Report

Audit Committee

Part 1

Date: 24 March 2016

Subject   **Monitoring Regulatory Reports**

Purpose   To provide Audit Committee with information about the regulatory reports that have been received by the Authority and the arrangements to follow up on any recommendations made.

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Ward   All

Summary   This report details all of the regulatory reports that have been received by the authority from our main regulators, Wales Audit Office (WAO), Care and Social Services Inspectorate Wales (CSSIW) and Estyn.

Each of the regulatory reports contains recommendations or proposals on areas of service delivery where the authority can make improvements. It is important that the authority take note of these proposals and make plans to implement the findings and to monitor the progress of the plans

Proposal   1. To note the contents of the report.
2. To receive a further update in September 2016

Action by   Heads of Service

Timetable   Immediate

This report was prepared after consultation with:

- Head of Law & Standards
- Chief Democratic Services Officer
- Head of People and Transformation
- Head of Finance
- Chair of Cabinet
- Audit Committee

Background

This report builds on the information provided periodically to the Audit Committee since 19th September 2013. Earlier reports contain details of regulatory reports that have been received by the authority since April 2011. However for ease of reading this report only includes details of the last 12 months activity. Review from our main regulators are included, Wales Audit Office (WAO), Care and Social Services Inspectorate Wales (CSSIW), Estyn and more recently, Her Majesty's Inspectorate of Probation (HMIP)

Each of the regulatory reports contains recommendations or proposals on areas of service delivery where the authority can make improvements. It is important that the authority take note of these proposals and make plans to implement the findings and to monitor the progress of the plans.

New Information for this report

- WAO Certificate of Compliance. Annual Review of Performance 14/15, A certificate was issued to confirm that the authority has complied with the requirements of the Local Government Measure 2009 with regards to its Assessment of Performance 14/15
- WAO Data Quality Review, An assessment of the accuracy of the performance data produced by the authority
- CSSIW Performance Evaluation Report 14/15 and action plan considered by a joint committee of Community Planning and Development Scrutiny and Learning, Caring and Leisure Scrutiny on 2nd December 2015

Monitoring WAO proposals for Improvement and recommendations

To date, the monitoring of the proposals for improvement made by WAO are reported to Cabinet, whereas the monitoring arrangements for CSSIW and Estyn reports are through Scrutiny. Progress monitoring reports for the WAO proposals for improvement are reported to Cabinet on a quarterly basis. These quarterly reports to Cabinet include updates of the open Proposals for improvement and the recommendations arising from the Corporate Assessment.

The latest update on the Proposals for Improvement is included in appendix 2. Links to the reports provided in the last 12 months are below.

Cabinet 8th June 2015 (page 54 onwards)
https://democracy.newport.gov.uk/documents/s1526/05%20Improvement%20Plan%20-%20Quarter%204%20v3%2015MAY15.pdf
Cabinet 8th September 2015 (page 81 onwards)
https://democracy.newport.gov.uk/documents/s2388/04%20Annual%20Review%20of%20the%2014%2015%20IP%20and%20cover%2019AUG.pdf
Cabinet 18th December 2015 (page 39 onwards)
https://democracy.newport.gov.uk/documents/s3797/05%20Improvement%20Plan%20-%20Quarter%202%204DEC%20FINAL.pdf
Cabinet 14th March 2016 (page 40 onwards)
https://democracy.newport.gov.uk/documents/s4691/05%20Improvement%20Plan%20-%20Quarter%203%20template%20and%20cover%2001MAR16.pdf

WAO Work Programme 15/16

Local Studies

WAO Undertake a programme of work at the council about our local arrangements. The following local work is being carried out during 2015/16

- Improvement Plan Certificate of Compliance – received May 2015
- Improvement Plan year end Certificate of Compliance – received November 2015
- Data Quality Review – received February 2016
- Corporate Assessment Follow up Review – review underway

- Review of Waste Services – review underway
- Annual Improvement Report – to be started

National Studies
In addition to the local work that WAO undertaken at the council they also carry out a number of national studies each year on various topics. The outcomes of these studies are to identify trends across Wales and to identify best practice. WAO select a handful of authorities to be study sites where are more detailed assessments are carried out. We have been asked to participate in the following National Studies over the next few months.
- Financial Resilience – This is a wide national reviews where all authorities are assessed in detail.
- Income Generation – Newport is one of 6 study sites for this review
- Funding of Third Sector Service – Newport is not a study site
- Community Safety Partnerships - Newport is not a study site

Roles and Responsibilities

Body	Role	Responsibilities
Cabinet	To receive and respond to service review reports by drawing up appropriate and robust action plans. To work with officers to ensure delivery of those action plans.	To receive 'whole authority' reports from the major regulatory bodies (WAO, CSSIW and Estyn) and endorse action plans for consideration and monitoring (where appropriate) by Scrutiny. To receive quarterly monitoring reports on the proposals for Improvement
Cabinet Members		To receive whole authority reports To receive specific review reports and endorse action plans for consideration and monitoring by Scrutiny. To ensure delivery of action plans.
Audit Committee	To ensure all regulatory reports are being appropriately dealt with, and the Council's risk management and internal control mechanisms are adequate.	To receive six monthly overview reports about the position of the regulatory reports received by the authority, including summary findings of reports received. To be advised of upcoming regulatory reports
Scrutiny Committees	To hold the Executive to account in responding to regulatory reports, ensuring actions plans are robust, and progress is being made in delivering them.	To receive all regulatory reports and resulting action plans, and to monitor the progress of the action plans as appropriate.
Chief Executive, Directors, Heads of Service and Senior Managers	To present and deliver action plans and ensure these plans are monitored through service planning or other scrutiny arrangements.	To input into the whole authority and specific review reports as appropriate. To work with Cabinet Members to ensure delivery of action plans.

Types of regulatory report
There are two types of report that are received from regulators, whole authority (or whole service) reports, and specific review reports.

- 'Whole Authority' reports are those that cover the governance of the authority or the whole scope of the regulator. Examples of this would be the Corporate Assessment, Improvement Letters, Estyn Inspection of Local Authority Services, and the CSSIW Annual Review and Evaluation of Performance. These reports will be considered by Cabinet and final reports will generally be presented by the regulator that authored the report.

- 'Specific Review' reports are those on a single topic, e.g. Waste Management or Regeneration. These reports will be considered by the relevant Cabinet Member.

Financial Summary

- There are no specific financial implications from this report

Risks

Risk	Impact of Risk if it occurs* (H/M/L)	Probability of risk occurring (H/M/L)	What is the Council doing or what has it done to avoid the risk or reduce its effect	Who is responsible for dealing with the risk?
That the authority may not comply with the Local Government Measure in this respect	M	M	Processes have been put in place to capture, monitor and manage proposals from regulators.	
That the authority does not have a full picture of the regulatory activity	M	L	This overview report, the cabinet reports and regular future reports on this topic will address this issue	

* Taking account of proposed mitigation measures

Links to Council Policies and Priorities
This report contributes in some way to all of the Council's priorities

Options Available
For information

Comments of Chief Financial Officer
There are no specific financial consequences arising from this report. There may be financial consequences arising from the individual regulatory reports and these will be picked up within those reports as appropriate.

Comments of Monitoring Officer
There are no specific legal issues arising from the Report. However, the Local Government (Wales) Measure 2011 and relevant statutory guidance now requires that Audit Committee should be informed of all external audit or regulatory reports, so they can be satisfied with the measures adopted to address any issues identified and to mitigate any internal risks. Following the processes set out in this report, Cabinet, Scrutiny Committee's and Audit Committee will need to exercise a greater overview over regulatory reports in future**.**.

Staffing Implications: Comments of Head of People and Business Change
There are no direct staffing implications associated with this report.
This report enables the authority to have an overview of the regulatory reports received by the authority, and as such, complies further with the Local Government (Wales) Measure 2011

Background Papers
See links in report
'Regulatory Reports Review' Audit Committee (19/09/13)
'Monitoring Regulatory Reports' Audit Committee (21/11/13)
'Monitoring Regulatory Reports' Audit Committee (27/03/14)
'Wales Audit Office: 2014/15 Performance Audit Work and Fees (18/09/14)
'Monitoring Regulatory Reports' Audit Committee (27/11/14)
'Monitoring Regulatory Reports' Audit Committee (10/03/15)
'Monitoring Regulatory Reports' Audit Committee (26/11/15)

Dated: 10th March 2016

Appendix One
Details of Regulatory Reports

Key: The following acronyms are used in the table below

LCL Scrutiny	Leisure, Caring and Learning Scrutiny Committee
CPD Scrutiny	Community Planning and Development Scrutiny
SRS Scrutiny	Streetscene, Regeneration and Safety Scrutiny Committee
CFS	Service Area: Children and Family Services
CIS	Service Area: Customer and Information Services
P&T	Service Area: People and Transformation
RRS	Service Area: Regeneration and Regulatory Services
L&S	Service Area: Law and Standards

Education (Estyn Regulatory Reports)

Service Area	Report / Review and date	Reported to	Comments / follow up
Education	Review of regional school improvement services (EAS)	Joint Education Group* June 2015	
Education	**Upcoming: Estyn Inspection – March 2016**	**Cabinet and LCL Scrutiny**	**Outcomes expected June 2016**

*Joint Education Group consists of 5 Cabinet Members across Gwent and the Chief Education Officers

Social Services (CSSIW Regulatory Reports)

Service Area	Report / Review and date	Reported to	Comments / follow up
Social Services	CSSIW Annual Performance Evaluation Report 2013/14 http://www.newport.gov.uk/stellent/groups/public/documents/report/cont732574.pdf	Cabinet 9th February 2015 LCL Scrutiny 18th February 2015	A CSSIW evaluation of the Annual Report of the Director of Social Services. CSSIW highlight areas for development and improvement, and five areas for follow up during the next year.
CFS	HMI Probation Inspection Full Joint Inspection of Youth Offending Work in Newport	Local Service Board 3rd March 2015	The report contains 12 recommendations and a plan is in place to implement the changes necessary.
CFS	WAO review of Safeguarding of Children https://democracy.newport.gov.uk/documents/s917/5%20WAO%20Inspection%20Safeuarding%20Final.pdf	LCL Scrutiny 15th April 2015	The review includes six proposals for Improvement the will be monitored on a quarterly basis alongside the other open proposals for improvement that the authority has received.
CFS	CSSIW National Inspection Safeguarding and Care Planning of looked after children and care leavers, who	LCL Scrutiny 15th April 2015	Findings from the individual local authority inspections will inform a CSSIW national overview

Service Area	Report / Review and date	Reported to	Comments / follow up
	exhibit vulnerable or risky behaviours https://democracy.newport.gov.uk/documents/s919/7%20CSSIW%20Inspection%20Final.pdf		report to be published later this year.
Adults	CSSIW Inspection of Adult Social Services https://democracy.newport.gov.uk/documents/s2082/CSSIW%20Inspection%20Report%20-%20Adult%20Social%20Services.pdf	CPD Scrutiny 22nd July 2015	The inspection outlined 9 Recommendations. An action plan has been developed to address these.
CFS	CSSIW Inspection report Newport City Council Fostering Service https://democracy.newport.gov.uk/documents/s2592/5%20Fostering%20Cover.pdf	LCL Scrutiny 16th September 2015	Following the inspection both recommendations have been fulfilled.
Social Services	CSSIW Performance Evaluation Report 14/15 https://democracy.newport.gov.uk/documents/s3584/1.%20CSSIW%20Cover%20report.pdf	2nd Dec 2015 Joint Scrutiny CPD & LCL	A CSSIW evaluation of the Annual Report of the Director of Social Services. CSSIW highlight areas for development and improvement. A progress update was reported to the committee and is included as appendix 2 of the report
Adults	**Upcoming: Gwent Frailty Review**	**CPD scrutiny – 13th April 2016**	

Other Service Areas and Corporate Reports (WAO Regulatory Reports)

Service Area	Report / Review and date	Reported to	Comments / follow up
CIS	WAO Information Governance https://democracy.newport.gov.uk/documents/s1823/4.4.%20Newport_CC_IT_Follow_Up.pdf	Cabinet 6th July 2015	The Council has made progress in addressing the recommendations on ICT
ALL	WAO Corporate Assessment Review https://democracy.newport.gov.uk/documents/s1820/4.1.%20Corporate%20Assessment%20Cabinet%20report%2025JUN15.pdf	Cabinet 6th July 2015	A follow up of the original Corporate Assessment undertaken in 2013. The Corporate Assessment Review contains seven recommendations. Since the last assessment one recommendation has been closed, four have been updated, one has not been changed and there are two new recommendations. These will be monitored via quarterly reporting to Cabinet. Included with this report is a more detailed Action Plan (Cabinet, November 2015) which outlines progress made and planned towards the Recommendations.

Service Area	Report / Review and date	Reported to	Comments / follow up
ALL	WAO Data Quality Review https://democracy.newport.gov.uk/documents/s1822/4.3.%20Newport_CC_Data_Quality_Review.pdf	Cabinet 6th July 2015	An assessment of the accuracy of the performance data produced by the authority. Three proposals for improvement received.
ALL	Certificate of compliance for improvement plan https://democracy.newport.gov.uk/documents/s1527/06%20certificate%20of%20compliance%2019MAY15.pdf	Cabinet 8th June 2015	The Auditor General had issued the Council with a Certificate of Compliance following an audit of the Improvement Plan 2015-16
ALL	Annual Improvement Report https://democracy.newport.gov.uk/documents/s2791/04%20AIR%20Cover%20report%20revised%20V2%20Sept30.pdf	Cabinet 19th October 2015	An assessment as to whether the authority will meet statutory continuous improvement duties.
ALL	WAO Certificate of Compliance. Annual Review of Performance 14/15 https://democracy.newport.gov.uk/documents/s3799/07%20Certificate%20of%20Compliance.pdf	Cabinet 18th December 2015	A certificate was issued to confirm that the authority has complied with the requirements of the Local Government Measure 2009 with regards to its Assessment of Performance 14/15
ALL	WAO Data Quality Review	Performance Board 29th March 2016	An assessment of the accuracy of the performance data produced by the authority
FIN	**UPCOMING: WAO Financial Resilience**	**Cabinet**	**Expected April 2016**
STS	**UPCOMING: Waste Review**	**Cabinet Member and SRS Scrutiny**	**Scoping work is underway. Outcomes expected by Spring 2016**
ALL	**UPCOMING: WAO Corporate Assessment Follow up Review**	**Cabinet**	**A follow up of the Corporate Assessment Review undertaken in 2015. Report expected summer 2016**

Appendix Two
Update on Wales Audit Office Proposals for Improvement and Recommendations
(Being reported to Cabinet on 14th March 2016)

Ref	Proposal	Progress update to the end of December 2015	Actions planned next quarter	Expected close down date	Responsible Officer
29	Ensure that its Economic Development Strategy and Master Plan clearly relate to the relevant objectives in the Community Strategy and Improvement Objectives and to each other, to help the Council assess their contribution to its improvement programme and to achieving the Council's strategic priorities.	The draft Economic Growth Strategy was endorsed by Cabinet on October 19th. It was considered and adopted by full Council on November 24th. The plan sets out a range of key objectives, within the context of three strategic themes, relevant to the Council's Corporate Plan and Single Integrated Plan. The document is accompanied by an action plan, which identifies outcomes, outputs and measures of success to support effective monitoring. It also includes timescales and high-level resource requirements to enable improved project management and risk mitigation.	An action plan will be implemented with immediate effect and monitored by the Council's Regeneration service, through existing partnership and project meetings. This work will be reported to and monitored by the Council's Regeneration and Streetscene Committee on a bi-annual basis. All operational regeneration projects to fall under Vibrant and Viable Places Programme Board for monitoring of performance, targets and outcomes.	By close of 2015/16	Head of Regeneration, Investment and Housing Services
30	Prioritise its actions and, against those actions, consistently include more details regarding outcomes, targets, deadlines, resources, milestones, risk factors and mitigating actions, which can be used to monitor progress, measure success and establish improvement.				
31	Strengthen the setting of outcomes and targets for regeneration schemes and projects, and ensure sufficient performance information is available to maintain monitoring and evaluation.				
32	Include more details on time, budget and resources in regeneration documents such as project initiation documents to enable assessment of value and cost effectiveness.				

Proposals for Improvement from the Corporate Assessment 2013 and Corporate Assessment Review April 2015 (includes those from Data Quality, Transformation and ICT Reviews)

Ref	Proposal	Progress update to the end of December 2015	Actions planned next quarter	Expected close down date	Responsible Officer
40	The Council should: • develop and implement an appropriate engagement and communication strategy that both communicates the new mission and organisational framework, and also supports cultural changes within the organisation; • ensure that it has in place the people and resources capable of implementing the organisational framework and delivering subsequent service changes; and • engage the Fairness Commission when developing improvement priorities as well as budget proposals.	During this quarter the council carried out its staff survey. It does this every two years in order to get valuable insight on how staff feel about working for the council. Overall the engagement rate was high with broadly positive feedback and some significant improvements since the last survey. We continued with daily messaging through the staff intranet. This carried multiple messages ranging from the chief executive's message, updates on key council-wide projects and department specific projects as well as a daily news summary. A regular ebulletin was also sent to staff which included a mix of corporate messages, staff updates and wider city news. Social media was effectively used including Facebook and Twitter. These channels continue to increase in popularity, allowing the council to inform many residents instantly of key council information.	The council will create both internal and external communications regarding the results of the staff survey. This will include a message to all staff from the Chief Executive. The council will maintain its increased momentum of staff communications, and will work closely with all service areas to make sure key initiatives and changes are communicated in a timely manner to those both directly affected and a wider council audience when appropriate. The communications from the council for this quarter will focus on the outcome of the budget setting process. This will include a clear narrative explaining why the council has to make savings and the options that are	Ongoing	Head of Law and Regulation

Ref	Proposal	Progress update to the end of December 2015	Actions planned next quarter	Expected close down date	Responsible Officer
		Core council business, such as cabinet meetings, are always supported with external press releases that are distributed through a variety of news channels. Meetings of full council can still be watched online via a live streaming service accessible from the council's website. A weekly information email bulletin was sent to a growing subscriber database to keep them informed of the latest council activities and news.	recommended for approval by full council.		
42	Develop a clearer understanding of the collaborative projects taking place across the Council and an agreed and widely communicated approach to the management of collaboration. The approach should help the Council to ensure that collaborations are providing value for money outcomes for Newport's citizens.	Details of collaborations and partnerships are included in the service planning and review process, and through the annual governance statement. A clearer understanding of the council's collaborative activity is now available. Service plans and reviews contain collaborative information and were considered by Scrutiny in Autumn	Service plans and reviews contain collaborative information and are reviewed at mid-year and year end by scrutiny	Ongoing	Head of People and Business Change
45	Strengthen the LSB's performance management framework to set out: • clearer and more detailed roles and responsibilities on what will be delivered by which organisations;	The mechanism for dealing with underperformance is firstly the SIP Board within their responsibilities to manage the delivery of the SIP and if this fails it is escalated to the LSB. One Newport Local Service Board produced	The third quarter performance will be presented to SIP Board on 26th February 2016 and the LSB on the 15th March. Scrutiny Committee is also considering the current	This will be on going as part of a culture of continuo us	Head of People and Business Change

Ref	Proposal	Progress update to the end of December 2015	Actions planned next quarter	Expected close down date	Responsible Officer
	• what performance information will be collected, where and when it will be monitored, and how progress and performance will be monitored; • mechanisms for dealing with underperformance; and • a stronger focus on performance and resource management across the LSB.	the first Annual Report detailing work undertaken during 2013/14 and this was presented to Scrutiny in June 2014. The Performance Management Framework was reviewed and revised after year 1 in April 2014. LSB meeting schedule were also changed so that there is better alignment for performance monitoring arrangements. Three communication and engagement events took place in March 2015 to assess progress of the SIP and agree SIP priorities for the coming year. The Performance Management Framework has been reviewed and updated for 2015-16. The main changes to the framework are: • Updated clearer roles and responsibilities; • The removal of the Performance Group from the structure to reduce duplication; • An increase in the frequency of performance reporting to quarterly and a simplification of the SIP Board performance process to focus on the core theme dashboards. This will enable the SIP Board to address underperformance, reduce risk and remove blockages; • The introduction of a process to critically analyse the core themes to ensure that	performance of the LSB during February and March 2016.	improvement.	

Ref	Proposal	Progress update to the end of December 2015	Actions planned next quarter	Expected close down date	Responsible Officer
		the overarching themes of Tackling Poverty and Vulnerable Groups are focused on. • A streamlining of the Priority Delivery Plan for use by the Working Groups and Theme Boards; The Annual Report for 2015/16 has been presented to the LSB on 19th May 2015. The first quarter performance was reported to the SIP Board on 26th August 2015 and the LSB on 15th September 2015. The second quarter performance was reported to the SIP Board on 25th November 2015 and the LSB on 15th December 2015.			
46	No further action required.				
49	**New focus on service improvement and value for money** P3 Instil a new focus on service improvement and value for money by: ☐clarifying the extent of improvement the Council wants to make through the programme and supporting this with appropriate measures and targets to monitor progress, particularly focusing on service quality, performance, customer experience and the difference	Performance team now merged into the Council's Business Improvement function. Alignment of the Change Programme, Budget and Performance reporting to relevant boards, Improvement measure and target developed for the Change programme and incorporated into the Council's performance management framework and reporting mechanisms. Change Programme reporting dashboard incorporating performance, savings and budgetary Information reported monthly to	Identify appropriate Benchmark comparators and incorporate within the Change Programme reporting process.	Ongoing	Head of People and Business Change

Ref	Proposal	Progress update to the end of December 2015	Actions planned next quarter	Expected close down date	Responsible Officer
	the Council wants to make to the lives of local citizens; ☐jointly reporting savings and performance information to help evaluate the impact of the programme on service performance and assess whether value for money is improving; ☐continuously challenging performance through benchmarking with other councils and service suppliers and integrating this with programme monitoring and reporting; ☐developing more consistent mechanisms to obtain feedback from users and using this to take corrective action and inform future changes to service delivery; and ☐continuing to develop a performance culture in which service managers are accountable for service performance and efficiency.	the Change Programme Board and the Cabinet Member. High level portfolio and all council dashboards bring together finance, performance and change information along with people related information and risk management Social media "Yammer" being utilised internally to gain feedback from users across the Council. Development of performance culture – Embed review of performance into the service area management meetings-. Social Services, Streetscene, Regeneration and Regulatory Services, CLL and Education. Through project governance processes service users are consulted on proposed changes to service delivery and feedback is used to inform the direction of future activity. Increased alignment of the change programme with the Council's performance framework. Staff involved in budget consultation process and underlying change programme proposals			

Ref	Proposal	Progress update to the end of December 2015	Actions planned next quarter	Expected close down date	Responsible Officer
		Heads of Service and Service Manager are the key for the development and delivery of the efficiency initiatives which underpin the forward MTRP. Heads of Service and Service Managers are responsible for the development of Service planning, monitoring and target setting. Development of new targets as part of the service planning process, to be at least in line with the Wales Average, above the quartile four level and improving on the previous year. Development of specific PI targets to be incorporated into initiatives eg. specification for Newport Norse, Newport Live.			

Ref	Proposal	Progress update to the end of December 2015	Actions planned next quarter	Expected close down date	Responsible Officer
50	**Learning and evaluation** P4 Strengthen the arrangements to capture and share learning by: □more consistent evaluation of reviews at key stages and on completion; □strengthening mechanisms to capture, share and apply learning on a corporate basis; and □establishing mechanisms to systematically obtain post-implementation feedback from staff and managers, for example to assess the impact on staff capacity, identify training and IT needs and learn from their experience.	Gateway review process and post implementation reviews defined as part of the Newport Programme and Project Management methodology. Lessons Learned log completed and circulated to key stakeholders for the Budget setting process and development of the Change programme for the 14/15 financial period Lessons Learned log completed for the Norse Property Joint Venture, Street cleansing and Refuse. Lessons learned report completed for the 2015/16 budget setting process and disseminated among Senior management. Lessons learned report completed for the initial stages of the New Ways of Working Change programme.	Continue to roll out the Gateway Review process and post implementation review process across all initiatives within the Change Programme. Ensure adherence to the gateway review process and post implementation review process by embedding within the governance process for the Change programme. Review options for disseminating and apply learning on a corporate basis	Ongoing	Head of People and Business Change
54 (old DQR)	No further action required				
58	Test the information technology business continuity plan to ensure it operates as anticipated. In particular the Council should test a scenario where both server rooms at the Civic	Planned simulation exercise took place in Dec 15 and examined the potential outcomes if the Civic Centre machine rooms were lost. The exercise concentrated on the highest priority systems, and we have an action	Working with SRS resources to report and implement on actions identified for improvement within budget constraints. Continue to consider the	Apr 16	Head of People and Business Change

Ref	Proposal	Progress update to the end of December 2015	Actions planned next quarter	Expected close down date	Responsible Officer
	Centre are not available to determine how long it will take to set up an offsite server room and what effect this has on its timetable for restoring its critical systems.	plan to make improvements in the short, medium and long term periods. Shared Resource Service (SRS) management resource engaged to increase IT capacity focussed on disaster recovery improvements	effect of a disaster on other systems and review priorities.		
59 (NEW)	No further action required				
60	Strengthen the Local Service Board's Communications Plan and One Newport Engagement and Participation Strategy by introducing a delivery plan that includes: • an explicit statement on intended outcomes and impact; • a timeframe for delivery with an assessment of progress; • and robust performance measures.	The updated Communications Plan was discussed at the SIP Board in August 2015 and then signed off by the LSB in September 2015. The Communication action plan has been reviewed and monitored by the SIP Board on a quarterly basis and is on target to be implemented within the agreed timescales. The Consultation and Engagement Group has developed a delivery plan for the Engagement and Participation Strategy. This was reviewed by the SIP Board in September 2015 and further work was requested. The SIP Board agreed the updated version n 25th November 2015.	The Communication Plan will be reviewed again by the SIP Board on 23rd March 2016. Engagement Group will be planning engagement activities to support the Wellbeing Assessment. This will be discussed with Scrutiny Improvement Group March 2nd. Progress against the Engagement Action Plan will be reported to the SIP Board March 23rd March 2016.	March 2016	Head of People and Business Change

Ref	Proposal	Progress update to the end of December 2015	Actions planned next quarter	Expected close down date	Responsible Officer
61 (NEW)	The Council must ensure that it has robust data collection arrangements for its own self-defined performance indicators that include ensuring that: • (P1.1) the Council's corporate arrangements for performance management are being rigorously implemented by service departments; • (P1.2) the Council's own internal information systems (VIEWS) reconcile with the final validated data; and • (P1.3) a complete audit trail of the Council's own internal processes for validating performance indicator data is retained.	All local definitions are in place and published. A list of compilers and reviewers is completed and has been published to the intranet. The council will continue to monitor performance management arrangements to ensure they are rigorously implemented; An audit of Views users has been completed. Ensure that data owners understand, take ownership and maintain audit trails of their performance data Self-assessment documentation has been revised and rolled out to the OPN (Operational Performance Network). Training has been provided where a need has been identified. (P1.1 – general – see above) (P1.2) Views data reconciles with final validated data (P1.3) There is a complete audit trail of all data undertaken; and documentary evidence of data reconciliation is available. (i.e. CCAS/L/014)	Self-assessment process is underway with local measures due by the end of February 2016 Audit of Views users finalised. Winter meeting of the Operational Performance Network (OPN) to discuss data quality issues, data monitoring and keeping audit trails and self-assessment. We will continue to strive to eliminate inconsistencies between data held in service systems and Views and that correct protocols for amending figures in Views are applied. Working towards introducing new software to replace the current system. Training and overview sessions to be provided to relevant staff.	March 2016	Head of People and Business Change

Updated Action Plans in Response to Corporate Assessment Recommendations

Action plan to address WAO Recommendations

Recommendation 1
The Council should ensure that members are routinely and transparently considering robust information at the earliest opportunity to enable them to inform, take and challenge choices and decisions effectively, and ensure that decisions are recorded and reported transparently.

Responsible Officers: Head of Finance, Head of People and Business Change
Responsible Cabinet Member: Leader of the Council, Cabinet Member for People and Business Change

Additional actions as identified on 8th October by Cabinet and SLT:
- Heads of Service will be reminded to use the briefing template previously issued to ensure there is consistency and the appropriate information (such as sickness data) is routinely provided
- The decision making tracker will record and ensure the right trigger mechanisms are in place for properly governed decision making

CA Recommendation	Actions	Timescales	Evidence
the consideration of Options appraisals The implications of the options, recommendations and decisions	To set up a process to ensure that the template for all reports is amended to ensure that all reports to the Council meeting; the Cabinet and Cabinet Members that are seeking a decision, include reference to all options considered ; options appraisals and implications of options, as well as the preferred option. The SLT will view all Decision making reports and will conclude on whether the options appraisals are of sufficient quality and the case for the preferred option is well made. This will take place alongside improvements on the identification of risk in any decision- making reports. The section on risk in the report will consider the risk of taking the proposed decision as well as any risks that could impact on the proposals The SLT will view all Decision making reports and will conclude on whether the risk appraisals are of sufficient quality.	March 2016	The template is prepared in draft form for consideration by the Senior management team and Deputy Leader in March 2016
Fully costed business cases prior to initiating major programmes to support change. The financial impact of any significant	Complete	February 2016 (timescales in line with	Revised business case template The Business Case template

CA Recommendation	Actions	Timescales	Evidence
proposed service changes should be reflected in medium-term financial plans directly where the change is certain to proceed or as a sensitivity if the change is not certain		the budget setting process)	used in compiling the Medium Term Financial Plan has been revised and now includes options appraisals and all business cases are fully costed, including the identification of implementation costs, prior to the implementation of projects. All proposed service changes are reflected in the Medium Term revenue plan.

Italics = completed

Recommendation 2
The Council should address with more urgency the weaknesses in its governance arrangements that underpin its decision making to support improvement.
Responsible Officers: Head of Law & Regulation
Responsible Cabinet Member: Leader of the Council

Additional actions as identified on 8th October by Cabinet and SLT:
- The attendance rota for Cabinet Member attendance will be set out well in advance to allow for availability to be organised and an appropriate briefing to be provided by the Head of Service
- All Heads of Service and lead officers will be reminded of the need to attend scrutiny and help with ensuring that the right things are on the agenda. Thereby ensuring scrutiny are focusing on the big strategic plans and financial challenge options
- A review of the constitution is already underway and will be overseen by the Democratic Services Committee. This will set out roles and responsibilities and give clarity around these matters
- Regular meetings between the Cabinet Members and the senior officer team will continue to be diarised and notes of these meetings taken for future reference

CA Recommendation	Actions	Timescales	Evidence
strengthening committee work programming arrangements to ensure they are timely, meaningful, informative, transparent, balanced, monitored, and joined up	Undertake the annual review of the Committees' work programmes and assist members in ensuring that scrutiny work is focused on key risks and priorities, and can make a positive impact on service improvement and policy development (Scrutiny AR Action 1)	*Initial work by end October 2015* March 2016 to introduce composite WP	Work programmes are presented to cabinet and Scrutiny Committees at each meeting. There is evidence of this in all agenda / minutes of each meeting of the Cabinet and Scrutiny Committees
	Develop the links between Scrutiny and Auditors / Inspectors / Regulators, in particular to support work programming and training (Scrutiny AR Action 4)	Ongoing throughout the year	A composite version of the work programme will be ready and available to view by end of March 2016
	Update Scrutiny Team procedures and processes to ensure a consistent and thorough approach (Scrutiny AR Action 10)	Ongoing throughout the year	The Scrutiny Team met informally with CSSIW in

CA Recommendation	Actions	Timescales	Evidence
			July 2015 and more recently with Estyn in January 2016 to discuss what processes could be improved to ensure a more consistent approach. New working practices are being introduced into the Scrutiny Committees such as pre-meetings
reviewing and updating the Council's constitution ensuring that roles, responsibilities and accountabilities are clear, and that all members understand and apply their respective roles in relation to each other without compromising independence	Clarify Scrutiny's role within the overall Governance arrangements of the Council, including the links between the scrutiny function and Performance Board. (Scrutiny AR Action 7)	By end April 2016	The Democratic Services Committee has considered two reports to date and has agreed a proposal for consideration by Council. This is currently being considered by the political groups and the Chairs of the Scrutiny Committees prior to final consideration by Council later in 2016
empowering members to be more proactive and accountable for their roles and responsibilities	Complete the Gwent Scrutiny Challenge project and use the resulting toolkit to critically evaluate the performance of the Overview and Scrutiny function in Newport (Scrutiny AR Action 3)	Ongoing throughout the year	Agreement of toolkit; Training and evaluation activities undertaken as a result
strengthening decision-making arrangements to ensure transparency and appropriate safeguards are in place			
strengthening scrutiny arrangements to more effectively inform and challenge policies, options, decisions and actions, and hold Cabinet	Work with the Scrutiny Improvement Group to consider new ways of working and examine the range of methods available in carrying out scrutiny work, including the use of technology to support alternative ways of working and information sharing between Members (Scrutiny AR Action 2)	Ongoing throughout the year	Reports and Minutes of SIG New processes and practices agreed

CA Recommendation	Actions	Timescales	Evidence
members, officers, partners and others to account more robustly to drive an increased pace of progress and improvement	Develop a public engagement strategy for scrutiny, to improve public access to the scrutiny process, ensuring that processes are consistent and duplication is avoided with other processes within the Council (Scrutiny AR Action 5)	*By end October 2015*	Completed strategy (approved June 15) Agreed action plan and monitoring reports
	Continue regular meetings between Scrutiny and the Executive to develop protocols for interaction between Scrutiny and the Executive and to discuss opportunities to widen the scope for monitoring the outcomes of decisions where considered necessary (Scrutiny AR Action 6)	Ongoing throughout the year	Reports and Minutes of meetings Agreed protocols
	Enhance links with colleagues within the Council and beyond and to look at a range of methods to promote and support the scrutiny function (Scrutiny AR Action 9)	Ongoing throughout the year	In the process of arranging training with neighbouring colleagues
strengthening and mandating member and officer development and learning programmes based on competency assessments to improve skills and understanding to enable them to undertake their roles more effectively	To discuss Members requirements for training with the Scrutiny Improvement Group and to complete the review of training and development for Scrutiny Members and Officers, and ensure any gaps in training identified are addressed (Scrutiny AR Action 8)	By end May 2016	SIG reports and minutes Scrutiny seminar and training programme
addressing information security and business continuity arrangements	WAO detailed report on Information Governance received by Scrutiny and Cabinet Member.

Information Governance Group continues to meet quarterly. Terms of reference on the Council's intranet.   The review had also recommended that the chair of the group was not the SIRO (senior information risk owner) and the chair has now been changed to Strategic Director (Place). | | Scrutiny and Cabinet Member reports.

Annual information risk report and action plan, service plan. |

CA Recommendation	Actions	Timescales	Evidence
	The third annual information risk report outlines the Councils plans to address risk issues for the year, and reviews the performance of the previous year. Formal report to Scrutiny and Cabinet Member refers. **Next steps** Review the role of senior information risk owner (SIRO) following the senior management restructure. Continue with other activities as outlined in the annual information risk report. Business continuity - priority systems determined and agreed by strategic leadership team. Planning for test of disaster recovery arrangements in support of business continuity planning underway. The Council is also working with the Shared Resource Service (Blaenavon) to support disaster recovery due to capacity and staff retention issues within IT.	immediate ongoing	System priority list, discussions at business continuity group.

Italics = completed

Recommendation 3
The Council needs to ensure that its arrangements for strategic financial planning and management continue to develop to meet the significant challenges that are being faced.

Responsible Officer: Head of Finance
Responsible Cabinet Member: Leader of the Council

CA Recommendation	Actions	Timescales	Evidence
robust savings plans are developed in more detail to meet the projected budget shortfall for 2015-16 and to support the delivery of a meaningful medium term financial plan	- All saving proposals have appropriate and detailed individual business cases to support them, which includes risks and impacts and cost to deliver	In place	Business Cases
	- Peer Review sessions on all business Cases and all business cases completed with help/guidance/preliminary challenge from BIP/Finance business partners – September each year.	In place	Evidence of meetings
	- Further review by Cabinet members individually and with Cabinet colleagues	In place	Evidence of meetings
	- 4year MTFP in place which identifies key budget pressure items, including demography issues and RSG predictions over the period.	In place	MTFP reported to Cabinet
	- To 2016/17, strategic framework of 'Prospectus for Change' guides service plans and associated budget proposals. Currently finalising a new vision document of 'Newport 2020' to supersede this. Provides an overview of strategic direction of services over the period.	'Newport 2020' agreed by Cabinet – Feb 16	Cabinet report
	- Longer term budget proposals linked to service vision and action plan delivers a balanced medium term MTFP	Balanced MTFP reported to Cabinet Feb each year	Cabinet report
sufficient challenge is applied to ensure that savings/investment plans are delivered and any budget overspends are highlighted and addressed by early intervention	- People/Place boards consider delivery of saving proposals and financial position in detail and agree appropriate actions	In place	Meeting papers/reports
	- Council Change/Efficiency Board considers overall position on delivery of saving proposals and overall financial position of Council and provides appropriate challenge to understand action being taken.	In place	Meeting/Reports
	- Delivery of savings reported to SLT/Cabinet and service area action to deal with overspending	In place	Reports

	- Scrutiny reviews of financial position and performance in each Autumn - SLT review of financial/performance 'hotspots' each Autumn	June 2016 as part of joined up service planning and financial reviews In place – due Autumn 2015	Reports Evidence of meeting
financial plans provide clear links to improvement objectives and service plans	- MTFP reports to include explicit sections on risk and performance and how they link to budget proposals - Individual 'Improvement Plans' and agreement by Cabinet to provide an analysis of resources required to deliver and confirmation that these are in place - Review Service Plans format to consider current level of financial detail in there. Areas to consider include – (i) savings to be delivered (ii) identifying resources required to deliver on PI's / Improvement objectives	In place 2016/17 service plans	Cabinet papers on MTFP – including 'scene setting ' , 'December and Feb Cabinets' Cabinet Report Service plans
sufficient finance staff (both centrally and within individual departments) with appropriate skills and experience are in post to support the development and delivery of future plans	- Appointment of experienced Assistant Head of Finance / S151 - Appointment to current gaps in new accountancy structure - Develop new accountancy structure by clarifying roles and responsibilities of new posts and performance standards - Put in place an updated log of staff undertaking professional training and ensure linked to manpower and succession planning as far as the service can.	In place Dec 2015 Completed December 2015 In place	Post-holder identified Posts filled Evidence of meetings to do this. Statement of key roles/responsibilities for each level of hierarchy stemming from those meetings Log

Italics = completed

Recommendation 4
The Council must continue to develop its people management arrangements, to ensure it has the capacity and capabilities necessary to change and improve.

Responsible Officers: Head of People and Business Change
Responsible Cabinet Member: Cabinet Member for People and Business Change

CA Recommendation	Actions	Timescales	Evidence
Continue to develop its draft Workforce Plan and associated action plans by, for each action: allocate responsibility to an officer and set a deadline for completion	- Strategy for delivering workforce plan designed - Actions created and allocated - Cabinet Member and SLT sign off - Workforce plan template agreed by Head of People and Business Change - Monthly meeting of SHRBP and HRBP to assess progress against workforce plan timescales - Workforce canvas undertaken - Creation of a workforce plan review group - Publication of workforce plan	*August 2015* *August 2015* *August 2015* *August 2015* September 2015 onwards January 2016 January 2016 February 2016	Brochure produced Actions printed in brochure Minutes from SLT meeting 24.08.15 Email confirmation Monthly minutes produced Minutes from scrutiny group Documented responses Quarterly meetings Intranet confirmation
In the absence of a formal approach to 360 degree feedback for all staff, address manager inconsistency in carrying out appraisal and ensure all staff receive a constructive and developmental appraisal to support job performance	- Construct a new OD strategy for the organisation with focus on performance management arrangements - Review the data on appraisal submissions to assess current levels of annual appraisal - Review of the quality of appraisal submissions to assess manager inconsistency - Review and prioritise training to managers on performance management appraisal systems and handling cases of poor performance - Review of performance management framework	November 2015 November 2015 December 2015 March 2016 August 2016	Publication of strategy Appraisal data as held by OD Appraisal data as held by OD Training directory lists courses available

CA Recommendation	Actions	Timescales	Evidence
put in place a key performance indicator and a challenging target for sickness absence that adheres to the target setting principles agreed by the Council's Senior Leadership Team on 17 March 2015	• Provisional targets submitted to Performance Board on 23rd June 2015 • Targets reviewed and amendments made following final outcome of sickness data – applying principles established in the report to Performance Board and uploaded to Views • Annual absence review letters to be issued to all staff to set out new Council targets • Monthly meeting of SHRBP and HRBP to assess progress against targets	*June 2015* *July 2015* November 2015 September 2015 and onwards	Performance Board report and minutes of meeting of 23 June 2015 Final absence data available from iTrent Letters issued Monthly minutes produced

Italics = completed

Recommendation 5
To strengthen the arrangements that enable the Council to, scrutinise, its Improvement Objectives.
Responsible Officers: Head of People and Business Change
Responsible Cabinet Member: Leader of the Council

Additional actions as identified on 8th October by Cabinet and SLT:
- WLGA will be invited to talk to group, council and scrutiny chairs. Further training will be provided
- Consider inviting the Data Unit to present to the team on the council's overall performance

CA Recommendation	Actions	Timescales	Evidence
Enable members to effectively challenge and scrutinise service performance: – clarify the respective roles of the performance board and scrutiny;	The Scrutiny Annual Report was endorsed by full Council on 29 September 2015. A key priority for next year will be to develop the relationship with Cabinet further, and work is currently being undertaken on developing a protocol between the Executive and Scrutiny that will help clarify the respective roles of both parties, including responsibilities for monitoring and accounting for performance. Regular meetings continue to be held between Cabinet and Scrutiny Improvement Group - at the most recent, on 6 October, A draft procedure for Cabinet Member involvement with Scrutiny has been drafted and will be discussed at the next meeting on SIG and Cabinet scheduled for 2 February 2016. This procedure includes guidance on what was agreed at the last meeting in terms of when Cabinet Members will be invited to attend Scrutiny and for what purpose.	By the end of the financial year 2015/16	Minutes of Scrutiny Improvement Group – 6th October Scrutiny Improvement Group agenda and minutes – 2 February
ensure that meeting agendas allow for sufficient time for members to focus on (broad) underperformance in both;	We have recently reviewed the Committees' work programmes to focus more on key risks and priorities, with a new information reporting procedure to enable us to routinely provide performance and other relevant information to Members. The intention is to improve Members' background knowledge on service issues and provide a mechanism to pick up on any potential issues as they arise. Last year we also revised the service plan process for scrutiny - the half year reviews took place in November. The Committees received exception reports only highlighting the red and high risk areas of performance within the service area, with the full report being emailed for information. This process was successful in	Completed	Committee work programmes Scrutiny Agenda's and minutes for the November meetings (half year reviews)

CA Recommendation	Actions	Timescales	Evidence
	focusing the time available at the Committee meetings on the areas of underperformance. The Committees are also in the process of introducing pre meetings before the Committee meetings to allow time to be briefed by the Scrutiny Officer on the agenda, to focus attention on the role of the Committee for each item and focus questioning/ lines of enquiry.		
provide training on effective challenge and scrutiny for members	Alongside the new work programmes, we are also putting together a programme of seminars and training events for Members, to develop skills and provide background information to support Members in scrutinising and challenging services more effectively. This currently includes briefings on key policy changes, for example in social services legislation, as well as training from the Fairness Commission on assessing fairness in policy development. We are also providing training on Fairness and Equality Impact Assessments, to improve challenge within the budget setting process.	By the end of the financial year 2015/16	Training Materials for Members Member training calendar
Improve target setting to better reflect the service/performance standards the Council wants to achieve.	Target setting guidance has been in place since February 2015. The guidance sets out three key principles which heads of service must meet when establishing measure targets for the year ahead. The three principles include targets: exceeding previous year performance, not being in quartile 4 and exceeding Welsh Average. All targets are reviewed by SLT and if they do not meet these criteria, the relevant head of service must provide satisfactory reasoning behind retaining the target.	Completed	SLT minutes and reports Target setting guidance document

Italics = completed

Recommendation 6
We recommend that the Council improves the collective leadership by both Members and officers of the delivery of its response to the Auditor General's 2013 Corporate Assessment by agreeing clear accountability and monitoring arrangements for the implementation of recommendations and proposals for improvement.

Additional actions as identified on 8th October by Cabinet and SLT:
- Cabinet Members and Heads of Service would attend scrutiny twice a year. They will jointly present the looking back/looking forward service plan and the 6 monthly review. This will include the full range of performance measures, to include financial performance, national and local performance indicators and priorities outlined in the service plan. Officers will design an appropriate template to capture all of the key data and allow for consistent reporting
- Consider opportunities in the future to present as a collective leadership group to staff groups

Completed Actions:
- Cabinet Members and Heads of Service have had a series of informal cabinet meetings to discuss the budget
- The meeting with the WAO on the 20th October was a joint presentation. It will also include the action plans sitting below the statutory recommendations which was presented by the relevant Cabinet Member/Lead Officer

Recommendation 7
The Council must ensure that all National Strategic Indicator data is collected and published in accordance with the Welsh Government definitions; particularly NSI. EDU/015a - Final Special Educational Needs statements issued in 26 weeks.

- The 2015/16 Data Quality Review has been completed by the Wales Audit Office, the report was received in January and confirms that this recommendation has been addressed.