywodraeth Cymru yn mynd i'r afael â natur flynyddol y gronfa a bu iddi gyhoeddi canllawiau 2019-20 yn fwy prydion

- 2.24 O ran 2018-19, darparodd Llywodraeth Cymru ddyraniad tair blynedd ar gyfer elfen gyfalaf y gronfa ac fe gyflwynodd newidiadau i rannu'r ffrwd yn ddwy ran:
- 25% o'r cyfanswm i'w ddefnyddio ar gyfer prosiectau cyfalaf bach sy'n para blwyddyn, gyda'r Byrddau Partneriaeth Rhanbarthol yn penderfynu sut i'w ddefnyddio; a
  - 75% o'r cyfanswm i'w ddefnyddio ar gyfer prosiectau trawsnewidiol hirdymor hyd at 2021 i'w cymeradwyo gan banel Llywodraeth Cymru.
- 2.25 Roedd aelodau'r Byrddau Partneriaeth Rhanbarthol ledled Cymru'n teimlo bod hwn yn newid calonogol, ac mae rhai ohonynt wedi dechrau paratoi cynlluniau cyfalaf rhanbarthol tair blynedd i sicrhau eu bod yn gwneud y defnydd gorau o'r gronfa. Fodd bynnag, ym mis Tachwedd 2018, roedd prosiectau cyfalaf rhai o'r Byrddau Partneriaeth Rhanbarthol yn dal i fod heb eu cymeradwyo.
- 2.26 Er iddi ddweud y byddai modd i'r Byrddau Partneriaeth Rhanbarthol benderfynu sut i wario 25% o'r gronfa cyfalaf, bu Llywodraeth Cymru yn ystyried y cynigion hyn drwy ei phanel cyfalaf cyn bod modd iddynt gychwyn. O'r herwydd, nid oedd modd rhoi nifer o brosiectau ar waith yn ystod 2018-19 oherwydd nad oedd digon o amser yn weddill ac fe'u hailgyflwynwyd yn 2019-20. Mae Llywodraeth Cymru yn disgwyl i'r broses hon fod wedi gwella yn 2019-20.

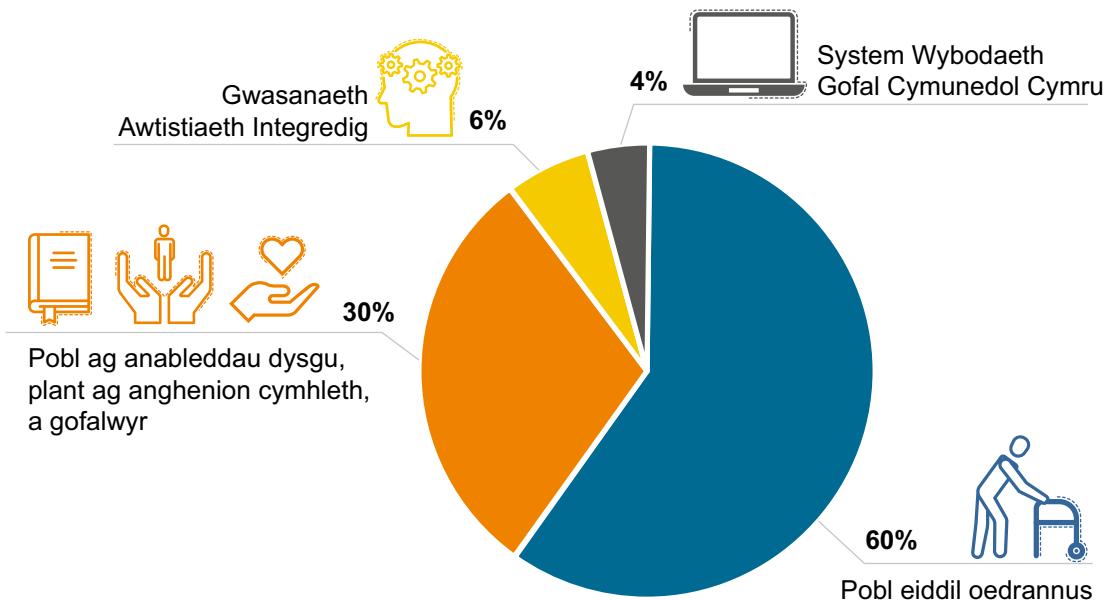
- 2.27 Ar ôl iddi ystyried ein hadborth cychwynnol, aeth Llywodraeth Cymru ati i ddarparu dyraniadau refeniw dangosol cynnar ar gyfer 2019-20 ym mis Rhagfyr 2018 ac i gyhoeddi canllawiau 2019-20 ym mis Chwefror 2019 ar gyfer y ffrydiau refeniw a chyfalaf. Yn ogystal â lleddfu'r problemau o ran prydlondeb, mae hyn hefyd wedi helpu i sichau cysondeb o ran y negeseuon llafar ac ysgrifenedig sydd wedi peri dryswch o ran y dyraniadau yn y gorffennol.
- 2.28 Yn 2019-20, mae Llywodraeth Cymru wedi cydnabod bod angen i'r Byrddau Partneriaeth Rhanbarthol allu cynllunio sut i ddefnyddio'r arian refeniw ar sail fwy hirdymor hefyd. Mae Llywodraeth Cymru wedi gofyn i'r Byrddau Partneriaeth Rhanbarthol amlinellu'r hyn y maent yn bwriadu ei wneud dros gyfnod o ddwy flynedd. O ran canllawiau 2019-20, ceir mwy o gyfeiriadau at Ddeddf Llesiant Cenedlaethau'r Dyfodol (Cymru) 2015 ynddynt, ond rydym yn cydnabod bod nod cyffredinol y gronfa eisoes yn cydwedu'n agos â'r pum ffordd o weithio<sup>14</sup> a nodir yn y Ddeddf.
- 2.29 O gyhoeddi'r canllawiau ar gyfer yr arian refeniw a chyfalaf yn gynharach, bydd yn helpu i fynd i'r afael â llawer o'r problemau a fynegwyd gan aelodau'r Byrddau Partneriaeth Rhanbarthol. Mae swyddogion Llywodraeth Cymru sy'n gyfrifol am arian refeniw a chyfalaf yn craffu ar gyllid 2019-20 ar y cyd. Mae Llywodraeth Cymru'n disgwyl y bydd prosiectau'n cael eu cymeradwyo'n gynharach yn ystod y flwyddyn ariannol, ac erbyn diwedd mis Gorffennaf 2019 fan bellaf. Fodd bynnag, mae'r gallu i gymeradwyo prosiectau'n brydlon yn dibynnu ar pa bryd y mae'r Byrddau Partneriaeth Rhanbarthol yn cyflwyno eu cynlluniau buddsoddi cyfalaf ac mae hyn wedi cymryd yn hirach nag yr oedd Llywodraeth Cymru yn ei ddisgwyli.

<sup>14</sup> Mae **Deddf Llesiant Cenedlaethau'r Dyfodol (Cymru) 2015** yn nodi'r pum ffordd o weithio y mae angen i gyrrf cyhoeddus eu defnyddio i gyflawni saith nod llesiant y Ddeddf. Hirdymor, integreiddio, cynnwys, cydweithio ac atal yw'r pum ffordd o weithio.

## Gall y Byrddau Partneriaeth Rhanbarthol ei chael yn anodd taro cydbwysedd rhwng anghenion y boblogaeth leol a dyraniadau dangosol Llywodraeth Cymru ar gyfer grwpiau targed

2.30 Mae Deddf Gwasanaethau Cymdeithasol a Llesiant (Cymru) 2014 yn rhoi dyletswydd ar y Byrddau Partneriaeth Rhanbarthol i gynnal asesiad o'r boblogaeth i bennu anghenion pobl y rhanbarth ac i baratoi cynllun ardal i fynd i'r afael â'r anghenion a bennwyd. Ers 2017-18, mae canllawiau Llywodraeth Cymru yn dweud bod rhaid i bob prosiect a gynorthwyir gan y gronfa roi sylw i'r anghenion gofal a chymorth a bennir mewn asesiadau lleol a chynlluniau ardal. Mae **Arddangosyn 8** yn dangos sut y bu i Lywodraeth Cymru ddyrannu arian refeniw 2018-19.

**Arddangosyn 8:** cyfran arian refeniw 2018-19 a ddyrannwyd i wahanol grwpiau poblogaeth



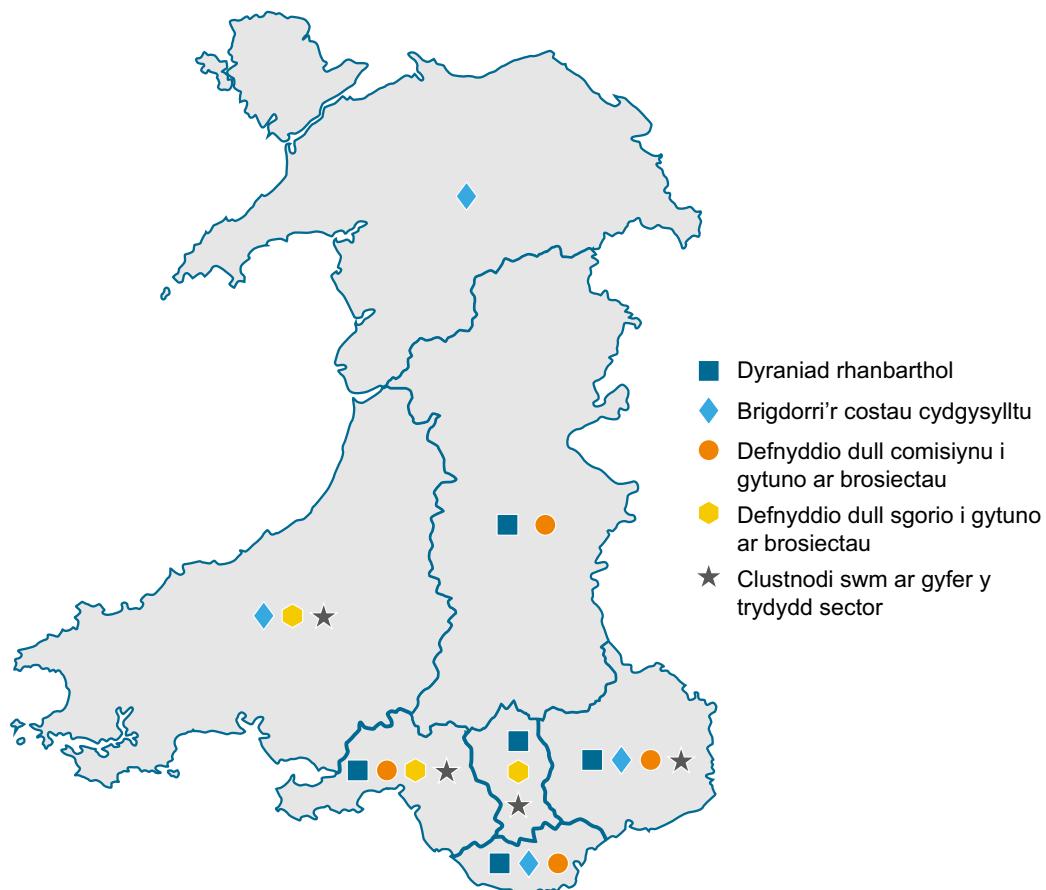
Ffynhonnell: Dadansoddiad Swyddfa Archwilio Cymru o ganllawiau Llywodraeth Cymru.

- 2.31 Dywedodd rhai o aelodau'r Byrddau Partneriaeth Rhanbarthol fod y dull hwn o ddyrannu symiau penodol o'r gronfa'n creu tensiwn o ran taro cydbwysedd rhwng defnyddio'r gronfa ar gyfer y grwpiau targed penodedig a'r anghenion a bennir yn eu hasesiadau poblogaeth. Mae'r tensiwn hwn yn dwysáu ymhellach pan ystyrir ffrydiau ariannu eraill Llywodraeth Cymru y mae'r Byrddau Partneriaeth Rhanbarthol yn gyfrifol amdanynt sydd hefyd wedi'u clustnodi ar gyfer grwpiau penodol o bobl. Un enghraift yw cyllid y Cynllun Gweithredu ar gyfer Dementia a amlinellir ym **mharagraff 2.11**.
- 2.32 Gan fod ffrydiau ariannu Llywodraeth Cymru hefyd yn defnyddio mein prawf gwahanol, mae'n anodd i'r Byrddau Partneriaeth Rhanbarthol ddefnyddio'r croneydd sydd ar gael iddynt ar y cyd i ddiwallu anghenion y boblogaeth leol. Yn hytrach, rhaid iddynt gyflwyno a chefnogi prosiectau ar wahân ar gyfer pob crongfa. O'r herwydd, mae llawer o'r partneriaid rhanbarthol yn teimlo y gall fod perygl fod swm anghymesur o arian yn cael ei ddyrannu ar gyfer grwpiau poblogaeth penodol. Maent yn teimlo bod hyn yn cyfyngu ar eu gallu i flaenorriaethu arian ar sail angen. Er enghraift, wrth ymateb i'n harolwg, dywedodd rhai o aelodau'r Byrddau Partneriaeth Rhanbarthol wrthym:
- 'mae'r ffordd y mae'r gronfa wedi'i strwythuro'n golygu y gall fod yn anodd paru'r arian â'r hyn y mae angen inni ei wneud ar gyfer ein poblogaeth leol'; a
  - 'gall yr arfer o glustnodi fod yn rhwystr oherwydd gall beri i'r bartneriaeth ymrwymo'n ormodol i faes nad yw'n flaenorriaeth fawr'.

## Mae'r Byrddau Partneriaeth Rhanbarthol yn defnyddio eu dyraniadau mewn ffyrdd gwahanol ac nid yw pob un o'r rhain wedi cefnogi ffocws rhanbarthol

- 2.33 Er bod Llywodraeth Cymru'n dyrannu'r gronfa ar sail ranbarthol, mater i bob bwrdd partneriaeth yw cytuno, drwy ei gynllun buddsoddi refeniw, sut i ddefnyddio'r gronfa. Mae'r ffordd y mae'r gronfa'n cael ei defnyddio'n amrywio o ranbarth i ranbarth, ac mae'r camau i rannu'r dulliau a ddefnyddir ledled Cymru ac i ddysgu ohonynt yn gyfyngedig (**Arddangosyn 9**).

## Arddangosyn 9: dulliau o ddyrannu'r arian rhwng 2014 a 2018 ar draws y byrddau partneriaeth



Nodiadau:

1. Yn y Gogledd, dyrennir y rhan fwyaf o'r gronfa ar draws ardaloedd llai o faint, fel Ynys Môn a Gwynedd, Conwy a Sir Ddinbych, a Sir y Fflint a Wrecsam.
2. Cyn 2017-18, roedd Bwrdd Partneriaeth Rhanbarthol Powys yn brigdorri elfen o'r gronfa i gefnogi costau cyfathrebu ac ymgysylltu.
3. Yn y Gorllewin, dyrennir y rhan fwyaf o'r gronfa i ardaloedd y tri awdurdod lleol, ond cedwir cyfran fach o'r arian ar lefel ranbarthol i gefnogi'r gwaith o gyflawni prosiectau rhanbarthol y cytunwyd arnynt.

Ffynhonnell: Gwaith maes Swyddfa Archwilio Cymru.

- 2.34 Mae pump o'r saith bwrdd partneriaeth yn ceisio dyrannu'r arian ar sail ranbarthol, ac eithrio'r Gogledd a'r Gorllewin. Mae'r ddau fwrdd hyn yn dyrannu'r arian i lefel is, naill ai i lefel awdurdod lleol unigol neu ar draws mwy nag un awdurdod lleol ond nid y rhanbarth cyfan. Mae hyn yn gwanhau'r ffocws arfaethedig ar gyflawni rhanbarthol ac mae wedi creu rhai tensiynau rhwng ardaloedd o ran tegwch y dyraniadau o fewn y rhanbarth. Dangosodd ein harolwg ymhlið aelodau'r Byrddau Partneriaeth Rhanbarthol fod y farn o'r Gorllewin a'r Gogledd yn llai positif o ran a yw'r broses a ddefnyddir i ddyrannu'r gronfa'n deg. Mae Llywodraeth Cymru wedi ailbwysleisio ei dyhead iddynt ddefnyddio dulliau rhanbarthol yng nghanllawiau 2019-20 ac fel rhan o'i gwaith i graffu ar gynlluniau buddsoddi. Er bod y Byrddau Partneriaeth Rhanbarthol yn defnyddio eu dyraniadau mewn gwahanol ffyrdd, mae Llywodraeth Cymru wedi nodi eu bod yn gwneud defnydd cynyddol o ddulliau rhanbarthol, ond bod angen gwneud mwy o gynnydd mewn rhai ardaloedd.
- 2.35 Mae pedwar bwrdd partneriaeth wedi defnyddio rhywfaint o'r gronfa'n gyson i gefnogi'r gwaith o reoli, goruchwyliau a chydgyssylltu'r gronfa ar lefel ranbarthol. Mae'r symiau a gafodd eu 'brigdorri' yn ystod 2018-19 yn amrywio o £60,000 (1%) yn rhanbarth Gwent i £400,000 (8%) yn rhanbarth y Gorllewin. Yn aml, defnyddir y swm a frigdorrir i gyfrannu tuag at ariannu swydd benodol ac, yn y Gorllewin, fe'i defnyddir i reoli rhaglen o flaenoriaethau a bennwyd gan y bwrdd partneriaeth. Er bod hon yn gallu bod yn ffordd dda o ddefnyddio'r gronfa ar lefel leol, mae'n lleihau'r swm a fyddai ar gael, fel arall, ar gyfer prosiectau. Mae pob bwrdd partneriaeth arall wedi ariannu'r gwaith cydgyssylltu drwy ffrwd ariannu wahanol neu drwy gyllid craidd.
- 2.36 Mae'r rhan fwyaf o'r Byrddau Partneriaeth Rhanbarthol yn ariannu nifer fawr o brosiectau cymedrol eu cost. Po fwyaf o brosiectau sydd ar gael, po fwyaf yw'r gofynion goruchwyliau a chydgyssylltu. Mae **Atodiad 4** yn nodi maint a nifer y prosiectau fesul rhanbarth ers 2014, ac mae'n dangos bod Byrddau Partneriaeth Rhanbarthol Cwm Taf a Chaerdydd a'r Fro wedi canolbwytio ar ariannu llai o brosiectau mwy o faint a bod bwrdd partneriaeth y Gogledd wedi ariannu mwy o brosiectau llai o faint.

- 2.37 Mae pedwar o'r Byrddau Partneriaeth Rhanbarthol wedi mabwysiadu 'dull comisiynu' i ddatblygu rhaglen waith y gronfa. I bob pwrrpas, mae'r Byrddau Partneriaeth Rhanbarthol yn comisiynu eu his-grwpiau sy'n gyfrifol am grwpiau poblogaeth amrywiol i bennu gwaith yn y cynlluniau ardal a fyddai'n elwa o gael arian, a hynny er mwyn cefnogi'r gwaith o gyflawni blaenoriaethau lleol. Mae'r dull comisiynu'n helpu i baru'r defnydd o'r gronfa â blaenoriaethau'r cynlluniau ardal, yn hytrach na gwahodd cynigion i ddefnyddio'r gronfa drwy wahoddiad agored a allai fod yn llai trefnus. Fodd bynnag, cafwyd rhai pryderon am gynrychiolaeth ar yr is-grwpiau hyn ac, o ganlyniad, am allu rhai partneriaid i ddylanwadu ar y broses benderfynu (**paragraff 3.16**).
- 2.38 Pan fydd cynigion yn dod i law, mae sawl bwrdd partneriaeth yn defnyddio dull sgorio strwythur dig i asesu pa gynigion y mae'r bwrdd am fwrw ymlaen â nhw a'u cynnwys yn ei gynllun buddsoddi refeniw neu ei gynllun cyfalaf. Mae'r dulliau sgorio hyn yn amrywio ychydig ond maent yn canolbwytio i raddau helaeth ar y graddau y mae'r prosiectau'n bodloni gofynion y gronfa ac yn cydweddu â'r blaenoriaethau rhanbarthol a'r cynllun ardal. Mae'r Byrddau Partneriaeth Rhanbarthol eraill yn defnyddio dull llai haearnaidd, gan ystyried yn bennaf a yw'r prosiectau'n bodloni mein prawf y gronfa.
- 2.39 Un o brif nodau'r gronfa yw hybu cydweithio rhwng cyrff statudol a sefydliadau'r trydydd sector. Cyfeiriodd cynrychiolwyr y trydydd sector a fu'n siarad â ni at ystod o heriau sydd wedi effeithio ar eu gallu i gael gafael ar arian o'r gronfa. I fynd i'r afael â hyn, mae rhai Byrddau Partneriaeth Rhanbarthol wedi clustnodi rhywfaint o arian o'r gronfa i'r trydydd sector ei ddefnyddio, a hynny'n bennaf drwy ddefnyddio dull tebyg i grantiau. Mae hyn wedi gwella mynediad y trydydd sector at y gronfa, yn enwedig ar gyfer prosiectau bach, tymor byr. Serch hynny, mae'r trydydd sector yn dal i fod wedi'i ddatgysylltu o'r rhaglen ehangach lle gallai wneud cyfraniadau yr un mor ddilys at rai o'r prosiectau mwy.

## Rhan 3

Mae angen datblygu trefniadau  
llywodraethu'r gronfa ymhellach i  
gryfhau'r gwaith goruchwylion canolog  
ac i sicrhau mwy o gysondeb ar draws  
y rhanbarthau



## Mae Llywodraeth Cymru wedi sefydlu trefniadau llywodraethu'r gronfa, ond mae angen iddi wneud mwy i ystyried sut y mae ei gweithredoedd hithau'n effeithio ar bartneriaid rhanbarthol ac i integreiddio ffrydiau ariannu

- 3.1 Mae cyllideb y gronfa'n dod o ddwy ran o Lywodraeth Cymru ac, i'r perwyl hwnnw, mae'r cyfrifoldeb dros oruchwylion'n cael ei rannu:
- y Gweinidog lechyd a Gwasanaethau Cymdeithasol sy'n ysgwyddo'r cyfrifoldeb polisi a llywodraethu o ran y ffrwd refeniw; a'r
  - Dirprwy Weinidog Tai a Llywodraeth Leol sy'n ysgwyddo'r cyfrifoldeb dros elfen gyfalaf y gronfa.
- 3.2 Mae Llywodraeth Cymru'n goruchwylion'r camau i ddatblygu'r gronfa a'i rhoi ar waith drwy fwrdd prosiect ffurfiol. Cynrychiolwyr o adrannau gwasanaethau cymdeithasol, iechyd, tai ac adfywio Llywodraeth Cymru yw aelodau'r bwrdd. Mae'r bwrdd prosiect yn cwrdd bob chwarter er mwyn:
- a adolygu cynnydd;
  - b monitro perfformiad, canlyniadau a gwariant pob bwrdd partneriaeth;
  - c lle bo'n briodol, egluro rheolaeth weinyddol y gronfa a cheisio cytuno arni;
- ch sicrhau bod materion sy'n dod i'r amlwg yn cael eu pennu ac yn cael sylw prydron a rhagweithiol; a
- d phennu cyfeiriad strategol y gronfa ar gyfer y dyfodol.
- 3.3 Er bod swyddogion yn teimlo bod yr arfer o weithio ar draws portffolios wedi gwella drwy'r trefniant hwn, roeddent yn cydnabod bod cadernid ac ansawdd y drafodaeth yn dioddef pan fydd unigolion allweddol yn absennol o gyfarfodydd y bwrdd prosiect. Dangosodd ein harsylwadau ni o fwrdd y prosiect fod cyfleoedd i roi mwy o her fewnol i'r newidiadau a wneir i'r gronfa a'r effaith y gallai'r rhain ei chael ar y partneriaid rhanbarthol. Er enghraifft, nid oedd yn ymddangos bod fawr ddim cydnabyddiaeth o effaith materion fel pa bryd y cyhoeddir canllawiau ([paragraffau 2.8 i 2.10](#)).
- 3.4 Ers ein gwaith maes, cafodd aelod staff ei secondio i Lywodraeth Cymru o fwrdd partneriaeth Powys i helpu i reoli'r gronfa. Mae hyn wedi sicrhau bod y bwrdd prosiect yn cael cipolwg gwerthfawr ar waith y byrddau partneriaeth ac mae Llywodraeth Cymru eisoes yn deall yn well effaith ei phrosesau a'i phenderfyniadau ar y partneriaid rhanbarthol.

- 3.5 Bu inni hefyd nodi nad yw'r wybodaeth a gyflwynir ar ffurflenno chwarterol y byrddau partneriaeth yn cael ei herio'n ddigonol. Er bod y bwrdd prosiect yn cael diweddarriadau sy'n seiliedig ar yr wybodaeth a gyflwynir gan y byrddau partneriaeth, bu inni sylwi nad yw'r adroddiadau hyn yn cael eu trafod yn helaeth.
- 3.6 Gallai'r gronfa orgyffwrdd â chronfeydd eraill Llywodraeth Cymru, fel y Gronfa Gofal Sylfaenol. Fodd bynnag, roedd ychydig o dystiolaeth bod y bwrdd prosiect yn ystyried y gorgyffwrdd hwn ac yn sicrhau bod y mein prawf yn cydweddu â'r ffrydiau ariannu eraill. Mae rhai byrddau partneriaeth wedi dechrau ystyried sut y gallant ddefnyddio'r ffrydiau ariannu hyn gyda'i gilydd yn fwy effeithiol er budd eu poblogaethau, ond nid yw'n ofynnol iddynt wneud hynny ar hyn o bryd.
- 3.7 Ers hynny, mae'r bwrdd prosiect wedi cydnabod bod y gronfa'n gorgyffwrdd â Chronfa Trawsnewid y GIG a lansiwyd yn 2018. Mae Llywodraeth Cymru wedi gwneud rhywfaint i nodi'r cysylltiadau hyn yng nghanllawiau 2019-20. Mae Llywodraeth Cymru hefyd wedi creu cysylltiadau â ffrydiau ariannu perthnasol eraill drwy newid aelodaeth y bwrdd prosiect a thrwy waith arall sydd ar y gweill i fapio'r dirwedd ariannu ehangach. Yn y cyfamser, mae grŵp cyfeirio newydd yn ystyried cydgysylltu'r polisiau a'r arian sy'n berthnasol i'r byrddau partneriaeth. Yn ogystal, cafodd y gwersi a ddysgwyd gan raglenni Teuluoedd yn Gyntaf a Dechrau'n Deg eu hystyried ar ôl cyflwyno 'plant sydd mewn perygl o dderbyn gofal' fel grŵp blaenorriaeth yn 2019-20.

## Mae capaciti staffio Llywodraeth Cymru i oruchwyllo'r gronfa'n rheolaidd ac yn amserol wedi bod yn gyfyngedig

- 3.8 Llywodraeth Cymru sy'n goruchwyllo'r gronfa o ddydd i ddydd, a hynny drwy dîm rheoli bach sy'n cynnwys tri aelod staff. Mae'r tîm yn gyfrifol am gyfathrebu ag arweinwyr rhanbarthol, paratoi canllawiau blynnyddol, ac adolygu perfformiad y gronfa a'r camau i'w rhoi ar waith ar draws y saith bwrdd partneriaeth.
- 3.9 Dywedodd y byrddau partneriaeth fod perthynas gadarnhaol rhyngddynt a'r tîm o ran elfennau refeniw a chyfalaf y gronfa, a'u bod yn croesawu'r cyfle i ymgysylltu drwy i'r tîm ddod i gyfarfodydd y byrddau, drwy ddeialog un i un, a thrwy gyfarfodydd â chadeiryddion y byrddau partneriaeth. Fodd bynnag, ni chafodd arweinwyr rhanbarthol y gronfa gyfle o'r blaen i ddod ynghyd yn rheolaidd i gwrdd â'r tîm canolog. Ers ein gwaith maes, sefydlwyd grŵp rhwydwaith arweiniol sy'n cefnogi deialog dwyffordd amlach rhwng y tîm a'r rheini sy'n gyfrifol am reoli'r gronfa ym mhob un o'r rhanbarthau.

- 3.10 Mae'r byrddau partneriaeth wedi nodi rhwystredigaeth â swm yr wybodaeth y mae angen iddynt ei ddarparu bob chwarter i fodloni gofynion adrodd Llywodraeth Cymru. Mae Llywodraeth Cymru'n tybio bod y gofynion wedi bod yn gymesur â lefel yr arian a fuddsoddir drwy'r gronfa. Fodd bynnag, oherwydd problemau capasiti yn y tîm canolog, cafwyd oedi o hyd at dri neu bedwar mis ar ôl cyflwyno'r ffurflenni adrodd cyn i'r byrddau partneriaeth gael adborth ffurfiol gan Lywodraeth Cymru am y meysydd i'w gwella.
- 3.11 Mae'r byrddau partneriaeth hefyd wedi mynigi rhwystredigaeth oherwydd nad yw llawer o'r wybodaeth fonitro'n cael ei defnyddio at unrhyw ddiben amlwg. Mae swyddogion Llywodraeth Cymru wedi cydnabod nad oedd gan y tîm ddigon o gapasiti i graffu ar bob prosiect mewn manylder nac i ddilyn trywydd yr holl wybodaeth hon, er enghraifft, drwy gynnal ymweliadau safle i ddod i ddeall y gwaith yn well. Fodd bynnag, mae wedi pwysleisio bod yr wybodaeth yn cael ei defnyddio i gefnogi atebolrwydd Llywodraeth Cymru ei hun, er enghraifft, wrth ateb cwestiynau Gweinidogion, ac nid dim ond yn sylfaen i'w hadborth. Mae hefyd wedi cynnal ymweliadau achlysurol ar lefel ranbarthol ac ymweld â rhai prosiectau.
- 3.12 Mae'r aelod staff a secondiwyd o fwrdd partneriaeth Powys ([paragraff 3.4](#)) wedi helpu i ddarparu rhywfaint o adnodd ychwanegol ers diwedd 2018, gan ddisodli swydd a fu'n wag am gyfnod hir. Mae gwaith hefyd yn mynd rhagddo i ailedrych ar swm yr wybodaeth y gofynnir amdani drwy'r trefniadau adrodd. Mae [paragraffau 4.1 i 4.11](#) yn trafod y trefniadau mewn mwy o fanylder.

## **Yn aml, bydd y Byrddau Partneriaeth Rhanbarthol yn dirprwyo cyfrifoldeb dros y gronfa i is-grŵp ac nid yw'r byrddau iechyd a'r awdurdodau lleol yn craffu'n fanwl ar y modd y defnyddir y gronfa**

- 3.13 Yn unol â Deddf Gwasanaethau Cymdeithasol a Llesiant (Cymru) 2014, roedd yn ofynnol sefydlu'r byrddau partneriaeth ar ôl troed y byrddau iechyd ac iddynt gynnwys cynrychiolwyr o'r gwasanaethau cymdeithasol, aelodau cabinet, cynrychiolwyr o'r byrddau iechyd gan gynnwys aelodau, sefydliadau'r trydydd sector, a chynrychiolwyr defnyddwyr a gofalwyr. Ceir cynrychiolwyr o'r cyrff statudol ar bob bwrdd partneriaeth, ond gall lefel presenoldeb cynrychiolwyr y byrddau iechyd amrywio o un i dri. Fel rheol, arweinwyr partneriaethau ac arweinwyr gofal sylfaenol ar lefel cyfarwyddwr neu reolwr, yn ogystal ag aelodau annibynnol, sy'n cynrychioli'r byrddau iechyd.

- 3.14 Gall aelodaeth yr awdurdodau lleol hefyd amrywio hyd at dri aelod o bob awdurdod. Mae hyn yn creu byrddau partneriaeth mawr mewn ardaloedd lle ceir pump neu chwech awdurdod, ac mae perygl y gall cynrychiolwyr yr awdurdodau lleol ddominyddu'r drafodaeth. Fel rheol, cyfarwyddwyr y gwasanaethau cymdeithasol ac aelodau cabinet sy'n cynrychioli'r awdurdodau lleol, er i Lywodraeth Cymru ddiwygio'r Ddeddf yn 2018 i beri iddi fod yn ofynnol i'r byrddau partneriaeth gynnwys cynrychiolaeth o'r maes tai<sup>15</sup>. Cyn diwygio'r Ddeddf, roedd cynrychiolaeth o'r maes tai'n amrywio ar draws y byrddau partneriaeth. Ceir cynrychiolaeth o'r trydydd sector ar y byrddau partneriaeth, ond gall fod yn anodd cael cynrychiolaeth o blith defnyddwyr gwasanaethau a gofalwyr.
- 3.15 Mae'r byrddau partneriaeth yn gyfrifol am roi eu cynlluniau ardal ar waith ac am ddefnyddio'r arian a ddarperir iddynt. I wneud hyn, rhaid iddynt benderfynu sut i ddefnyddio'r gronfa ar draws y rhanbarth ar ran y cyrff cyhoeddus a gynrychiolir ganddynt. Mae gan bob un o'r byrddau partneriaeth femorandwm cyd-ddealltwriaeth sy'n nodi'r broses benderfynu y cytunwyd arni. Fodd bynnag, mae ein gwaith ni wedi dangos mai ychydig iawn o waith a wneir i graffu ar benderfyniadau'r byrddau partneriaeth. Er bod rhai aelodau o'r byrddau partneriaeth yn gofyn am gymeradwyaeth gan eu sefydliadau cartref, nid yw'r arfer hwn yn gyffredin ar draws rhan helaeth o Gymru. Canfuwyd hefyd nad oes fawr ddim tystiolaeth bod y cynrychiolwyr yn adrodd yn ôl fel mater o drefn i fyrrdau a phwyllgorau craffu'r cyrff cyhoeddus perthnasol am benderfyniadau'r byrddau partneriaeth, ac roedd diffyg ymwybyddiaeth cyffredinol ymhlið y byrddau iechyd a'r awdurdodau lleol o'r modd y defnyddir y gronfa.
- 3.16 Yn y byrddau partneriaeth, dirprwyir y cyfrifoldeb dros y gronfa i raddau helaeth i is-grwpiau. Mae'r is-grwpiau'n argymhell i'r byrddau partneriaeth sut y dylid defnyddio'r gronfa ac yn rhoi adroddiadau sicrwydd iddynt yn ystod y flwyddyn ynghylch y ffordd y mae'r arian yn cael ei wario. Gan mwyaf, cyfarwyddwyr neu benaethiaid gwasanaethau sy'n aelodau o'r is-grwpiau, ac yn aml nid oes gan bartneriaid eraill fel y trydydd sector, tai a gofalwyr gynrychiolaeth ddigonol. Mynegodd cynrychiolwyr y trydydd sector yn enwedig bryderon nad oes ganddynt bob amser gynrychiolaeth ar yr is-grwpiau, er eu bod yn aelodau o'r byrddau partneriaeth. Mae hyn yn cyfyngu ar eu gallu i ymgysylltu ac i ddyylanwadu ar benderfyniadau ynghylch y gronfa. Mewn rhai byrddau partneriaeth, tynnwyd sylw at wrthdaro buddiannau posibl gan fod aelodau o'r is-grwpiau sy'n argymhell sut i ddyrannu'r gronfa'n rheoli'r gwasanaethau sydd hefyd yn elwa o'r gronfa.

15 Roedd y diwygiad i'r Ddeddf hefyd yn cynnwys cynrychiolaeth o'r cymdeithasau tai.

- 3.17 Gall amseriad cyfarfodydd y byrddau partneriaeth hefyd fod yn broblem. Yn ei chanllawiau blynnyddol, mae Llywodraeth Cymru'n pennu dyddiadau cau sy'n glir ond yn aml yn dynn ar gyfer cyflwyno cynlluniau buddsoddi refeniw, cynlluniau cyfalaf a ffurflenni monitro chwarterol. Canfuwyd bod rhai o gadeiryddion y byrddau partneriaeth yn cymeradwyo'r ffurflenni monitro tu allan i gyfarfodydd y bwrdd oherwydd bod yr amserlen rhwng diwedd y chwarter a'r dyddiad cyflwyno'n dynn. Nid oedd rhai cadeiryddion yn gysurus i wneud hyn ac roeddent yn gwrthod cymeradwyo'r ffurflenni hyd nes i'r bwrdd eu hystyried. O'r herwydd, bu'n rhaid aildrefnu dyddiadau rhai o gyfarfodydd y byrddau partneriaeth er mwyn iddynt fodloni amserlenni Llywodraeth Cymru.

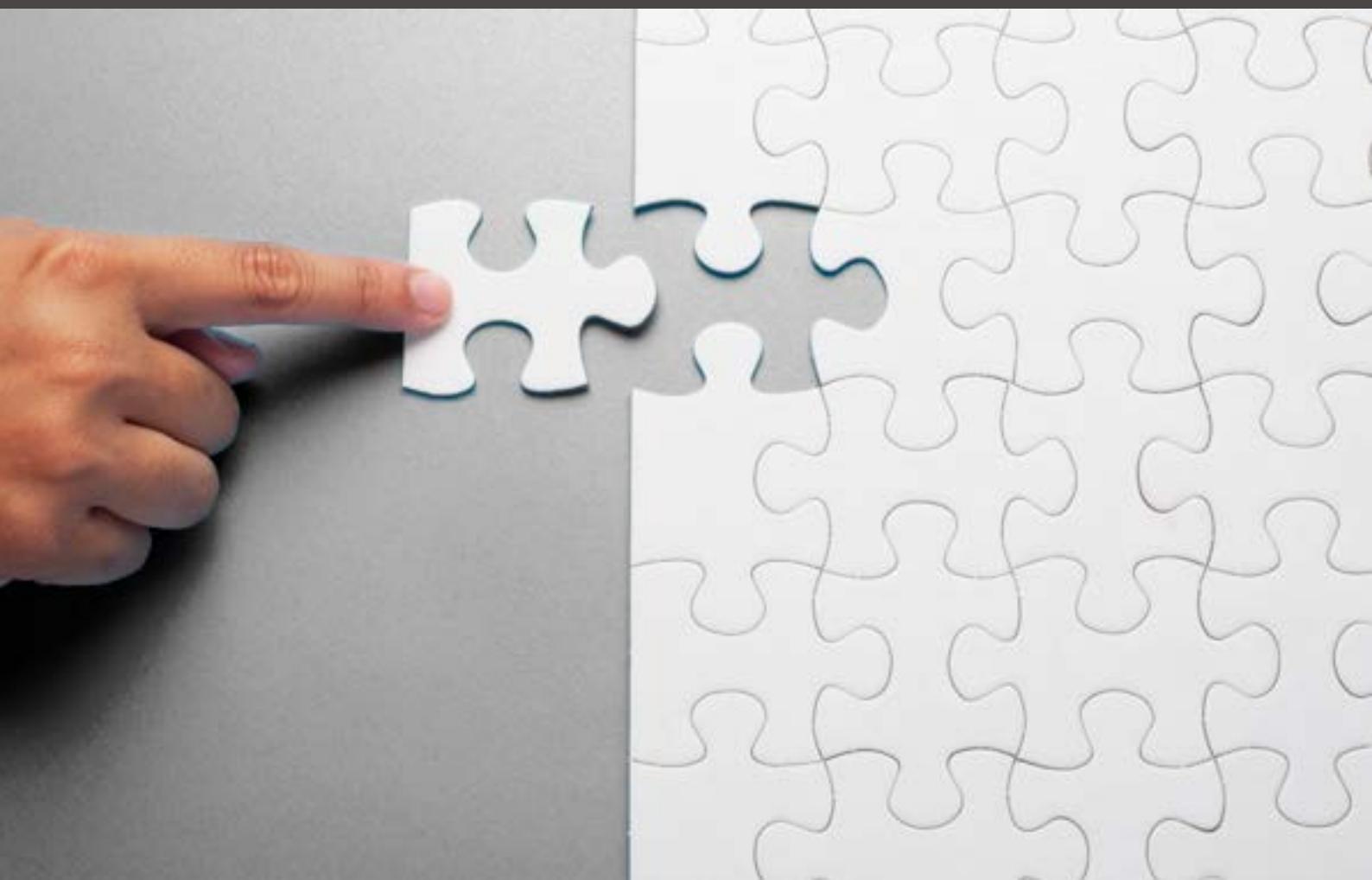
## Mae cadernid y gwaith o reoli prosiectau'n amrywio o ranbarth i ranbarth ac o sefydliad i sefydliad, ac ychydig ohonynt sy'n cynnwys defnyddwyr gwasanaethau o'r dechrau'n deg

- 3.18 I raddau helaeth, mae'r trefniadau i oruchwyllo ac i reoli prosiectau unigol yn seiliedig ar y trefniadau a ddefnyddir gan y sefydliad sy'n lletya'r prosiect. Fodd bynnag, nid oes cynlluniau manwl ar gael i ategu pob prosiect ac ni ddefnyddir dull cyson i reoli risgau prosiectau. Mae gan rai prosiectau gofrestrri risg lleol sy'n bwydo i mewn i gofrestrri risg sefydliadau neu feysydd, ond nid oes gan lawer ohonynt systemau i bennu, i reoli ac i uwchgyfeirio risgau.
- 3.19 Yn aml, bydd arweinwyr prosiectau'n ysgwyddo cyfrifoldebau ehangach tu hwnt i'r prosiect ei hun. Gall hyn greu problemau o ran y capaciti i gynllunio ac i reoli prosiectau ac i adrodd arnynt yn ôl y gofyn, ac mae llawer o arweinwyr prosiectau'n ei chael yn anodd bodloni'r dyddiadau adrodd a bennir gan Lywodraeth Cymru.

- 3.20 Ychydig o'r prosiectau sydd wedi cynnwys defnyddwyr gwasanaethau o'r dechrau'n deg, a hynny oherwydd bod cyn lleied o amser ar gael i'r partneriaid rhanbarthol ddatblygu eu prosiectau arfaethedig. Fodd bynnag, mae partneriaid rhanbarthol yn ceisio ymgysylltu drwy drafod â'r cynrychiolwyr defnyddwyr a gofalwyr sy'n aelodau o'r bwrdd partneriaeth. Yn unol â Deddf Gwasanaethau Cymdeithasol a Llesiant (Cymru) 2014, mae'n ofynnol i bob bwrdd partneriaeth sefydlu panel dinasyddion. Mae trefniadau'r paneli'n amrywio o ranbarth i ranbarth. Mewn rhai achosion, mae'r byrddau partneriaeth yn defnyddio'r trefniadau ymgysylltu sydd eisoes ar waith gan y cyrff cyhoeddus i ymgysylltu â defnyddwyr gwasanaethau a dinasyddion. Ar hyn o bryd, nid oes llawer o dystiolaeth bod y partneriaid rhanbarthol yn defnyddio'r trefniadau hyn i gynnwys dinasyddion yn y gwaith o gynllunio prosiectau a gefnogir gan y gronfa.
- 3.21 Er mai bwriad y gronfa yw helpu i ysgogi prosiectau newydd ac arloesol, nifer gymharol fechan o'r prosiectau sydd wedi cynnwys cynlluniau ymadael i brif-ffrydio'r prosiect os yw'n llwyddiannus neu i ddod â'r prosiect i ben os nad yw'n gwireddu'r buddion arfaethedig. Yn eu hymatebion i'n harolwg, dywedodd 40% o'r arweinwyr prosiectau fod gofyn iddynt gynnwys strategaeth ymadael yn eu cynlluniau prosiect. Yn sgil ein hadborth cynnar i Lywodraeth Cymru, mae bellach yn ofynnol llunio strategaeth ymadael ar gyfer pob prosiect sy'n cael ei ariannu gan y gronfa yn 2019-20 (**paragraffau 4.12 i 4.17**).

## Rhan 4

Er bod enghreifftiau cadarnhaol,  
nid yw effaith gyffredinol y gronfa o  
ran gwella canlyniadau defnyddwyr  
gwasanaethau yn glir o hyd, ac ni cheir  
llawer o dystiolaeth bod prosiectau  
llwyddiannus yn cael eu prif-ffrydio hyd  
yma



## Mae'r byrddau partneriaeth yn pennu amryw o astudiaethau achos cadarnhaol, ond nid yw trefniadau monitro canolog Llywodraeth Cymru yn gosod sylfaen i asesu effaith gyffredinol y gronfa hyd yma

- 4.1 Ers sefydlu'r gronfa, mae Llywodraeth Cymru wedi gofyn i'r byrddau partneriaeth gyflwyno data ariannol a data perfformiad ynghylch eu defnydd o arian refeniw ac arian cyfalaf y gronfa bob chwarter. Bob blwyddyn, mae'r canllawiau'n amlinellu'r gofynion adrodd. Yn 2016-17, dechreuodd canllawiau Llywodraeth Cymru nodi'r dyddiadau cau ar gyfer cyflwyno adroddiadau hefyd.
- 4.2 Fodd bynnag, mae'r dulliau adrodd ar gyfer arian refeniw ac arian cyfalaf yn wahanol. Y prif reswm dros y gwahaniaeth hwn yw bod elfen gyfalaf y gronfa'n cael ei hadnabod fel grant ac, o'r herwydd, mae'r gofynion adrodd yn wahanol. Er bod y byrddau partneriaeth yn cydnabod hyn, mae'r dulliau gwahanol yn achosi rhwystredigaeth a byddent yn croesawu proses symlach.
- 4.3 Ceir trefniadau adrodd ar wahân ar gyfer ffrydiau arian refeniw'r Gwasanaeth Awtistiaeth Integredig a System Wybodaeth Gofal Cymunedol Cymru hefyd. Llywodraeth Cymru sy'n gyfrifol am graffu ac adrodd ar y cynlluniau hyn, a hynny fel rhan o'r gwaith ehangach i oruchwylio'r Cynllun Gweithredu ar gyfer Anhwylderau'r Sbectwm Awtistig ac i gyflwyno'r system wybodaeth ledled Cymru.
- 4.4 Mae Llywodraeth Cymru wedi amlinellu'r gofynion adrodd ar gyfer y byrddau partneriaeth, gan roi pwyslais ar fesur llwyddiant prosiectau ar sail canlyniadau yn hytrach nag allbynnau sy'n canolbwytio ar swm y gweithgarwch. Pennodd Llywodraeth Cymru fod oedi wrth drosglwyddo gofal yn fesur canlyniad allweddol pan sefydlwyd y gronfa'n wreiddiol. Nid yw'n ofynnol i'r byrddau partneriaeth adrodd ar y sefyllfa o ran oedi wrth drosglwyddo gofal. Yn hytrach, mae Llywodraeth Cymru'n monitro'r sefyllfa ranbarthol drwy systemau canolog. Oherwydd y ffocws cynyddol ar wasanaethau ataliol ac osgoi derbyniadau, a'r newidiadau i'r grwpiau poblogaeth targed, dywedodd pob bwrdd partneriaeth nad yw oedi wrth drosglwyddo gofal yn adlewyrchu cwmpas llwyr y gronfa erbyn hyn.

- 4.5 Nid yw Llywodraeth Cymru wedi pennu unrhyw ddisgwyliadau penodol o ran sut y dylai'r byrddau partneriaeth fesur a chofnodi gwybodaeth am ganlyniadau. Mae pob bwrdd partneriaeth wedi llunio ei brosesau ei hun. Mae hyn wedi rhoi hyblygrwydd i'r byrddau partneriaeth ddefnyddio'r dulliau sydd fwyaf priodol yn eu tyb nhw i fesur perfformiad. Ond o'r herwydd, mae Llywodraeth Cymru wedi cael gwybodaeth wahanol iawn am brosiectau tebyg, gan beri iddi fod yn anodd coladu neu gymharu'r un wybodaeth am ganlyniadau ar lefel genedlaethol. O fewn eu gwahanol ddulliau o reoli perfformiad, dywedodd pob partner rhanbarthol hefyd ei bod yn anodd mesur canlyniadau'n llwyddiannus.
- 4.6 Yn 2017-18, ar ôl ymgynghori â'r byrddau partneriaeth, dechreuodd Llywodraeth Cymru gynnwys templed adrodd yn y canllawiau. Er gwaethaf y pwyslais ar adrodd am ganlyniadau, mae'r templed yn canolbwytio'n bennaf ar y cymorth a ddarparwyd drwy'r gronfa, yn ogystal â'r gwariant. Anogwyd y partneriaid rhanbarthol i barhau i gasglu unrhyw wybodaeth ychwanegol a allai fod yn fuddiol yn eu tyb nhw i ddangos perfformiad prosiectau. Mae hyn yn ychwanegol at y gofyniad i lenwi'r templed, ac mae'r byrddau partneriaeth yn aml yn cyflwyno'r wybodaeth ychwanegol hon gyda'u ffurflenni chwarterol. Fodd bynnag, oherwydd problemau capasiti'r tîm canolog (**paragraffau 3.8 i 3.12**), nid yw Llywodraeth Cymru'n cael cyfle i adolygu pob prosiect mewn manylder.
- 4.7 Mae llawer o'r partneriaid rhanbarthol wedi bod yn casglu profiadau defnyddwyr drwy astudiaethau achos oherwydd mai hon yw'r ffordd orau yn eu tyb nhw o ddangos y canlyniadau a gyflawnir ac effaith y gronfa ar fywydau pobl. Fodd bynnag, mae Llywodraeth Cymru wedi annog y byrddau partneriaeth i gynnwys nifer gymesur o astudiaethau achos yn eu ffurflenni chwarterol, gan ganolbwytio ar arferion gorau, gan fod ei chapasiti i ddadansoddi'r wybodaeth yn gyfyngedig.
- 4.8 Mae llawer o'r prosiectau'n canolbwytio ar atal ac ymyrraeth gynnau. Fodd bynnag, nid yw'r partneriaid rhanbarthol yn gallu adrodd am ostyngiadau yn y defnydd o wasanaethau mewn rhannau eraill o'r system nac arbedion, a hynny oherwydd bod y galw ar y gwasanaethau craidd presennol gan boblogaeth gynyddol ag anghenion mwy cymhleth yn disodli'r galw y mae'r prosiectau a ariennir yn ei reoli erbyn hyn.

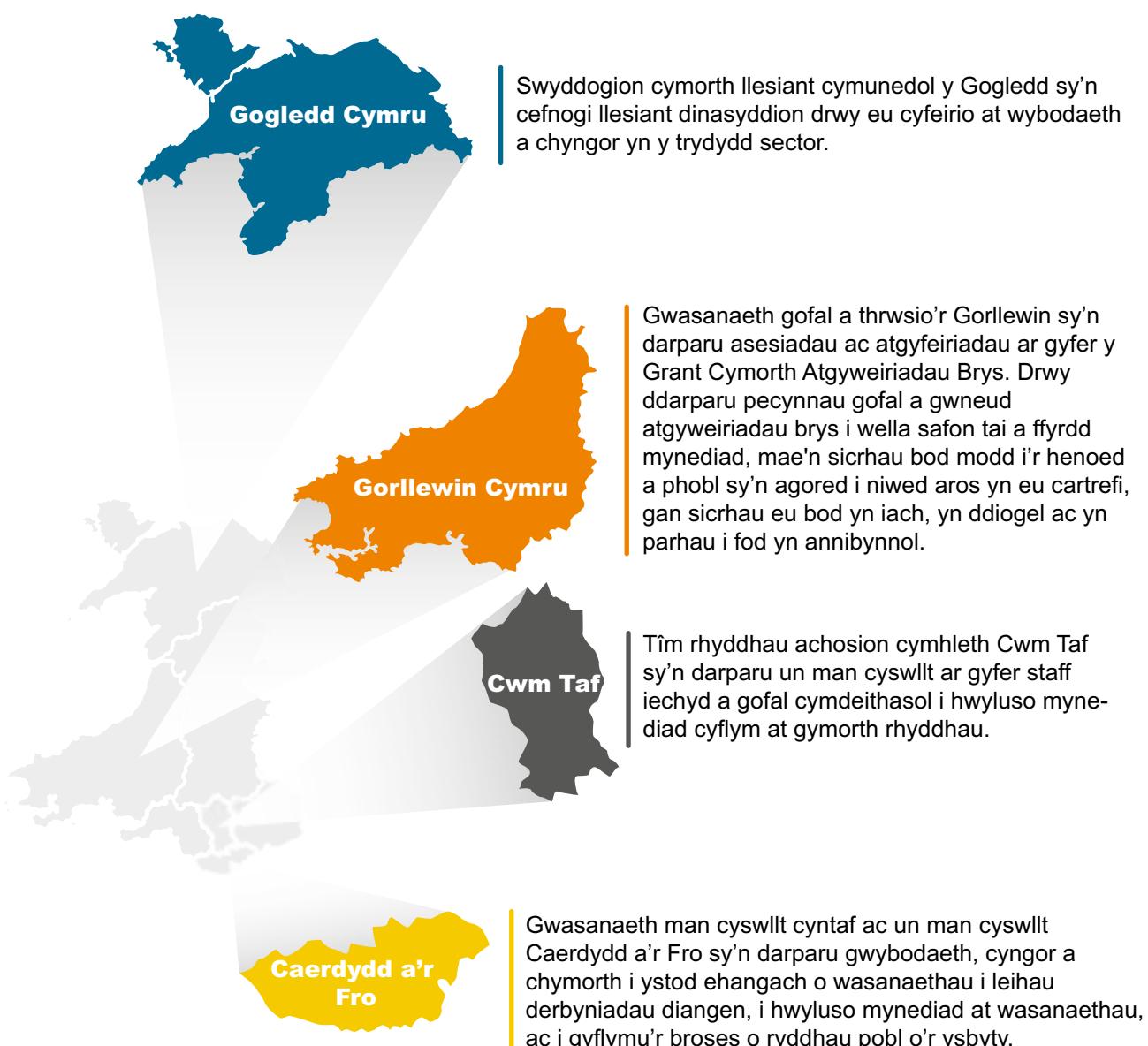
- 4.9 Mae pob bwrdd partneriaeth yn cydnabod bod mesur effaith yn faes y gallent ei wella ac maent yn mynd ati i gofnodi canlyniadau'n well. Er enghraifft, mae rhanbarth y Gorllewin yn treialu defnydd o'r Llwybr Integredig ar gyfer Pobl Hŷn<sup>16</sup>. Fel rhan o'r gwaith hwn, mae'r partneriaid rhanbarthol yn ceisio cysylltu'r canlyniadau lleol a gyflawnir ganddynt drwy'r prosiectau a ariennir gan y gronfa â'r canlyniadau cenedlaethol a bennir fel rhan o'r llwybr, ond mae'r rhain yn dal i fod yn ddyddiau cynnar. Yn ei chanllawiau diweddaraf, mae Llywodraeth Cymru yn annog y byrddau partneriaeth i ddefnyddio Atebolwydd yn Seiliedig ar Ganlyniadau<sup>17</sup> i fesur canlyniadau, ac mae tri bwrdd partneriaeth eisoes yn eu defnyddio, rhai ohonynt yn fwy llwyddiannus na'i gilydd.
- 4.10 Serch hynny, mae'r materion hyn yn golygu nad yw Llywodraeth Cymru, hyd yma, wedi gallu darparu darlun cenedlaethol o'r effaith y mae'r gronfa wedi'i chael. Yn y cyfamser, mae'r bwrdd prosiect wedi cael sicrwydd lefel uchel o'r wybodaeth a ddarparwyd gan y byrddau partneriaeth am wariant a gweithgareddau ac mae wedi defnyddio'r wybodaeth honno i osod sylfaen ar gyfer ymwelliadau Aelodau Cynulliad â gwahanol brosiectau. Mae Llywodraeth Cymru'n bwriadu cyhoeddi adroddiad blynnyddol erbyn mis Medi 2019 am y ffordd y defnyddiwyd y gronfa yn 2018-19. Mae Llywodraeth Cymru hefyd yn bwriadu comisiynu gwaith gwerthuso ehangach ar ôl iddi benderfynu gohirio gwerthusiad a gyhoeddwyd yn flaenorol oherwydd ein cynlluniau i ymgymryd â'n gwaith ni.
- 4.11 Mae'r angen i ddarparu'r un faint o wybodaeth bob chwarter wedi peri rhwystredigaeth i'r byrddau partneriaeth hefyd, yn enwedig gan fod lefel y gweithgarwch yn is ar y cyfan yn ystod chwarter cyntaf y flwyddyn ariannol. Mae Llywodraeth Cymru bellach wedi cydnabod hyn ac mae gofynion adrodd chwarter un a chwarter tri yn llai beichus yn 2019-20.

16 Llwybr chwe cham a luniwyd gan Lywodraeth Cymru i bennu ac i ddeall faint o ofal sydd ei angen ar bobl hŷn yw'r Llwybr Integredig ar gyfer Pobl Hŷn. Cafodd ei ddiweddu yn y Gorllewin i gynnwys saith cam.

17 Dull o fesur perfformiad yw Atebolwydd yn Seiliedig ar Ganlyniadau. Mae'n mesur llwyddiant gwasanaeth drwy ganolbwytio ar sut y mae sefyllfa defnyddwyr Dull o fesur perfformiad yw Atebolwydd yn Seiliedig ar Ganlyniadau. Mae'n mesur llwyddiant gwasanaeth drwy ganolbwytio ar sut y mae sefyllfa defnyddwyr gwasanaethau wedi gwella yn hytrach na chanolbwytio yn y ffordd draddodiadol ar weithgarwch.

Ni cheir llawer o dystiolaeth bod prosiectau llwyddiannus wedi'u prif-ffrydio a'u hariannu fel rhan o wasanaethau craidd y cyrff cyhoeddus hyd yma, ond mae Llywodraeth Cymru wedi ailbwysleisio ei disgwyliadau

- 4.12 Ers sefydlu'r gronfa yn 2014, mae Llywodraeth Cymru wedi nodi'n glir ei bod yn disgwyli i broiectau sy'n dangos eu bod yn cael effaith gael eu prif-ffrydio drwy'r cylidebau craidd. Yn ymarferol, mae llawer o'r prosiectau a gefnogwyd gan y gronfa wedi treiglo o flwyddyn i flwyddyn ([paragraff 2.15](#)). Rhestir rhai enghreifftiau isod:



- 4.13 Yng nghyd-destun pwysau ariannol ehangach, mae'r byrddau partneriaeth wedi'i chael yn anodd darbwyllo'r sefydliadau y maent yn eu cynrychioli i fuddsoddi yn y prosiectau hyn a phrosiectau eraill drwy'r ffrydiau ariannu craidd. Er ei bod yn ofynnol gwerthuso prosiectau, ychydig iawn o'r prosiectau, gan gynnwys y rheini sydd ar waith ers cyflwyno'r gronfa, a gafodd eu gwerthuso'n ffurfiol.
- 4.14 Bwriedir i'r byrddau partneriaeth ddefnyddio gwybodaeth sy'n deillio o werthusiadau i asesu gwerth prif-ffrydio'r gwasanaethau a gefnogir gan y gronfa. Mae'r wybodaeth a geir yn adroddiadau blynnyddol y byrddau partneriaeth ac mewn astudiaethau achos yn awgrymu bod llawer o'r prosiectau hyn, fodd bynnag, yn gwneud gwahaniaeth gweladwy (**Arddangosyn 10**). Ceir mwy o wybodaeth yn adroddiadau blynnyddol y byrddau partneriaeth, ac mae llawer ohonynt, ond nid pob un, wedi'u cyhoeddi ar eu gwefannau.

#### **Arddangosyn 10: enghreiffiau o effeithiau cadarnhaol prosiectau a ariannwyd gan y Gronfa Gofal Integredig**



##### **Uned Ailalluogi 'Y Bae'**

(Bwrdd Partneriaeth  
Rhanbarthol Caerdydd  
a'r Fro)

Drwy fagu hyder a gwella cryfder corfforol a meddyliol pob unigolyn, gall yr Uned ddangos gostyngiad sylweddol yng ngofynion cymorth parhaus ar ôl i'r defnyddiwr gwasanaeth ddychwelyd adref. Drwy sicrhau bod y gofal a ddarperir i'r unigolyn yn briodol yn seiliedig ar angen, llwyddwyd i arbed tua £500,000 y flwyddyn – **Adroddiad Blynnyddol Partneriaeth lechyd a Gofal Cymdeithasol Integredig Caerdydd a'r Fro 2017-18**



##### **Anhwylderau Bwyta Plant a Phobl Ifanc**

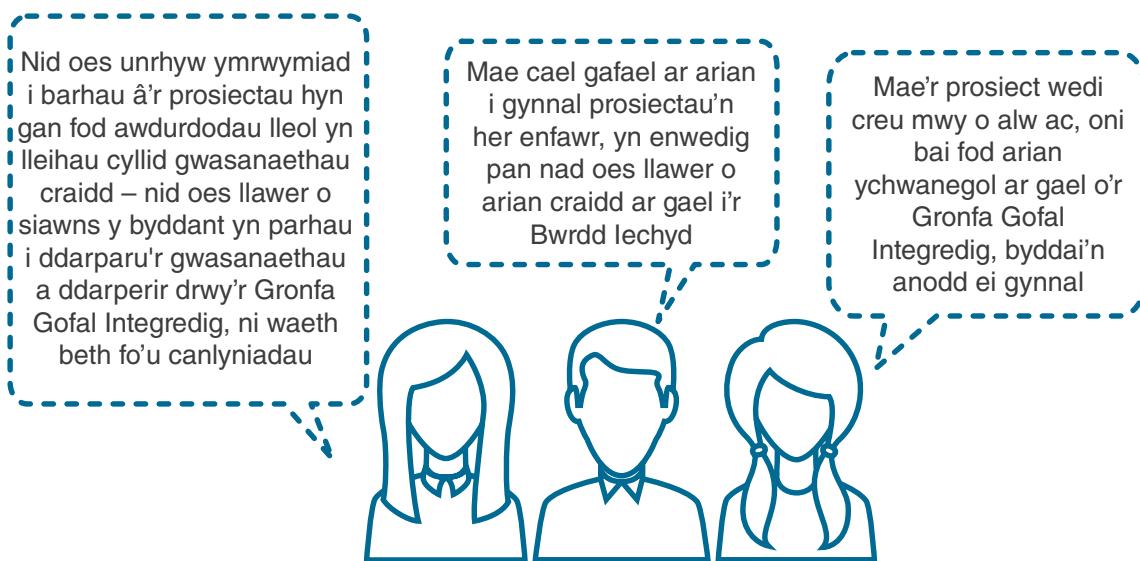
(Bwrdd Partneriaeth  
Rhanbarthol Gwent)

Gall y tîm cymunedol anhwylderau bwyta ddarparu asesiad rheolaidd o blentyn neu berson ifanc ar ran y Gwasanaeth lechyd Meddwl Plant a'r Glasoed (CAMHS) Mae hyn yn arwain at well canlyniadau i blant a phobl ifanc a llai o dderbyniadau i welyau Haen 4 – **Adroddiad Blynnyddol Bwrdd Partneriaeth Rhanbarthol Gwent 2017-18**

**Ffynhonnell: Adolygiad Swyddfa Archwilio Cymru o adroddiadau blynnyddol y Byrddau Partneriaeth Rhanbarthol.**

4.15 Yn eu hymatebion i'n harolygon, dywedodd 91% o'r arweinwyr prosiectau eu bod yn cytuno neu'n cytuno'n gryf fod y prosiectau yr oeddent yn rhan ohonynt yn gwneud gwahaniaeth i ddefnyddwyr gwasanaethau. Roedd 87% o aelodau'r byrddau partneriaeth hefyd yn cytuno neu'n cytuno'n gryf fod y prosiectau a ariennir yn eu rhanbarth yn gwneud gwahaniaeth i ddefnyddwyr gwasanaethau. Serch hynny, dim ond 60% o'r arweinwyr prosiectau a ddywedodd eu bod wedi gallu dangos effaith y prosiect, a dywedodd 75% ohonynt fod heriau'n codi o ran prif-ffrydio'r prosiectau (**Arddangosyn 11**).

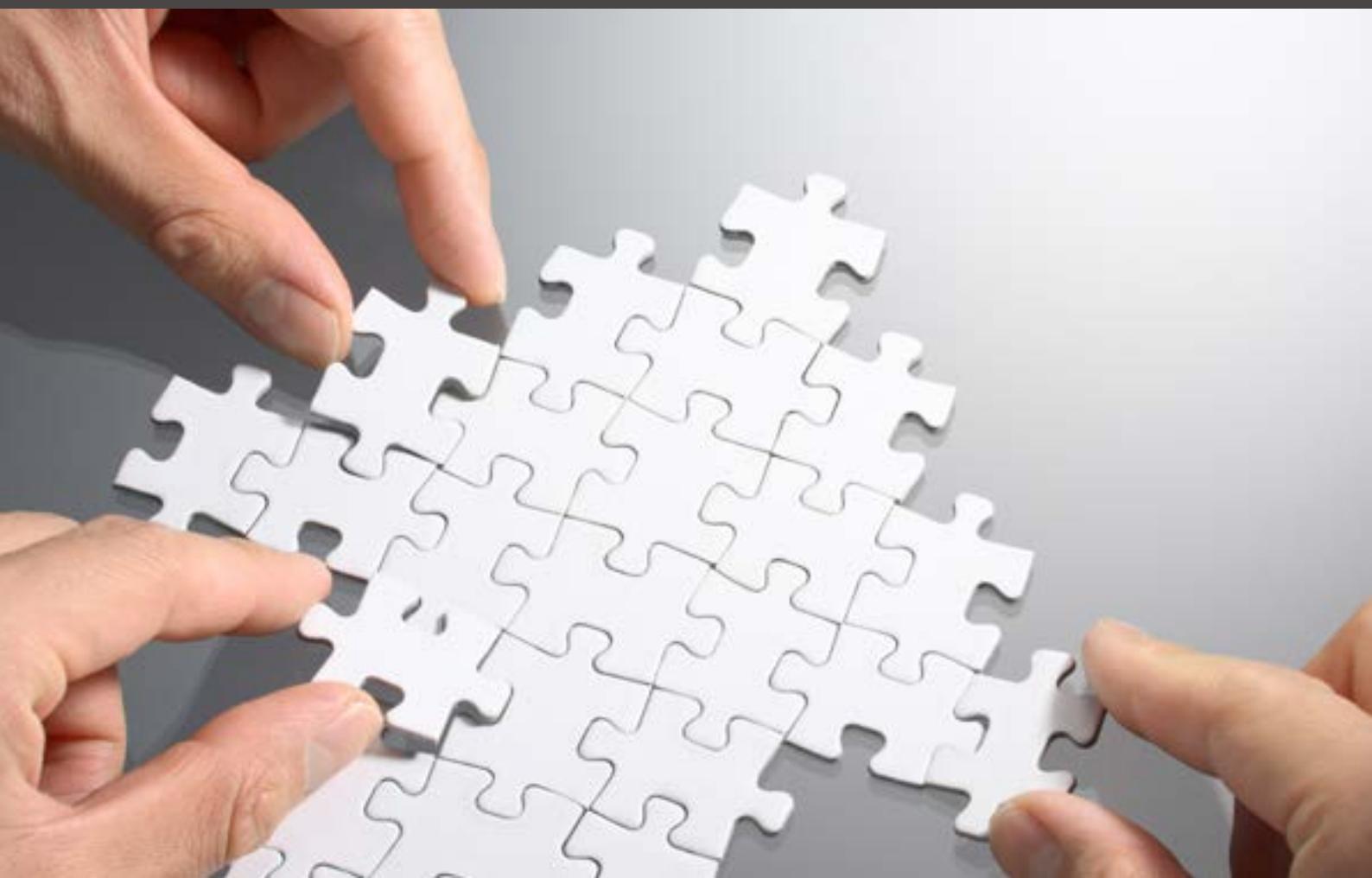
#### Arddangosyn 11: yr heriau a benwyd o ran prif-ffrydio prosiectau drwy ein harolwg ymhlih arweinwyr prosiectau



Ffynhonnell: Arolwg Swyddfa Archwilio Cymru ymhlih arweinwyr prosiectau.

- 4.16 Fodd bynnag, mae rhai prosiectau wedi ennill eu plwyf i'r fath raddau nes eu bod, i bob pwrrpas, yn wasanaethau craidd erbyn hyn. Pe baent yn dod i ben, byddai'n cael effaith andwyol ar y ddarpariaeth ehangach. Yn ei chanllawiau diweddaraf, mae Llywodraeth Cymru yn pwysleisio na ddylid defnyddio'r gronfa i gefnogi prosiectau sydd wedi datblygu i fod yn wasanaethau craidd, ac y dylid cael hyd i drefniadau eraill i'w hariannu. Mae Llywodraeth Cymru'n cydnabod yr heriau y mae'r byrddau partneriaeth yn eu hwynebu o ran prif-ffrydio prosiectau, ond nid yw wedi darparu unrhyw gymorth na chanllawiau manwl i'w helpu i fynd i'r afael â'r mater o'r blaen. Mae canllawiau 2019-20 bellach yn nodi'n glir bod disgwyl i'r cynlluniau buddsoddi refeniw gynnwys strategaethau ymadael ar gyfer pob prosiect ([paragraff 3.21](#)). Fodd bynnag, ni cheir unrhyw enghreifftiau ymarferol o hyd i ddangos sut y gall partneriaid rhanbarthol fynd ati i brif-ffrydio prosiectau sy'n dangos eu bod yn cael effaith. Gall fod rhaid i bartneriaid rhanbarthol hefyd wneud rhai penderfyniadau anodd i roi'r gorau i fuddsoddi mewn rhai gwasanaethau.
- 4.17 Unwaith y flwyddyn, mae Llywodraeth Cymru'n cynnal digwyddiad i ddod ag aelodau'r byrddau partneriaeth a'r rheini sy'n ymwneud yn uniongyrchol â'r prosiectau a ariennir ynghyd. Bwriedir i'r digwyddiad hwn hwyluso cyfleoedd i ddysgu ar y cyd. Mae'r rheini sydd wedi bod i'r digwyddiad yn dweud ei fod yn ddefnyddiol o ran dod i wybod pa brosiectau sydd ar waith ledled Cymru a thynnau sylw at brosiectau sy'n gweithio'n dda. Roedd aelodau'r byrddau partneriaeth yn teimlo y byddai'r digwyddiad yn fwy defnyddiol pe bai cyfleoedd ehangach i ddysgu o brofiadau eraill, yn enwedig o ran goresgyn heriau. Gallai'r digwyddiad blynnyddol hefyd fod yn ffordd ddefnyddiol o ddysgu ar y cyd am brif-ffrydio.

Atodiadau



# Atodiad 1

## Dulliau archwilio

### Arddangosyn A1: y dulliau archwilio a ddefnyddiwyd

Rydym wedi adolygu dogfennau canolog a rhanbarthol, gan gynnwys:

- Canllawiau Llywodraeth Cymru
- Cynlluniau strategol, gan gynnwys: cynlluniau corfforaethol yr awdurdodau lleol, cynlluniau tymor canolig integredig y byrddau iechyd, cynlluniau llesiant y byrddau gwasanaethau cyhoeddus
- Cynlluniau prosiectau
- Ffurflenni monitro cyllid a pherfformiad chwarterol y byrddau partneriaeth
- Cofnodion y byrddau partneriaeth a'u his-grwpiau<sup>18</sup>

Rydym hefyd wedi adolygu adroddiadau perthnasol am integreiddio iechyd a gofal cymdeithasol gan Audit Scotland a'r Swyddfa Archwilio Genedlaethol.



### Adolygu dogfennau

Cynhaliwyd arolygon ymhliith aelodau'r byrddau partneriaeth ac unigolion a fu'n arwain prosiectau yn ystod 2017-18.

Daeth ymatebion i law gan 71 o'r 156 o'r aelodau a holwyd a chan 65 o'r 243 o'r arweinwyr prosiectau a holwyd.



### Arolygon

Cynhaliwyd cyfweliadau â'r unigolion a ganlyn:

- Arweinwyr rhanbarthol y Gronfa Gofal Integredig
- Aelodau'r byrddau partneriaeth, gan gynnwys: aelodau etholedig, swyddogion, cynrychiolwyr defnyddwyr gwasanaethau a chynrychiolwyr y trydydd sector
- Arweinwyr prosiectau
- Swyddogion Llywodraeth Cymru



### Cyfweliadau

Cynhaliwyd gweithdai gydag aelodau is-grwpiau perthnasol y byrddau partneriaeth ym mhob rhanbarth.

Cynhaliwyd gweithdai hefyd gyda sampl o arweinwyr prosiectau ym mhob rhanbarth.



### Gweithdai

<sup>18</sup> Mae pob bwrdd partneriaeth wedi dirprwyo'r cyfrifoldeb dros elfennau o'r gronfa i un neu ragor o is-grwpiau.



Bu inni ddadansoddi data ariannol a data perfformiad prosiectau ar gyfer y cyfnod 2014-2019.

## Dadansoddi data

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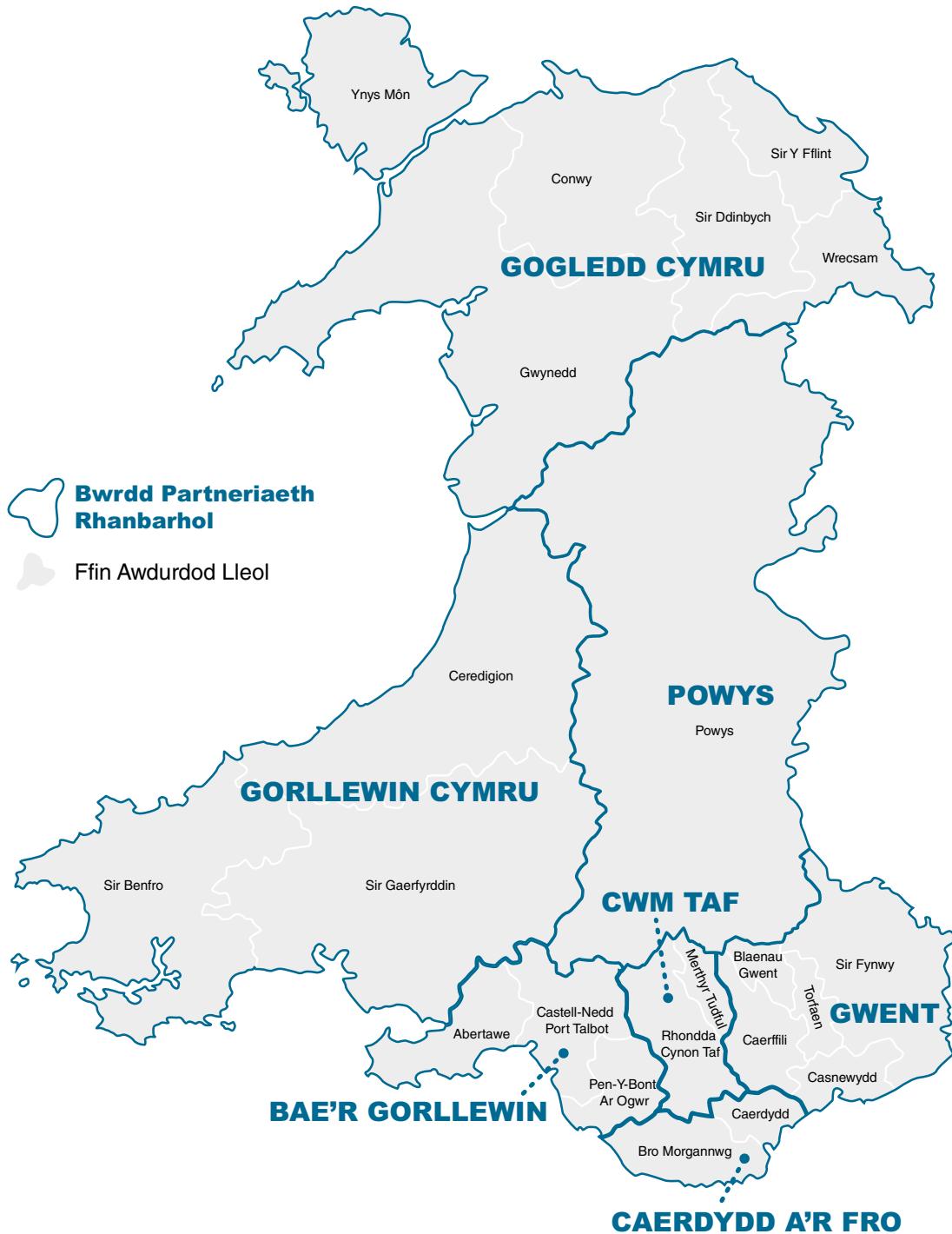


Bu inni arsylwi ar y trefniadau llywodraethu sydd ar waith drwy arsylwi ar gyfarfodydd bwrdd prosiect Llywodraeth Cymru. Bu inni hefyd arsylwi ar gyfarfodydd pob un o'r byrddau partneriaeth a'r is-grwpiau perthnasol sy'n gyfrifol am oruchwylio'r gronfa.

## Arsylwi ar gyfarfodydd

## Atodiad 2

Map o'r Byrddau Partneriaeth Rhanbarthol fel yr oeddent ar 31 Mawrth 2019<sup>19</sup>

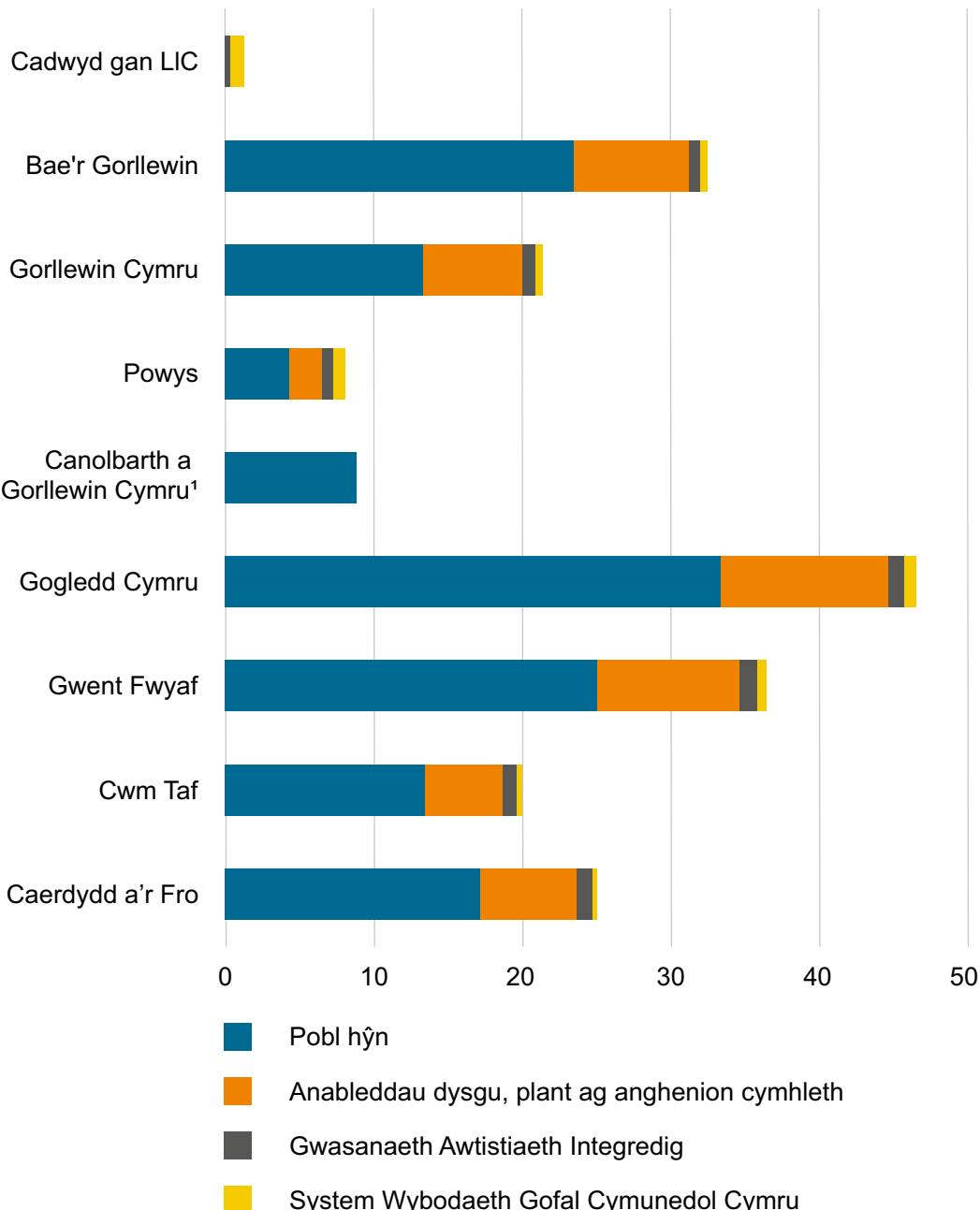


19 Ers i'r newidiadau i ffiniau Bwrdd Iechyd Prifysgol Abertawe Bro Morgannwg ddod i rym ar 1 Ebrill 2019, mae'r bwrdd a elwir yn Fwrdd Partneriaeth Rhanbarthol Cwm Taf Morgannwg erbyn hyn yn cynnwys Cyngor Bwrdeistref Sirol Pen-y-bont ar Ogwr. Ailsefydlwyd y bartneriaeth sy'n weddill rhwng Bwrdd Iechyd Prifysgol Bae Abertawe, Cyngor Dinas Abertawe a Chyngor Bwrdeistref Sirol Castell-nedd Port Talbot o dan yr enw Bwrdd Partneriaeth Rhanbarthol Gorllewin Morgannwg.

# Atodiad 3

## Dosbarthiad y gronfa rhwng 2014 a 2019

Arddangosyn A2: dosbarthiad yr arian refeniw fesul rhanbarth a maes, Ebrill 2014 – Mawrth 2019



Nodyn:

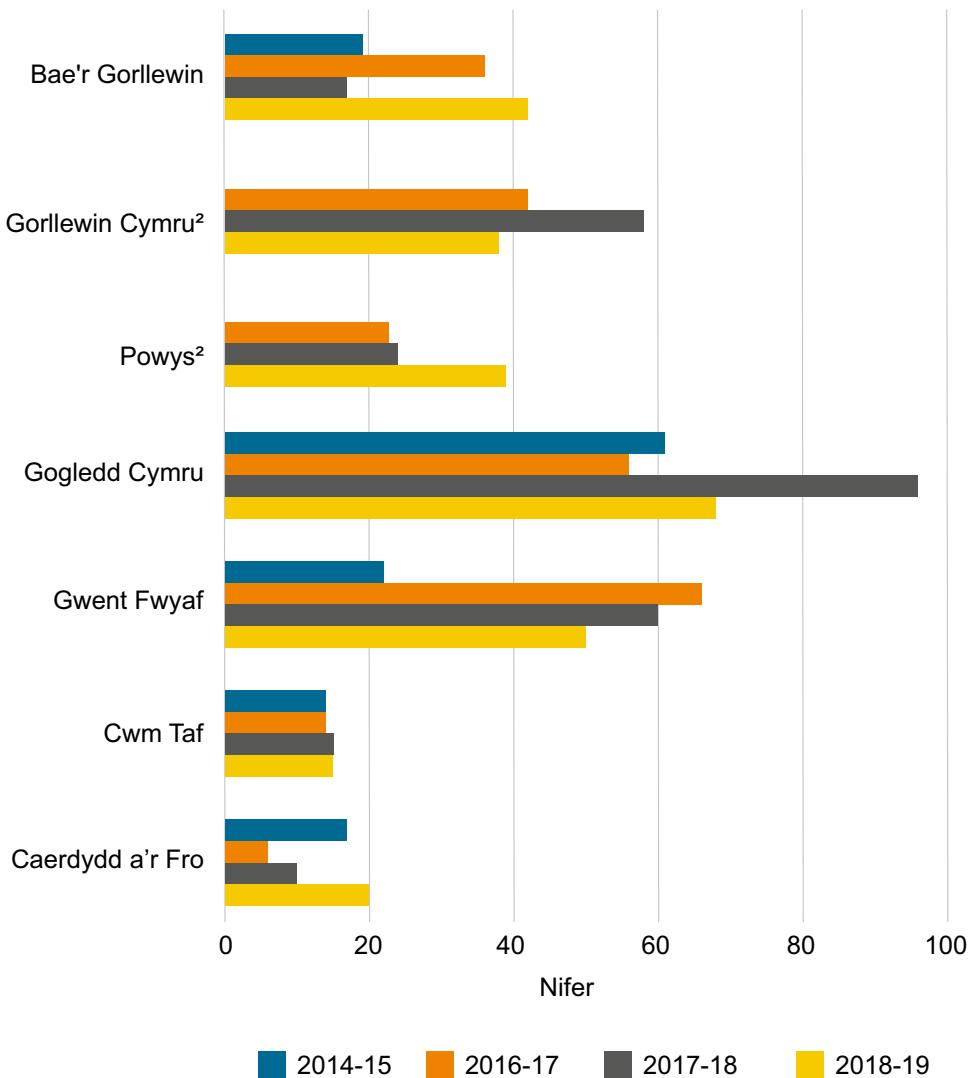
1. Rhwng mis Ebrill 2014 a mis Mawrth 2016, ystyriwyd bod Gorllewin Cymru a Phowys yn un rhanbarth ac fe wnaed un dyraniad ar gyfer Canolbarth a Gorllewin Cymru.

Ffynhonnell: Dadansoddiad Swyddfa Archwilio Cymru o ganllawiau a llythyrau dyrannu Llywodraeth Cymru.

## Atodiad 4

### Dadansoddiad o nifer a maint y prosiectau rhwng 2014 a 2019

Arddangosyn A3: nifer y prosiectau refeniw fesul rhanbarth, Ebrill 2014 – Mawrth 2019 (ac eithrio 2015-16)<sup>1</sup>

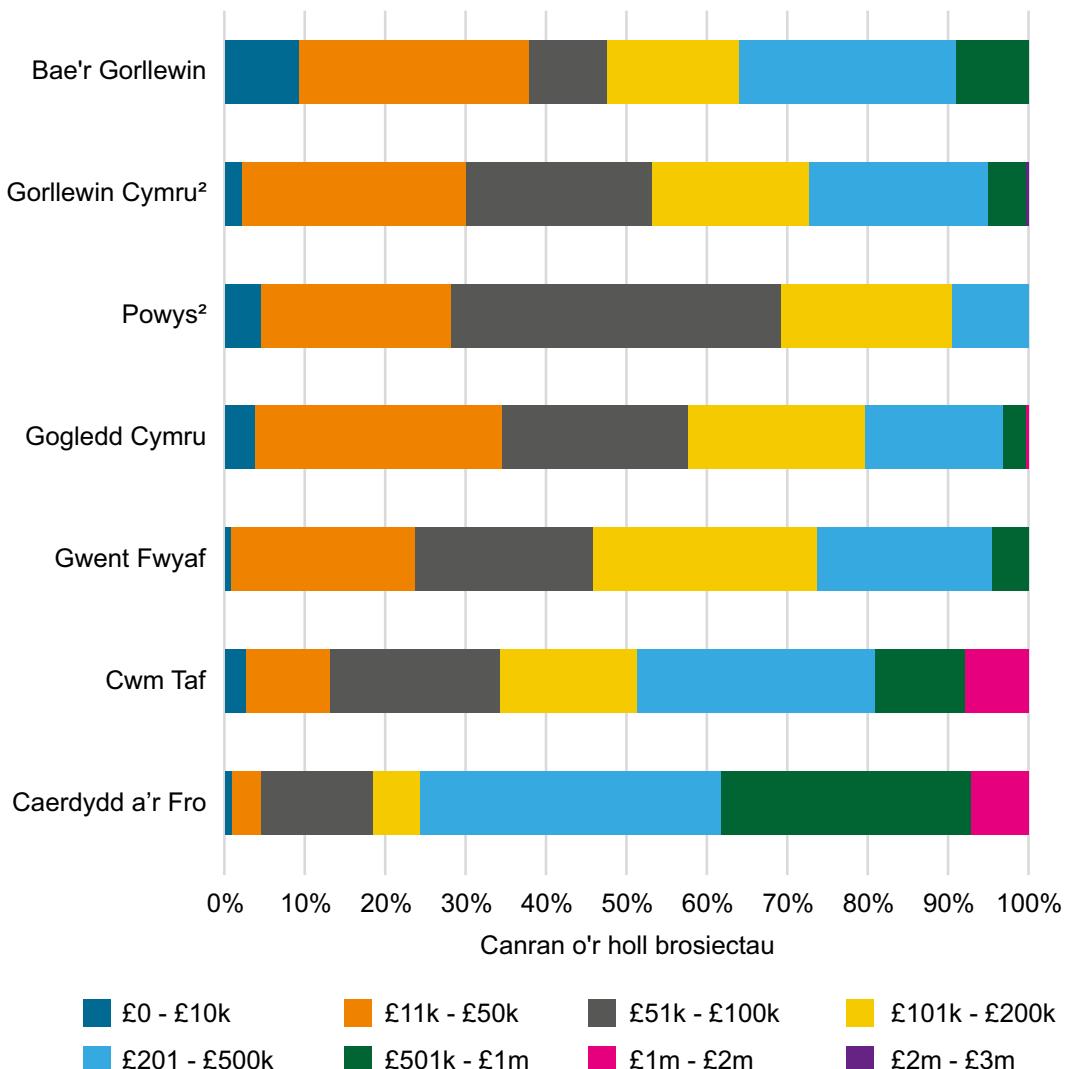


Nodiadau:

1. Cafodd prosiectau eu dwyn ymlaen yn 2015-16 ac rydym wedi eu hepgor o'r herwydd.
2. Rhwng 2014 a 2016, ystyriwyd bod Gorllewin Cymru a Phowys yn un rhanbarth ac fe wnaed un dyraniad ar gyfer y Canolbarth a'r Gorllewin. Rydym wedi hepgor nifer y prosiectau yn y rhanbarth hwn ar gyfer y cyfnod 2014-2016 o'r gymhariaeth.

Ffynhonnell: Dadansoddiad Swyddfa Archwilio Cymru o ffurflenni monitro'r byrddau partneriaeth a gyflwynwyd i Lywodraeth Cymru.

Arddangosyn A4: maint y prosiectau fesul rhanbarth, Ebrill 2014 – Mawrth 2019  
 (ac eithrio 2015-16)<sup>1</sup>



Nodiadau:

1. Cafodd prosiectau eu dwyn ymlaen yn 2015-16 ac rydym wedi eu hepgor o'r herwydd.
2. Rhwng 2014 a 2016, ystyriwyd bod Gorllewin Cymru a Phowys yn un rhanbarth ac fe wnaed un dyraniad ar gyfer y Canolbarth a'r Gorllewin. Rydym wedi hepgor nifer y prosiectau yn y rhanbarth hwn ar gyfer y cyfnod 2014-2016 o'r gymhariaeth.

Ffynhonnell: Dadansoddiad Swyddfa Archwilio Cymru o'r ffurflenni monitro a gyflwynwyd i Lywodraeth Cymru.

## Atodiad 5

### Prif ganfyddiadau ein harolygon ymhlih aelodau'r Byrddau Partneriaeth Rhanbarthol ac arweinwyr prosiectau

Dangosodd ein harolwg ymhlih aelodau'r byrddau partneriaeth<sup>20</sup> yr hyn a ganlyn:

-  Roedd 59 allan o 70 (84%) yn cytuno bod y sefyddiadau sy'n bartneriaid yn dangos ymrwymiad i waith partneriaeth.
-  Roedd 38 allan o 68 (56%) yn cytuno bod cysylltiadau priodol â grwpiau a fforymau rhanbarthol eraill, fel y byrddau gwasanaethau cyhoeddus, i sicrhau nad oes unrhyw orgyffwrdd na bylchau o ran ymateb i ofynion deddfwriaethol.
-  Roedd 33 allan o 62 (53%) yn cytuno ei bod yn ddefnyddiol clustnodi arian o'r gyllideb ar gyfer y mentrau cenedlaethol.
-  Roedd 21 allan o 61 (34%) yn cytuno bod y templedi a ddarperir gan Lywodraeth Cymru ar gyfer yr adroddiadau chwarterol yn casglu'r wybodaeth gywir.
-  Roedd 37 allan o 59 (63%) yn cytuno bod cyfathrebu defnyddiol yn mynd rhagddo rhwng y Byrddau Partneriaeth Rhanbarthol a Llywodraeth Cymru i ddeall unrhyw newidiadau i'r gronfa.
-  Roedd 57 allan o 71 (80%) yn cytuno bod y cynigion a gyflwynir gerbron y Byrddau Partneriaeth Rhanbarthol i'w cymeradwyo o ansawdd da ar y cyfan.
-  Roedd 39 allan o 69 (57%) yn cytuno bod y Byrddau Partneriaeth Rhanbarthol yn neilltuo digon o amser i graffu'n effeithiol ar y modd y mae'r prosiectau a gefnogir gan y gronfa'n cael eu rhoi ar waith.
-  Roedd 49 allan o 68 (72%) yn cytuno bod proses glir ar gael i fonitro ac i reoli tanwariant a gorwariant prosiectau o fewn strwythur y Byrddau Partneriaeth Rhanbarthol.
-  Roedd 47 allan o 68 (69%) yn cytuno bod y Byrddau Partneriaeth Rhanbarthol a'i is-grŵp yn canolbwytio ar ganlyniadau pan fyddant yn craffu ar brosiectau.
-  Roedd 45 allan o 70 (64%) yn cytuno bod y gronfa'n ariannu'r prosiectau cywir.
-  Roedd 60 allan o 69 (87%) yn cytuno bod y prosiectau a ariennir yn gwneud gwahaniaeth i ddefnyddwyr gwasanaethau.

20 Ni wnaeth pob aelod a ymatebodd ateb pob cwestiwn.

Dangosodd ein harolwg ymhliith arweinwyr prosiectau yr hyn a ganlyn:

-  Dywedodd 46 allan o 65 (71%) fod eu prosiect(au) wedi cael arian mewn blynnyddoedd blaenorol.
-  Dywedodd 31 allan o 65 (48%) fod eu prosiect(au) wedi cael arian o ffynhonnell arall, yn ychwanegol at y Gronfa Gofal Integredig.
-  Dywedodd 60 allan o 65 (92%) fod cysylltiad clir rhwng eu prosiect(au) a blaenoriaethau strategol cenedlaethol, gan gynnwys Deddf Llesiant Cenedlaethau'r Dyfodol (Cymru).
-  Dywedodd 38 allan o 65 (58%) fod fframwaith rheoli risg yn ei le ar gyfer eu prosiect(au).
-  Dywedodd 58 allan o 65 (89%) eu bod wedi cael cyfarwyddyd priodol gan reolwyr i'w cynorthwyo i roi'r prosiect(au) ar waith.
-  Dywedodd 27 allan o 65 (40%) fod gofyn iddynt gynnwys strategaeth ymadael fel rhan o'u cynlluniau prosiect.
-  Dywedodd 51 allan o 65 (78%) fod un pwynt atebolwydd ar gael o ran rhoi'r prosiect(au) ar waith.
-  Dywedodd 21 allan o 65 (32%) fod eu prosiect(au) wedi dechrau'n brydlon.
-  Dywedodd 26 allan o 65 (40%) fod trefniadau ar waith i fesur manteision ariannol y prosiect(au).
-  Dywedodd 39 allan o 65 (60%) eu bod wedi gallu dangos effaith y prosiect(au).
-  Dywedodd 43 allan o 65 (66%) fod y gronfa'n helpu i ddarparu gwasanaethau gwell a mwy cynaliadwy yn eu rhanbarth.
-  Dywedodd 49 allan o 65 (75%) fod heriau'n codi o ran prif-ffrydio'r prosiect(au).
-  Dywedodd 59 allan o 65 (91%) fod y prosiect(au) yn gwneud gwahaniaeth i ddefnyddwyr gwasanaethau.

# Atodiad 6

## Y cynnydd a wnaed o ran argymhelliaid blaenorol

Yn adroddiad yr Archwilydd Cyffredinol a gyhoeddwyd ym mis Hydref 2015, **Helpu Pobl Hŷn i Fyw'n Annibynnol: A yw cynghorau'n gwneud digon?**, gwnaethom yr argymhelliaid a ganlyn i'r awdurdodau lleol, y byrddau iechyd, partneriaid y trydydd sector a Llywodraeth Cymru. Rydym wedi asesu'r cynnydd a wnaed o ran yr argymhelliaid (Arddangosyn A5).

**Arddangosyn A5: y cynnydd a wnaed o ran argymhelliaid blaenorol sy'n ymwneud â'r gronfa**

### Argymhelliaid – gwella'r rheolaeth ar y Gronfa Gofal Canolraddol [bryd hynny] ac effaith y gronfa honno drwy:

Pennu llinell sylfaen ar gyfer perfformiad ar ddechrau prosiectau fel bo modd barnu yngylch effaith y prosiectau hynny dros amser

Cytuno ar fformat a chwmpas adroddiadau monitro fel bo modd cynnal gwerthusiadau cymaradwy o brosiectau a ariennir yn erbyn mein prawf y gronfa, er mwyn barnu pa brosiect sy'n cael yr effaith fwyaf cadarnhaol a faint o gynlluniau sydd wedi cael eu prif-ffrydio i dderbyn cyllid craidd.

Gwella'r ymgysylltu â'r ystod lawn o bartneriaid er mwyn sicrhau bod amrywiaeth mor eang ag sy'n bosibl o bartneriaid yn cael eu hannog i gymryd rhan mewn mentrau a rhagleni yn y dyfodol.

### Ein hasesiad o'r cynnydd a wnaed

Nid oes un dull ar waith i reoli perfformiad prosiectau. Mae'n amrywio o ranbarth i ranbarth ac, weithiau, o fewn yr un rhanbarth (**paragraffau 3.18 i 3.20**). Ceir enghreifftiau o brosiectau sy'n pennu'r perfformiad dangosol wrth gynllunio'r prosiect, ond nid yw hyn yn digwydd ym mhob achos.

Fel y nodir uchod, nid oes un dull ar waith i reoli prosiectau ac ni ellir cymharu prosiectau tebyg ar yr un sail (**paragraff 4.5**). Ceir tystiolaeth bod rhai rhanbarthau'n dechrau defnyddio dull a fyddai'n darparu gwybodaeth y gellir ei chymharu (er enghraift, fframwaith canlyniadau rhanbarthol y Gorllewin), ond mae'r rhain yn dal i fod yn ddyddiau cynnar ac nid oes unrhyw ddata ar gael ar hyn o bryd i farnu pa brosiectau sy'n cael yr effaith fwyaf.

Yn ogystal, mae'r rhanbarthau'n ei chael yn anodd casglu effeithiau cadarnhaol a darparu tystiolaeth o arbedion oherwydd natur ataliol y prosiectau, ac ni cheir llawer o dystiolaeth bod prosiectau wedi'u prif-ffyrdio i dderbyn cyllid craidd (**paragraffau 4.12 i 4.17**).

Mae'r graddau y mae partneriaid yn ymgysylltu â'r gronfa'n amrywio o ranbarth i ranbarth, ac mae partneriaid y trydydd sector wedi mynegi rhai pryderon parhaus (**paragraff 3.16**). Fodd bynnag, mae'r camau i gyflwyno Byrddau Partneriaeth Rhanbarthol ers sefydlu'r gronfa wedi dod ag ystod ehangach nag o'r blaen o bartneriaid ynghyd ar sail ranbarthol i gyfrannu at y rhaglen ac i gymryd rhan ynddi (**paragraffau 1.1 i 1.7**).

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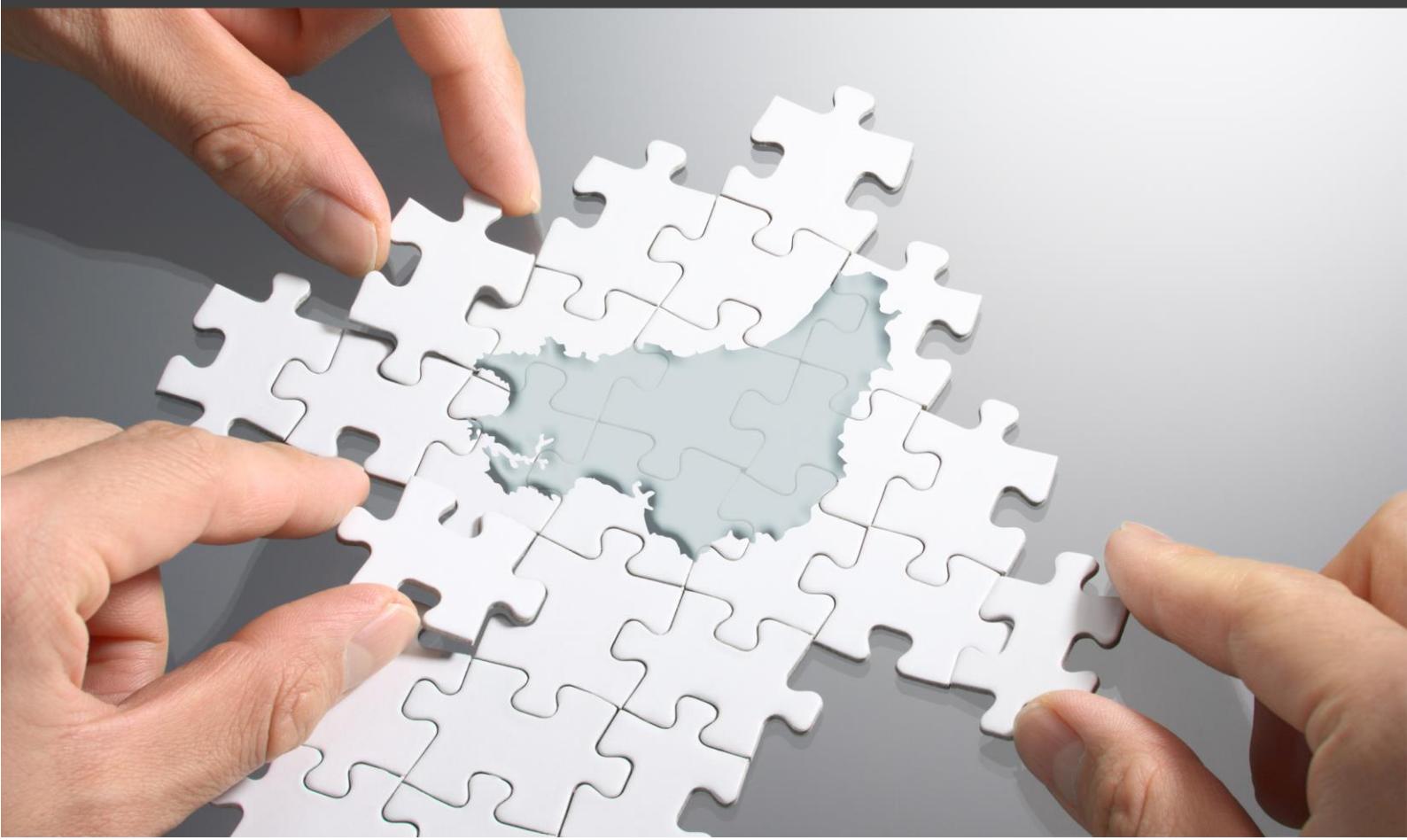
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## Integrated Care Fund – West Wales Regional Partnership Board

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Mae'r ddogfen hon hefyd ar gael yn Gymraeg. This document is also available in Welsh.

The team who delivered the work comprised Anne Beegan, Fflur Jones and Philippa Fido under the direction of Matthew Mortlock.

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## Introduction

- 1 The Integrated Care Fund (the fund) is allocated by the Welsh Government across Wales. The aim of the fund is to drive and enable integrated working between social services, health, housing and the third sector and independent providers to develop sustainable services.
- 2 Since establishing the fund for 2014-15, the Welsh Government has distributed £270 million across Wales between 2014-15 and 2018-19. In 2019-20, the fund is £115 million.
- 3 Initially focused on supporting older people, and particularly the frail elderly, the scope of the fund has extended over time to include other population groups and projects as set out in **Exhibit 1**.

Exhibit 1: the scope of the Integrated Care Fund



Exhibit source: Wales Audit Office

- 4 The Welsh Government distributes the fund across Wales to the seven Regional Partnership Boards (RPBs). The RPBs are responsible for overseeing and managing the use of the fund in their area.
- 5 On behalf of the Auditor General for Wales, we have examined whether the fund is being used effectively to deliver sustainable services that achieve better outcomes for service users. We have focused on whether the Welsh Government is effectively managing the fund to deliver against its intentions, and whether RPBs are demonstrating effective use of the fund. We also considered whether the projects supported by the fund are making a clear difference at a local level.

- 6 In July 2019, we published our national report **Integrated Care Fund**. We concluded that **the fund has had a positive impact, supporting improved partnership working and better integrated health and social care services. However, aspects of the way the fund has been managed at national, regional and project levels have limited its potential to date. There is little evidence of successful projects yet being mainstreamed and funded as part of public bodies' core service delivery.**
- 7 This supplementary report, which should be read in conjunction with the national report, sets out more detail about our findings for West Wales Regional Partnership Board (RPB). It builds on feedback that we provided to the Regional Partnership Board (the RPB) following completion of our fieldwork.
- 8 The RPB brings together the three local authorities in West Wales (Carmarthenshire County Council, Ceredigion County Council and Pembrokeshire County Council), Hywel Dda University Health Board, and representatives of the third sector and independent providers.



**Part 1** summarises partnership working in relation to the fund



**Part 2** summarises how the fund is used in the region



**Part 3** summarises the regional governance arrangements for the fund



**Part 4** summarises the overall impact of the fund in improving outcomes for service users

- 9 In undertaking this work, we have identified a number of areas that we think the RPB could improve upon at a regional level. These are set out throughout this report. We have not made specific recommendations for the RPB; however, the national report contains a number of recommendations which apply to all RPBs.
- 10 We have also identified examples of practice from across Wales which the RPB can learn from.
- 11 Finally, we have also identified some key questions that Board members of Health Boards and scrutiny members of local authorities could explore with lead officers responsible for the fund to maintain a close handle on how the fund continues to be used across the region.



## Detailed report

### Partnership working

- 12 Our national report has identified that **the fund has helped to bring organisations together to plan and provide services**. Health and social care partnerships have been around for some time but integrated working prior to the fund was limited. We found that the fund has provided the impetus for regional partners to develop integrated services and to move to joint funding arrangements in the context of wider policy and legislation.
- 13 In West Wales, members recognised that the RPB has been on an improvement journey since being established in 2016. Partners have been open to using core and other funding such as winter pressure monies to support Integrated Care Fund projects. But, while there is generally good partnership working in West Wales, not all partners have felt like equal members of the partnership.
- 14 As part of our survey of RPB members, we asked:
  - whether the RPB facilitates good partnership working; and
  - whether the partner organisations demonstrate a commitment to partnership working.
- 15 The responses we received from West Wales were slightly less positive than the all-Wales average but were still generally positive.
- 16 As part of our surveys of RPB members and project leads, we also asked about the impact of the fund on partnership working. The responses we received from West Wales confirmed positive views about the impact that the fund has had on strengthening partnership working ([Exhibit 2](#)). The full regional responses to the surveys can be found in [Appendix 1](#), along with the response rates.

**Exhibit 2: respondents to our surveys in West Wales told us that...**

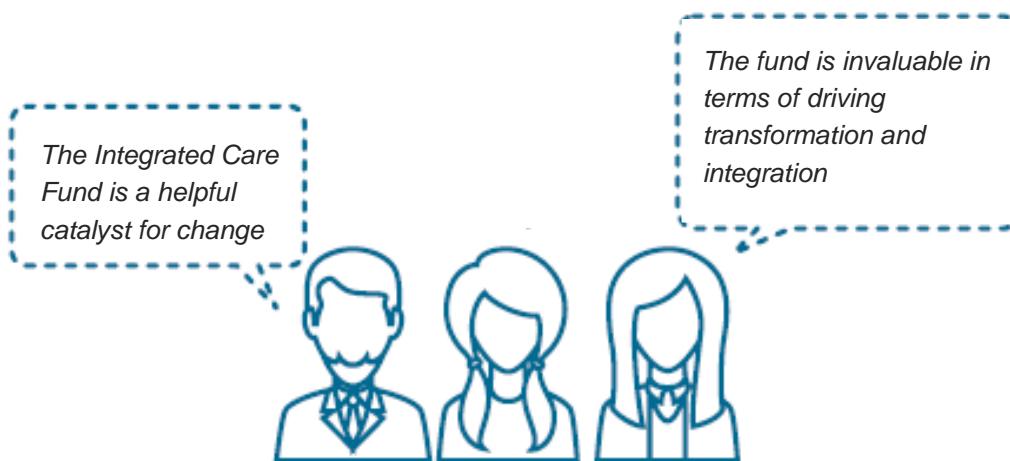
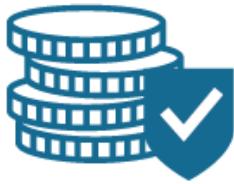


Exhibit source: Wales Audit Office surveys of RPB members and project lead

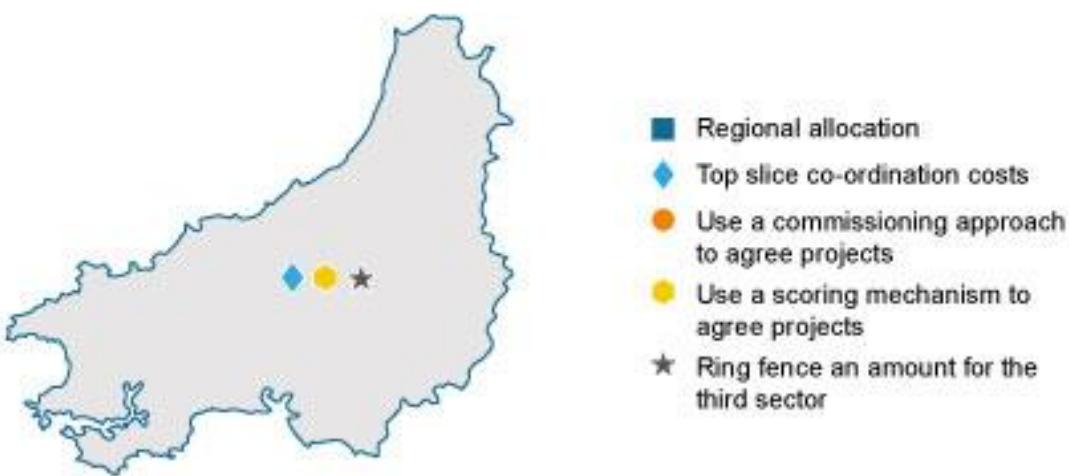


## Detailed report

### Use of the fund

- 17 Our national report identified that aspects of the way funding has been allocated by the Welsh Government and used by regional partners have limited the potential of the fund to date. The report highlighted that Regional Partnership Boards can find it difficult to balance local population needs with the Welsh Government's indicative allocations for target groups. It also highlights that RPBs use the fund in different ways, not all of which support a regional focus. We found that the approaches to the use of the fund vary between the regions, with limited sharing and learning of the approaches used across Wales.

Exhibit 3: approaches applied to the fund 2014-18



Source: Wales Audit Office

- 18 West Wales RPB members acknowledged that there is currently little regional use of the fund. Since the introduction of the fund, the RPB has distributed its allocation further to a county level. Those interviewed felt that the county allocation was not always viewed as fair. The RPB is moving to a more regional approach, although members recognised however that it will take time to implement.
- 19 In West Wales, the fund is top-sliced to fund co-ordination and project management roles. Overseen by the RPB's sub-groups, some of this top-slice is used to progress the RPB priorities. A proportion of the fund is ring-fenced for the third sector to bid for, however third sector representatives told us they felt they have insufficient access to the fund and that they benefit predominantly when spending on other projects slip.

- 20 Some RPBs recently began allocating the fund by commissioning thematic groups to identify a programme of work that the fund can support, rather than openly seeking bids from member organisations. The West Wales RPB seek bids, and once submitted, uses a scoring mechanism to agree which projects will be funded. We observed good discussion and use of the scoring mechanism at the RPB's County Integrated Boards, the groups responsible for overseeing the fund in each of the localities. Projects put forward broadly aligned with partners' corporate objectives on prevention and integration although we found no requirement that projects needed to link to the strategic objectives of the RPB and local wellbeing objectives to support implementation of the **Wellbeing of Future Generations (Wales) Act 2015**.
- 21 Our work also highlights that the RPBs have developed varying approaches for managing underspends. The effective management of underspends remains an issue, but the most advanced process is within the West Wales RPB where a reserve list of projects is kept which can be supported if surplus funds become available. The RPB also invites short notice bids from the third sector for projects which can be delivered in a short timescale, as well as agreeing upfront the use of capital underspend to support equipment stores.

---

## Areas for improvement



- Take a more regional approach to using the Integrated Care Fund and ensuring that projects support strategic objectives
  - Align the use of the Integrated Care Fund with other funding (eg the transformation fund, dementia monies, and core funding, etc.) to maximise their combined impact
  - Look for ways to ensure fair access to the Integrated Care Fund for the third sector
-



# Detailed report

## Governance arrangements

- 22 Our national report has identified that governance arrangements for the fund need to be further developed to strengthen central oversight and ensure greater consistency across the regions. The report highlights that RPBs frequently delegate responsibility for the fund to a sub-group and there is limited scrutiny of the use of the fund by health boards and local authorities. The report also identifies that the rigour of project management varies between RPBs and organisations, and few projects involve services users at the outset.
- 23 In the West Wales RPB, the fund is delegated to the County Integrated Boards and the Regional Integrated Care Fund Forum, which report to the Integrated Programme Delivery Board (now the Regional Integration Network) and the RPB. The RPB Priority Implementation Groups also take responsibility of the funds allocated to the regional priorities. In 2018, a new Integrated Care Fund Capital Group was also established to support a regional approach to the use of the capital funds. Our work found that not all West Wales RPB members and sub-group members understood the RPB structure, or which groups they were members of.
- 24 All the RPBs have representation from the statutory bodies, although representation from housing prior to the 2018 amendment to the Social Services and Well-being (Wales) Act 2014 was variable. We highlighted to the West Wales RPB the need to consider if it has sufficient housing and financial representation. Due to the number of local authorities in the region, the size of the West Wales RPB membership can create challenges in decision-making, discussions and gaining consensus. Carer and service user representatives identify that their contributions to decisions can often be limited because discussions and decisions are often taking place outside of the RPB meetings and without their involvement. There is a carer representative on the Carmarthenshire Integrated Board, but this is not replicated in the other two Integrated Boards.
- 25 West Wales RPB members do not consistently communicate discussions back to their own organisations, for example, on the allocation and impact that the fund is having within the region.
- 26 The West Wales RPB has taken some steps to link its work with local Public Service Boards (PSBs), by making links between the Area and Wellbeing Plans and having consistency in membership. We found scope to further clarify and improve links between the RPB and the Carmarthenshire, Ceredigion and Pembrokeshire PSBs on a regular and ongoing basis, including:
- identifying how the PSBs link to the West Wales RPB structure; and
  - establishing a more formal link between the PSBs and the West Wales RPB.

- 27 In light of recommendations within **A Healthier Wales: Our Plan for Health and Social Care**<sup>1</sup>, the RPB is reviewing the arrangements between itself and the PSBs in West Wales.
- 28 At a project level, we found both strengths and weaknesses in the management of funded projects ([Exhibit 4](#)).

**Exhibit 4: strengths and weaknesses in management of projects**

<b>Strengths</b>	<b>Weaknesses</b>
<ul style="list-style-type: none"> <li>✓ Good communication between the Integrated Care Fund regional leads and project leads</li> <li>✓ A requirement for project leads to work and report against agreed goals targets</li> <li>✓ Project leads want to engage service users when planning projects</li> <li>✓ Risk management of projects</li> <li>✓ Locally there appear to be generally good oversight arrangements for funded projects, based on adopting arrangements from the host organisation</li> </ul>	<ul style="list-style-type: none"> <li>✗ Not all projects are supported by a project plan, particularly for projects rolled-forward from previous years and projects in receipt of underspend</li> <li>✗ Project management methods vary</li> <li>✗ Not clear whether project risks are feeding into organisational risk monitoring</li> </ul>

Source: Wales Audit Office fieldwork

- 29 In common with many other regions, West Wales RPB is consistently unable to collate, scrutinise and sign-off project monitoring information by the tight deadline required by the Welsh Government. Sign-off often takes place before the RPB has been able to scrutinise monitoring returns.

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## **Areas for improvement**



- Building on the work to date, make more effective links with all three Public Service Boards
  - Strengthen project management arrangements across all Integrated Care Fund projects
  - Develop mechanisms for reporting back to individual organisations in a more consistent way
- 

<sup>1</sup> **A Healthier Wales**, published in June 2018, is the Welsh Government's long-term plan for health and social services in Wales

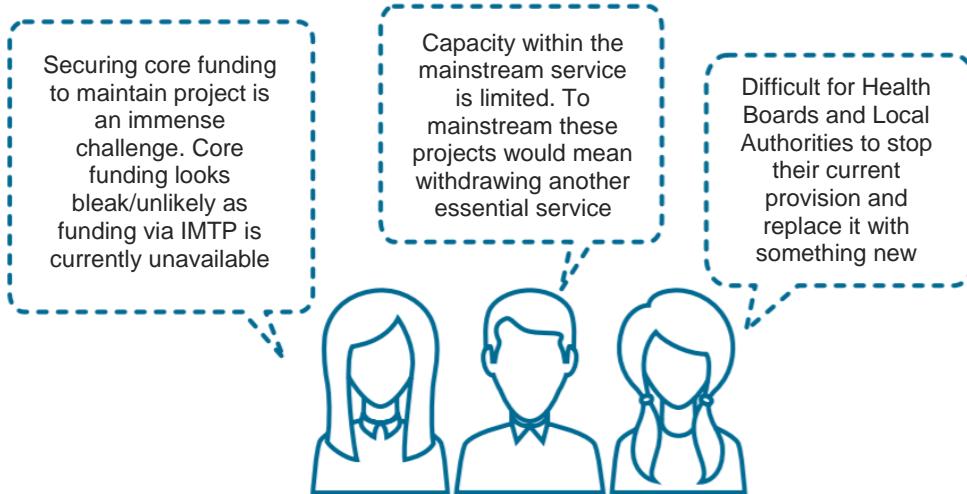


## Detailed report

### Outcomes for service users

- 30 Our national report has identified that despite positive examples, the overall impact of the fund in improving outcomes for service users remains unclear, with little evidence of successful projects yet being mainstreamed. The report highlights that RPBs identify a range of positive case studies, but there is little evidence that successful projects have yet been mainstreamed and funded as part of public bodies' core service delivery.
- 31 West Wales RPB members felt strongly that the fund is used to fund the right projects, and that the focus is on outcomes when overseeing the use of the fund. The West Wales regional partners are getting better at capturing performance data for the projects, but acknowledge that capturing consistent and comparable outcomes, rather than output data remains a challenge.
- 32 The West Wales RPB developed a regional outcomes framework to support the Welsh Government's Integrated Pathway for Older People. The framework was piloted during 2018-19 and could provide commonality for monitoring performance and outcomes on similar projects across the region. Similar to other RPB areas, West Wales RPB members continue to struggle to successfully share information which makes demonstrating impact and outcomes from a multi-agency view very difficult. Project leads are increasingly attempting to demonstrate the impact of projects through case studies, including through the use of video stories.
- 33 In common with other RPBs, in West Wales there are few examples of projects being mainstreamed due to financial and savings pressures. Project leads find it particularly difficult to quantify financial savings due to the preventative nature of projects. Such projects aim to manage demand and improve services and it is difficult to quantify these outcomes as a financial saving. A number of projects do not have a clear exit strategy should the funding cease. Routine evaluation of projects is not in place although some evaluation does take place at a local level on an ad hoc basis. Many projects are continuously rolled forward from previous years, limiting opportunities to use the fund to develop new and innovative projects. While still reliant on the fund, a number of the projects are now considered as part of core services.

**Exhibit 5: challenges identified with mainstreaming projects through our project lead survey in West Wales**



Source: Wales Audit Office survey of project leads

- 34 While shared learning is easier with fewer partners, West Wales RPB has developed a mechanism through the Regional Integrated Care Forum to share learning within the region. The forum brings together representatives from the County Integrated Boards and project leads to discuss areas of commonality. In contrast to many other RPBs, West Wales RPB has engaged proactively in shared learning between itself and its neighbouring RPB (Swansea Bay RPB), which enables opportunities in developing and delivering projects. However, the West Wales RPB acknowledged it could do more in terms of sharing learning and good practice, including sharing learning from similar projects run in the different county areas across the RPB.

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### **Areas for improvement**



- Rollout the use of the regional outcomes framework to all projects if the pilot is successful
  - Develop exit strategies for all Integrated Care Fund projects
  - Learn from good practice in other regions beyond Swansea Bay
-

# Appendix 1

## Key findings from our surveys of RPB members and project leads

Our survey of RPB members<sup>2, 3</sup> in West Wales identified that

		Across Wales...
	4 out of 6 agreed that partner organisations demonstrate a commitment to partnership working	84%
	4 out of 6 agreed that there were appropriate links with other regional groups and forums, such as Public Service Boards, to ensure that there were no overlaps or gaps in responding to legislative requirements	56%
	2 out of 5 agreed that the ring fencing of the fund for the national initiatives was helpful	53%
	1 out of 4 agreed that the templates provided by the Welsh Government for quarterly reporting captures the right information	34%
	1 out of 4 agreed that there was helpful ongoing communication between the RPBs and the Welsh Government to understand any changes to the fund	63%
	4 out of 5 agreed that proposals put forward for the RPB to approve are generally good quality	80%
	1 out of 6 agreed that the RPB sets enough time aside for effective scrutiny of the delivery of the projects supported by the fund	57%
	3 out of 5 agreed that there is a clear process for monitoring and managing project underspends and overspends within the RPB structure	72%
	3 out of 6 agreed that the RPB and its sub-group focusses on outcomes when scrutinising the projects	69%
	3 out of 6 agreed that the fund is funding the right projects	64%
	4 out of 5 agreed that the projects funded were making a difference to service users	87%

<sup>2</sup> Only six of the 15 (27%) RPB members invited to take part in our RPB member survey responded

<sup>3</sup> Not all members responding answered every question

Our survey of project leads<sup>4</sup> in West Wales identified that

	Across Wales...
	5 out of 14 (36%) identified that their project(s) had received funding in previous years      71%
	8 out of 14 (57%) identified that their project(s) received additional funding as well as the Integrated Care Fund      48%
	14 out of 14 (100%) identified that their project(s) clearly linked to national strategic priorities, including the Well-Being of Future Generations (Wales) Act      92%
	11 out of 14 (79%) identified that there was a risk management framework for their project(s)      58%
	13 out of 14 (93%) identified that they had received appropriate guidance from managers to support them in delivering the project(s)      89%
	9 out of 14 (64%) identified that they were required to include an exit strategy as part of their project plans      40%
	13 out of 14 (93%) identified that there was a single point of accountability for delivery of the project(s)      78%
	6 out of 14 (43%) identified that their project(s) started on time      32%
	6 out of 14 (43%) identified that there was a mechanism to measure the financial benefits of the project(s)      40%
	8 out of 14 (57%) identified that they had been able to demonstrate the impact of the project(s)      60%
	7 out of 14 (50%) identified that the fund is helping to provide sustainable and improved services in their region      66%
	6 out of 14 (43%) identified that there were challenges in mainstreaming the project(s)      75%
	14 out of 14 (100%) identified that the project(s) was making a difference to service users      91%

<sup>4</sup> Fourteen of the 39 (36%) project leads invited to take part in our project lead survey responded

# Appendix 2

## Examples of notable practice

In undertaking our work, we have identified a number of areas of practice which other RPB areas could learn from.

Across the **Cwm Taf Morgannwg** regional footprint, development work has been undertaken between the Regional Partnership Board and the Cwm Taf Public Service Board to identify areas of crossover between the partnerships, and to agree the responsibility of each. To strengthen these arrangements, a representative from the RPB sits on the PSB as a non-voting member and vice versa, ensuring communication between the partnerships.

The **West Wales** Regional Partnership Board has developed a strategic approach to using underspend. When allocating money to new projects at the beginning of the financial year, the unsuccessful projects are ranked using the same scoring mechanism as the successful projects. The highest scoring projects are identified and agreed as to be delivered via any underspend that occurs. This approach means that the regional partnership board is not trying to use up underspend at the end of the year on short-term interventions.

Following an internal review, the **Cardiff and Vale** Regional Partnership Board has developed a performance dashboard to monitor the Integrated Care Fund. The dashboard supports quarterly reporting of planned and actual levels of activity, impact and outcomes being achieved by the fund using a RAG rated system to visually identify projects that are off track.

In the **Greater Gwent** Regional Partnership Board, roles and responsibilities of the RPB and its subgroups are set out in a memorandum of understanding. Signed by all partners, the document sets out their shared intention to work together in a spirit of cooperation for the benefit of residents living with Gwent. The memorandum includes a conflict resolution process which has supported open and honest discussions between partners should conflict arise.

These examples are not exhaustive. Further examples can be found in the materials produced following our recent Good Practice Exchange webinars [Key Issues for Regional Partnership Boards](#).

# Appendix 3

## Key questions for Board and scrutiny members

To enable Board members of Health Boards and scrutiny members of local authorities to maintain a close handle on how the fund is used across the region, we have identified some examples of questions that could be used with lead officers responsible for the fund and lead officers who are members on the RPB.

### Partnership working

- Is the organisation challenging existing working practices and actively seeking new opportunities through the fund to work in partnership with its regional partners?
- Is the organisation considering options to utilise funding more effectively, for example by combining various funding streams, where appropriate, to support services to achieve greater impact?

### Use of the fund

- Is the organisation through its representatives on the RPB effectively engaging with relevant stakeholders, including the public, to inform its plans for the use of the fund?
- Is the organisation through its representatives on the RPB ensuring third sector organisations are equal partners and have fair access to the Integrated Care Fund at the beginning of the financial year and in-year?
- Is the organisation through its representatives on the RPB ensuring the approach to assessing, prioritising and approving services in receipt of the Integrated Care Fund is robust?
- Is the organisation through its representative on the RPB ensuring that the fund is used in a way that maximises value for money (for example, by reducing administrative costs)?
- Is there an effective approach to managing fund underspends in-year?

### Governance arrangements

- Is there a mechanism in place to ensure the organisation is regularly kept up-to-date about the work of the RPB and its sub-groups in relation to the fund?
- Is there a robust risk management framework in place for the services funded through the Integrated Care Fund, and who would be responsible for any unforeseen issues with projects?
- How does the organisation and the RPB get assurance that the approved Integrated Care Fund projects are managed effectively and that the reporting of approved projects is accurate?

### **Outcomes for service users**

- Is the organisation working with its RPB partners to evaluate what difference funded initiatives have made in terms of outcomes for the regional population?
- Is the organisation working in partnership with its RPB partners to demonstrate outcomes from a multi-agency view?
- Are there services continually funded through the Integrated Care Fund which would significantly impact on the organisation if they were to cease i.e. those now considered core services?
- Is the organisation mainstreaming Integrated Care Fund projects that have demonstrated a positive impact?
- Is the organisation supporting the RPB to facilitate shared learning within the region to enable continuous improvement of project development and management, and the roll-out of successful localised projects?
- Is the organisation supporting the RPB to engage with other regions to share information and learn lessons from other examples and experiences of the Integrated Care Fund?

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