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## AGENDA

**Committee** POLICY REVIEW AND PERFORMANCE SCRUTINY COMMITTEE

**Date and Time of Meeting** TUESDAY, 8 SEPTEMBER 2015, 4.30 PM

**Venue** COMMITTEE ROOM 4 - COUNTY HALL

**Membership** Councillor Howells (Chair)  
Councillors Goodway, Hunt, McKerlich, White, Murphy and Thomas  
(2 vacancies)

*Time  
approx.*

**1 Apologies for Absence**

To receive apologies for absence.

**2 Declarations of Interest**

To be made at the start of the agenda item in question, in accordance with the Members' Code of Conduct.

**3 Minutes (Pages 1 - 6)**

To approve as a correct record the minutes of the meeting held on 7 July 2015.

**4 Wales Audit Office Improvement Report 2014/15 (Pages 7 - 56) 4.30 pm**

(a) Non Jenkins, Local Government Manager (South East) and Chris Pugh, Performance Audit Lead, Wales Audit Office will be in attendance and will present the WAO Improvement Report 2014/15;

(b) Councillor Hinchey, Cabinet Member, Corporate Services & Performance, Paul Orders, Chief Executive and Christine Salter, Corporate Director Resources will be in attendance;

(c) Questions by Members of the Committee.

- 5      **Statutory Annual Improvement Report 2014/15** (*Pages 57 - 128*)      5.15 pm
- (a)    Councillor Hinchey, Cabinet Member, Corporate Services & Performance has been invited to attend and may wish to make a statement;
- (b)    Paul Orders, Chief Executive, will deliver a presentation to Committee;
- (c)    Questions by Members of the Committee.
- 6      **Quarter 1 Performance 2015/16** (*Pages 129 - 186*)      6.00 pm
- (a)    Councillor Hinchey, Cabinet Member, Corporate Services & Performance, has been invited to attend and may wish to make a statement;
- (b)    Paul Orders, Chief Executive and Christine Salter, Corporate Director Resources will be in attendance for this item;
- (c)    Questions by Members of the Committee.

## **COMMITTEE BUSINESS**

- 7      **Improving Scrutiny** (*Pages 187 - 214*)      6.45 pm
- (a)    Paul Keeping, Operational Manager, Scrutiny, will be in attendance;
- (b)    Questions by Members of the Committee.
- 8      **Work Programme for 2015/16** (*Pages 215 - 228*)      6.55 pm
- 9      **Correspondence Update** (*Pages 229 - 272*)      7.05 pm
- 10     **Way Forward**      7.10 pm
- Wales Audit Office Improvement Report 2014/15
  - Statutory Annual Improvement Report 2014/15
  - Quarter 1 Performance 2015/16

11     **Date of next meeting**

6 October 2015

**Marie Rosenthal**

**Director Governance and Legal Services**

Date: Wednesday, 2 September 2015

Contact: Kate Rees, 029 2087 2427, [krees@cardiff.gov.uk](mailto:krees@cardiff.gov.uk)

## POLICY REVIEW AND PERFORMANCE SCRUTINY COMMITTEE

7 JULY 2015

Present: County Councillor Howells(Chairperson)  
County Councillors Cowan, Hunt, Murphy and Thomas

19 : APOLOGIES FOR ABSENCE

None

20 : DECLARATIONS OF INTEREST

The Chairperson advised Members that they had a responsibility under Article 16 of the Members 'Code of Conduct' to declare any interests and complete Personal Interest Forms, at the commencement of the agenda item in question.

21 : MINUTES - TO FOLLOW

The Minutes of the meetings held on 14 May 2015 and 2 June 2015 were approved as a correct record.

22 : ORGANISATIONAL DEVELOPMENT PROGRAMME - REPORT TO FOLLOW

The Chairperson welcomed Councillor Graham Hinchey, Cabinet Member for Corporate Services and Performance, Paul Orders, Chief Executive, Christine Salter, Corporate Director, Resources, Sarah McGill, Director of Communities, Housing & Customer Services, Tony Young, Director of Social Services and Martin Hamilton, Chief Officer, Change & Improvement.

The Chairperson advised Members that they had an opportunity to consider in more detail progress and an overview of the new approach planned for delivery of the Organisational Development Programme (ODP). The Committee had requested that this item return to committee following scrutiny in March 2015. It gave the Committee an opportunity to assure themselves of the Council's progress in addressing the findings of the Wales Audit Office (WAO) Corporate Assessment of the Council. The new approach would be considered by Cabinet on 16 July 2015 and would consolidate the future direction of the ODP, under the 'Make the Difference' brand in a move toward a new Target Operating Model for the Council in advance of the WAO Follow – On visit in October 2015.

The Chairperson invited Councillor Hinchey to make a statement.

Councillor Hinchey explained the Council's Organisational Development Programme brought together the key change projects that would help deliver more efficient council services and improved performance outcomes. The programme reflected the crucial requirement for the Council to continue to move rapidly to a new model of service delivery that enabled the effective management of current and future demand with vastly reduced resources. The programme sought to address issues raised by the WAO identified in its assessment and this would be inspected further by a second WAO review scheduled for October 2015.

Performance systems have now been strengthened with improvements to key services now apparent. Key technology projects were moving forward with CRM being rolled out in September 2015.

The Chief Executive assured the Committee that the Organisational Development Programme was addressing the fundamental shortcomings identified by the WAO. The financial challenges remained but were being addressed, with alternative delivery models being considered in light of the severe financial pressures the Council faced.

The Committee was provided with a presentation on 9 Organisational Development Projects.

The Chairperson thanked officers for their presentation and invited Members of the Committee to ask questions.

The Committee queried the implications for staff arising from decreases in organisational structures and support. Customer demands were also highlighted and the Committee asked if a clear understanding of these pressures had been addressed.

Councillor Hinchey drew attention to the Employee Survey, with response levels having more than doubled this year. Implementation of new technology was also seen as an essential tool to support the workforce involving more effective ways of working.

The introduction of key technology projects would support a smaller workforce with less money being spent delivering improved services. The Council's base budget was decreasing and alternative ways of working were now seen as essential. Mobile technology tools in social services were vital for delivery in the current financial climate, along with partnership and joint working practices. The Council would have less money but service delivery would remain the same.

The Committee was advised that discussions with staff on financial challenges were ongoing. Positive staffing briefings had taken place and feedback suggested that staff understood the implications. Technology roll outs were being established at a faster pace than before and the Council was now in a position to drive forward these technology work streams. Back Office provision was also being developed as part of the programme for change.

Members of the Committee were informed of the mobilisation of social services staff working in communities.

The Committee asked for an update on the current financial position at St David's Hall and the New Theatre. Members were advised that both facilities were part way through a procurement process. Once finalised the formal competitive process would commence.

The Committee noted that the City Centre Hub located at Central Library would be opening at the end of the month. Work was ongoing with branch libraries and a

report would be considered at Economy & Culture Scrutiny Committee on the findings.

The Committee asked about the Employee Survey results.

Councillor Hinchey explained the Employee Survey response rate had doubled in this year and results would be available after the summer recess.. The introduction of the Cardiff Managers Programme was supporting management development. Ambassadors were communicating messages to staff at Employee Road shows and feedback was positive, with Cardiff being recognised as a good place to live and work.

The Committee asked for further information on the support being provided by CRM and how the system could support local issues. In response currently the CRM system didn't map local issues but this intelligence was being developed. Large quantities of data were being analysed and it was envisaged that an application would be made available to support accessibility on mobile phones.

The Committee discussed the involvement of other agencies in Multi Agency Safeguarding Hub (MASH) and the risks that came from referrals. It was recognised that multi agency involvement was essential. This was particularly evident to the Police where inappropriate demands were most significant.

Members were updated on the Property Strategy, involving community buildings and land disposals. All community properties were analysed to see what purpose they served and what their future status could be in their respective communities.

RESOLVED: The Committee AGREED that the Chairperson writes on behalf of the Committee to the Cabinet Member to convey their comments and observations (see attached)

23 : INFRASTRUCTURE BUSINESS MODEL & ALTERNATIVE DELIVERY OPTIONS - TASK & FINISH JOINT REPORT OF THE POLICY REVIEW & PERFORMANCE SCRUTINY COMMITTEE AND THE ENVIRONMENT SCRUTINY COMMITTEE

The Chairperson welcomed the following to the meeting:

Councillor Paul Mitchell (Chair of Task Group)

Task Group Members:

- Councillor Rod McKerlish
- Councillors Garry Hunt and Chairperson Nigel Howells were also Members
- Richard Bowen, Principal Scrutiny Officer, Environment Committee

The Chairperson reminded Members that a joint task group of this and the Environment Scrutiny Committee has, over the past 6-8 months, reviewed the potential operating models that could be used to deliver Council Services, taking evidence from a very wide range of external and internal witnesses.

The Chairperson invited Councillor Mitchell to provide an overarching summary of the scrutiny task group's findings, highlighting the leading recommendations that present the case for change.

Councillor Mitchell explained that since 2012 Cardiff Council had faced a series of cuts to its grants which were set to continue. The cross party task group had been asked to look at alternative delivery models as a way of protecting as many jobs and services as possible – something that the task group hoped employees, trade unions and Members would appreciate and understand.

The task group spent seven months looking in detail at how other council's had implemented a range of models being used to address financial pressures and help maintain services. A range of models were reviewed including:

- Modified In house
- Wholly owned arms length company
- Public/ Public Joint venture
- Public/ Private Joint Venture
- Outsourcing

Several site visits took place, involving trade unions and staff were consulted in the absence of their managers.

Councillor Mitchell explained that it was clear from the visits that all five models were options which could be and had been used to deliver successful alternative delivery models. During the visits and evaluation process it was apparent to the task & finish group that all of the successful options shared six qualities which appeared to be the cornerstone of success in this field. These were:

- Implementation of Systems & Technology
- Multi Skilling & Training
- Income Generation & Commercialisation
- Performance Management
- Managing Cultural Issues
- Financial Control

The Inquiry methodology was outlined. The decision making criteria used by other councils to support the recommendations was robust and a thorough evaluation process had taken place. Performance Management had been analysed along with financial control systems. IT systems were also fundamental to the findings with programmes always in place to support the service. Bespoke IT systems were generally not in use and it was recognised that a fleet management system should be established and in place.

Overall the Members on the Task Group supported the implementation of a Public/ Public Joint Venture for the majority of services within the Infrastructure Business Model.

The Chairperson thanked the Task & Finish Group for their findings and recommendations and invited questions.

The Committee asked for clarification on the following issues:

- Comments in the report directed towards Welsh Government ( WG)
- Duty of care for staff and what support was made available
- Response to high levels of sickness absence in Waste Treatment and Disposal

Councillor Mitchell explained that the comment directed towards the WG was an opinion of the Task & Finish Group. It was recognised that staff delivering the service were being stretched and it had been identified that staff in other authorities who were multi skilled did receive bonuses. Upskilling was remunerated and records of hard work and achievements were rewarded. The exceptionally high sickness levels were a concern and in some authorities staff with little to no sickness were also provided with a reward.

The Committee was advised that Co-operative ventures had been considered, however the establishment of a Teckal provided for further opportunities for the service going forward.

Sickness Absence in the Council overall was a concern with higher numbers in these areas. Back to work interviews were in place to identify and address problems being experienced by staff and this was improving.

RESOLVED: The Committee AGREED to endorse the report for submission to the Cabinet.

#### 24 : ALTERNATIVE DELIVERY MODEL EVALUATION METHODOLOGY

The Chairperson welcomed Councillor Graham Hinchey, Cabinet Member for Corporate Services and Performance and Christine Salter, Corporate Director Resources, Steve Robinson, Operational Manager, Commissioning & Procurement, John Paxton, Strategy and Development Manager.

The Chairperson advised the Committee that this item gave Members the chance to understand and comment upon the Council's agreed methodology for evaluating Alternative Delivery Models, in advance of the Council's Infrastructure Services & Alternative Delivery Models being considered by Cabinet in July 2015.

Councillor Hinchey advised the Committee that various Council directorates were currently looking towards alternative delivery models as a result of the need to meet the financial and service pressures facing the organisation. The process would be transparent and would demonstrate the options available to meet the specific needs of the Council.

The Committee was provided with a presentation which outlined the Evaluation Methodology, terminology and process.

The Chairperson thanked Officers for the information provided and invited Members to ask questions.

The Committee was advised that Local Partnerships had been brought in to support development of the model. As part of its development operational managers had attended a Challenge Session and worked together to form the weighting and model. Local Government Association assistance on the process had been provided.

The Service Review included a SWOT analysis leading to the service planning framework for Phase 2 – Outline Business Case. This Business Case was Treasury Standard and the OBC would consider the delivery model options appraisal toolkit being developed.

The Committee asked why the market had not been tested to identify a model. In response, it was recommended initially that the model remain in an in-house public provision. Competitive dialogue was on-going as part of the 2 year process.

RESOLVED: The Committee AGREED that the Chairperson writes to the Cabinet Member on behalf of the Committee to convey their comments and observations (see attached)

#### 25 : CORRESPONDENCE

The Chairperson advised the Committee the report was for information only. The Committee received a copy of the Correspondence Monitoring Sheet, detailing the Committee's correspondence and analysing responses received since the June meeting.

RESOLVED: The Committee noted the content of the report and appendices.

#### 26 : DATE OF NEXT MEETING

8 September 2015



**CITY AND COUNTY OF CARDIFF  
DINAS A SIR CAERDYDD**

**POLICY REVIEW & PERFORMANCE  
SCRUTINY COMMITTEE**

**8 September 2015**

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**WALES AUDIT OFFICE: ANNUAL IMPROVEMENT REPORT 2014-15**

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**Reason for this Report**

1. To provide an opportunity for the Committee to consider the Wales Audit Office Annual Improvement Report 2014-15, and the Auditor General for Wales' judgement in respect of Cardiff Council.

**Background**

2. Each year, the Auditor General is required to audit the improvement planning and reporting arrangements of all Welsh councils to assess whether each authority will meet statutory continuous improvement duties.
3. In addition, the Auditor General undertakes an in-depth corporate assessment of each authority on a cyclical basis (currently at least once every four years). In the intervening years, in addition to audits of improvement planning and reporting, the Wales Audit Office, on behalf of the Auditor General, will keep track of developments, and focus further assessment work on a number of key themes, developed in discussion with each authority.
4. This Annual Improvement Report summarises the audit work undertaken within Cardiff Council since the last such report was published in September 2014, when it was combined with the Council's Corporate Assessment. That Assessment concluded that *'fragmented leadership and management*

*meant that weak performance in key services areas had not improved*'. This will be revisited during the 'Follow on Corporate Assessment' inspection planned for September and October 2015.

5. This current Annual Improvement Report includes a summary of the key findings from reports issued by 'relevant regulators', namely: the Care and Social Services Inspectorate Wales (CSSIW); Her Majesty's Inspectorate for Education and Training in Wales (Estyn); and the Welsh Language Commissioner. Nonetheless, this report does not represent a comprehensive review of all the Council's arrangements or services. The conclusions in this report are based on the work carried out at the Council by relevant external review bodies and, unless stated otherwise, reflect the situation at the point in time that such work was concluded.

### **Wales Audit Office Findings**

6. The Auditor General sets out in the WAO Annual Improvement Report 2014/15 that he *'believes that it is uncertain whether the Council is likely to comply with the requirements of the Measure during 2015-16'*. Whilst the Auditor General states that this is not a definitive diagnosis of organisational health or a prediction of future success it provides an opinion on the extent to which the arrangements currently in place are reasonably sound insofar as can be ascertained from the work carried out.
7. Attached at **Appendix A** is the Wales Audit Office Annual Improvement Report 2014-15.
8. As the publication of the Auditor General's Report co-incides with the preparations for the Corporate Assessment Follow-on Inspection the Council needs to be clear about the steps that it has taken to make the improvements highlighted in this Report.

9. The Auditor General made four proposals for improvement in his Annual Improvement Report issued as part of the previous Corporate Assessment<sup>i</sup> published in September 2013 :

- Establish clear improvement priorities for 2013-14 by November 2013, identifying explicitly the specific improvement sought during the year to enable more focussed reporting of outcomes;
- Improve performance reporting required by the Measure; and
- Develop performance management arrangements;
- Ensure the implementation of the Organisational Development Plan resolves the range of issues identified in the Corporate Assessment.

10. The Council has undertaken a significant amount of work to make improvements in these key areas, as follows:

- The issue raised in September 2013 in respect of the need to set clear improvement priorities for 2013/14 was resolved in September 2013 when the Council agreed its set of improvement priorities as part of the Statutory Improvement Report.
- The comments regarding a lack of clear and measurable targets within the Council's Improvement Plan (i.e. the Corporate Plan) in order to be able to fully evaluate its performance. This has been improved with the publication of the Council's Corporate Plans, both in February 2014, and further improved in 2015.
- The Council's performance arrangements have developed to ensure that good quality discussion takes place about performance at both operational service delivery and individual staffing levels. This has been supported by the implementation of a robust challenge regime in both the managerial and political environment.

- These performance arrangements have been supplemented by the development of a 'tracker' containing Wales Audit Office reports and recommendations. This 'tracker' will enable the Council not only to consider the output from National and Local Reports and to set out the relevant actions but will also provide the basis for providing assurance to Cabinet, Scrutiny and Audit Committees that the relevant work is being progressed.

## **Way Forward**

11. The Committee is invited to consider the Wales Audit Office Annual Improvement Report 2014/15. In line with its Terms of Reference to scrutinise the Council's Programme for Improvement, Members will consider the determinations of the Wales Audit Office Annual Improvement Report 2014-15, and internally challenge how effectively the Council is preparing for improvement.

## **Legal Implications**

12. The Scrutiny Committee is empowered to enquire, consider, review and recommend but not to make policy decisions. As the recommendations in this report are to consider and review matters there are no direct legal implications. However, legal implications may arise if and when the matters under review are implemented with or without any modifications. Any report with recommendations for decision that goes to Cabinet/Council will set out any legal implications arising from those recommendations. All decisions taken by or on behalf of the Council must (a) be within the legal powers of the Council; (b) comply with any procedural requirement imposed by law; (c) be within the powers of the body or person exercising powers on behalf of the Council; (d) be undertaken in accordance with the procedural requirements imposed by the Council e.g. Scrutiny Procedure Rules; (e) be fully and properly informed; (f) be properly motivated; (g) be taken having regard to the Council's fiduciary duty to its taxpayers; and (h) be reasonable and proper in all the circumstances

## **Financial Implications**

13. The Scrutiny Committee is empowered to enquire, consider, review and recommend but not to make policy decisions. As the recommendations in this report are to consider and review matters there are no direct financial implications at this stage in relation to any of the work programme. However, financial implications may arise if and when the matters under review are implemented with or without any modifications. Any report with recommendations for decision that goes to Cabinet/Council will set out any financial implications arising from those recommendations.

## **RECOMMENDATION**

The Committee is recommended to:

- I. consider the Wales Audit Office Annual Improvement Report 2014-15;
- II. ensure that key issues highlighted during the scrutiny inform the Committee's consideration of its Work Programme for 2015-16 later on the agenda; and
- III. report any concerns and observations to the Leader of the Council.

## **Paul Orders**

Chief Executive

2 September 2015

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The Council's previous Corporate Assessment is report can be found at <sup>i</sup>  
<http://www.audit.wales/publication/cardiff-council-annual-improvement-assessment-letter-2-2012>

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WALES AUDIT OFFICE  
SWYDDFA ARCHWILIO CYMRU

# Annual Improvement Report 2014-15

## The City of Cardiff Council

Issued: August 2015

Document reference: 375A2015



This Annual Improvement Report has been prepared on behalf of the Auditor General for Wales by Non Jenkins and Chris Pugh under the direction of Alan Morris.

**Huw Vaughan Thomas**  
**Auditor General for Wales**  
**Wales Audit Office**  
**24 Cathedral Road**  
**Cardiff**  
**CF11 9LJ**

The Auditor General is independent of government, and is appointed by Her Majesty the Queen. The Auditor General undertakes his work using staff and other resources provided by the Wales Audit Office Board, which is a statutory board established for that purpose and to monitor and advise the Auditor General. The Wales Audit Office is held to account by the National Assembly.

The Auditor General audits local government bodies in Wales, including unitary authorities, police, probation, fire and rescue authorities, national parks and community councils. He also conducts local government value for money studies and assesses compliance with the requirements of the Local Government (Wales) Measure 2009.

Beyond local government, the Auditor General is the external auditor of the Welsh Government and its sponsored and related public bodies, the Assembly Commission and National Health Service bodies in Wales.

The Auditor General and staff of the Wales Audit Office aim to provide public-focused and proportionate reporting on the stewardship of public resources and in the process provide insight and promote improvement.



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# Summary report

## Purpose of this report

- 1 Each year, the Auditor General is required to audit the improvement planning and reporting arrangements of Welsh councils, fire and rescue authorities, and national park authorities, and to assess whether each authority will meet statutory continuous improvement duties<sup>1</sup>. This work has been undertaken on behalf of the Auditor General by staff of the Wales Audit Office. **Appendix 1** provides more information about the Auditor General's powers and duties in local government.
- 2 In addition, the Auditor General undertakes an in-depth corporate assessment at each authority on a cyclical basis (currently at least once every four years). In the intervening years, in addition to audits of improvement planning and reporting, the Wales Audit Office, on behalf of the Auditor General, will keep track of developments and focus further assessment work on a number of key themes, developed in discussion with each authority.
- 3 This Annual Improvement Report summarises the audit work undertaken at the City of Cardiff Council (the Council) since the last such report was published in September 2014, when it was combined with the Council's Corporate Assessment.
- 4 The Corporate Assessment concluded that: **fragmented leadership and management meant that weak performance in key services areas had not improved**. During 2015, we will conduct a follow-on review to assess how the Council has progressed and how it is addressing the issues identified in the Corporate Assessment.
- 5 This current Annual Improvement Report includes a summary of the key findings from reports issued by 'relevant regulators', namely: the Care and Social Services Inspectorate Wales (CSSIW); Her Majesty's Inspectorate for Education and Training in Wales (Estyn); and the Welsh Language Commissioner. Nonetheless, this report does not represent a comprehensive review of all the Council's arrangements or services. The conclusions in this report are based on the work carried out at the Council by relevant external review bodies and, unless stated otherwise, reflect the situation at the point in time that such work was concluded.
- 6 Taking into consideration the work carried out during 2014-15, the Auditor General will state in this report whether he believes that the Council is likely to make arrangements to secure continuous improvement for 2015-16.
- 7 This statement should not be seen as a definitive diagnosis of organisational health or as a prediction of future success. Rather, it should be viewed as providing an opinion on the extent to which the arrangements currently in place are reasonably sound insofar as can be ascertained from the work carried out.
- 8 We want to find out if this report gives you the information you need and whether it is easy to understand. You can let us know your views by e-mailing us at [info@audit.wales](mailto:info@audit.wales) or writing to us at 24 Cathedral Road, Cardiff, CF11 9LJ.

<sup>1</sup> Duties and requirements contained within the Local Government (Wales) Measure 2009 (the Measure).

## 2014-15 performance audit work

- 9 In determining the breadth of work undertaken during the year, we considered the extent of accumulated audit and inspection knowledge as well as other available sources of information including the Council's own mechanisms for review and evaluation. For 2014-15, we undertook improvement assessment work under three themes: use of resources; governance; and performance.
- 10 The work carried out since the last Annual Improvement Report, including that of the 'relevant regulators', is set out below:

Project name	Brief description	Dates [when the work was carried out]
<b>Wales Audit Office Annual 'Improvement Plan' Audit 2014-15</b>	Wales Audit Office Annual 'Improvement Plan' Audit	June 2014
<b>Wales Audit Office Annual 'Improvement Plan' Audit 2015-16</b>	Wales Audit Office Annual 'Improvement Plan' Audit	April 2015
<b>Wales Audit Office Annual 'Assessment of Performance' Audit</b>	Audit of the City of Cardiff Council's assessment of 2013-14 performance	November 2014
<b>Audit of the Council's Accounts</b>	To provide an opinion on whether the financial statements give a true and fair view of the financial position of the Council at 31 March 2014 and its income and expenditure for the year then ended.	July to September 2014
<b>Arrangements to support safeguarding of children</b>	Review of the Council's governance and management arrangements to provide assurance that children are safeguarded and that any concerns can be highlighted effectively and efficiently.	March to May 2014, published in October 2014
<b>Estyn Significant Improvement Visit</b>	Monitoring Visit.	March 2015
<b>Estyn – Monitoring Report – Cardiff and Vale Adult Community Learning (ACL) Partnership</b>	Monitoring Visit.	January 2015

Project name	Brief description	Dates [when the work was carried out]
<b>CSSIW Performance Evaluation Report 2013-14</b>	Annual Review of the Council's Social Services function.	October 2014
<b>CSSIW National Inspection: Safeguarding and Care Planning of looked after children and care leavers, who exhibit vulnerable or risky behaviours</b>	Assessment of the quality of Safeguarding and Care Planning	January to May 2014, published in August 2014
<b>Delivering with Less – Environmental Health</b>	Review of the impact of cuts in resources on environmental services.	January 2015
<b>Data Quality Review</b>	A review of the Council's data quality arrangements.	January to March 2015
<b>Managing the Impact of Welfare Reform Changes on Social Housing Tenants in Wales</b>	Review of arrangements to manage the impact of welfare reform.	December 2013 to March 2014
<b>Conclusions from the Welsh Language Commissioner</b>	Review of the Council's approach to the Welsh language.	September 2014

Based on, and limited to, the work carried out by the Wales Audit Office and relevant regulators to date, the Auditor General believes that it is uncertain whether the Council is likely to comply with the requirements of the Measure during 2015-16. However, we will follow up the Council's progress in addressing the issues we raised in our 2014 Corporate Assessment during the Autumn of 2015

- 11 During 2014-15 a number of reports were issued to the Council from the Auditor General, Estyn, CSSIW, and the Welsh Language Commissioner. A number of areas for improvement were identified during this work.
- 12 Since 2013-14 there have been significant weaknesses in relation to how the Council discharged its duties under the Measure.
- 13 In September 2013, the Auditor General wrote to the Council outlining scope for further improvement in the way the Council sought to discharge its duties under the Measure. The letter stated that the Council needed to urgently set clear improvement priorities for 2013-14 as this had not been done as at September 2013. In addition the letter identified that there was a lack of clear and measureable targets within its Improvement Plan, meaning the Council would be unable to fully evaluate its performance.
- 14 The Auditor General made three proposals for improvement relating to these issues, which were:
  - a establish clear improvement priorities for 2013-14 by November 2013, identifying explicitly the specific improvement sought during the year to enable more focussed reporting of outcomes;
  - b improve performance reporting required by the Measure; and
  - c develop performance management arrangements.
- 15 In September 2014, the Auditor General published his Corporate Assessment of the Council, concluding that fragmented leadership and management meant that weak performance in key service areas had not improved. This was reported as part of our Annual Improvement Report 2013-14 to the Council.
- 16 The Auditor General reached this conclusion because:
  - a political and managerial instability over a number of years meant that the Council had been unable to develop the culture and framework necessary for continuous improvement;
  - b the Council identified what it wanted to achieve for its citizens but lacked an effective means of delivery;

- c some processes intended to ensure good governance had not been implemented, and decision-making processes were inefficient and lacked transparency;
  - d whilst there had been some recent changes, performance management had failed to consistently secure improvement in the past;
  - e although the Council ensured a balanced budget, prospects for achieving proposed savings in 2014-15 were uncertain and the anticipated level of future funding meant current methods of service delivery were unsustainable;
  - f corporate human resource arrangements were founded on positive practice but were not being implemented consistently;
  - g the Council was improving its use of information technology and its information management arrangements;
  - h the Council was not managing its land and property assets well; and
  - i the Council engaged well in collaboration with others and was able to demonstrate improved outcomes for citizens.
- 17 A single proposal for improvement was made as part of the Corporate Assessment report which was that: 'The Council ensures the implementation of its Organisational Development Plan resolves the range of issues identified in the Corporate Assessment'.
- 18 In November 2014, we undertook an audit of the Council's assessment of performance for 2013-14. The Auditor General issued a certificate of compliance with regards to the Council having discharged its duties under the Measure. During the course of this audit we identified a number of areas for improvement and strengths, which were set out in a letter to the Chief Executive ([Appendix 4](#)).
- 19 In April 2015 we undertook an audit of the Council's Improvement Plan for 2015-16, and the Auditor General issued a certificate of compliance with regards to the Council having discharged its duties under the Measure ([Appendix 5](#)). We noted during the audit that the Council had made a step change in improving the quality of its 2015-16 Improvement Plan when compared to the previous year.
- 20 In October 2015, we will be undertaking a follow-on review in respect of the Corporate Assessment undertaken in 2014. The follow-on review will assess progress made since the Corporate Assessment and the Council's arrangements to secure continuous improvement.

## Headlines – a summary of key findings

21 The table below summarises the key findings of reports issued since the last Annual Improvement Report by the Wales Audit Office, the CSSIW, Estyn and the Welsh Language Commissioner.

<b>Audit of accounts</b>	<p>The Appointed Auditor issued an unqualified opinion on the Council's financial statements on 29 September 2014. This means that we believe the financial statements gave a true and fair view of the financial position of the Council and of its expenditure and income for the year ending 31 March 2014. (<a href="#">Appendix 6</a>)</p>
<b>Improvement planning and reporting audits</b>	<p>We issued audit certificates stating that the Council had discharged its duties under the Measure (see <a href="#">Appendices 2, 3 and 5</a>).</p>
<b>Use of resources</b>	<p>Information on the Council's income, expenditure and staffing levels is set out in <a href="#">Appendix 7</a>.</p>
<b>Governance</b>	<p>The Wales Audit Office reported on the Council's arrangements to support safeguarding of children in October 2014:</p> <ul style="list-style-type: none"> <li>• the governance, accountability and management arrangements for overseeing whether the Council met its safeguarding responsibilities to children had some weaknesses, which the Council must address;</li> <li>• the Council's arrangements for monitoring and evaluating its safeguarding responsibilities to children had some weaknesses which the Council was addressing; and</li> <li>• the Council's approach to identifying and acting on improvements in its safeguarding arrangements had some weaknesses which the Council was addressing.</li> </ul> <p>Wales Audit Office – October 2014.</p>

## Performance

Estyn continued to monitor the Council's progress following an inspection in January 2011.

Estyn – March 2015

The Cardiff and Vale of Glamorgan Adult Community Learning Partnerships had made sufficient progress in relation to the recommendations from their separate core inspections. Both Partnerships have since merged to form the Cardiff and Vale Audit Community Learning Partnership which has been removed from any further follow-up activity. The full report is available on [Estyn's website](#).

In 2013-14, social services experienced a challenging and demanding year but there was a clear assessment of future challenges, particularly in the recruitment and retention of staff and improved performance.

[CCSIW October 2014 – Full report](#)

CSSIW undertook a National Inspection of: Safeguarding and care planning for looked after children and care leavers, who exhibit vulnerable or risky behaviour.

[CCSIW August 2014 – Full report](#)

The Council was mostly delivering environmental health services at a good standard or above but due to cuts in resources and negative views on the quality and management of current services, the Council will find it difficult to take on new statutory duties that protect the public and the environment in the future.

Wales Audit Office – December 2014

The Council's central performance team implemented a number of controls to help ensure that correct performance information was published, but a number of weaknesses in underlying systems remained.

Wales Audit Office – May 2015

The Council established good systems to administer Discretionary Housing Payments and managed the impact of welfare reform although some further changes could be made to make the service even more responsive to applicants' needs.

Wales Audit Office – January 2015

The Council positively promoted the use of the Welsh language in the workplace by approving a new Welsh Language Skills Strategy and established a new Welsh Language Cross Party Members Working Group. Welsh Language Commissioner – September 2014. A full report is available at: [www.comisiynyddygybraeg.org](http://www.comisiynyddygybraeg.org)



## Recommendations and Proposals for Improvement

- 22 Given the wide range of services provided by the Council and the challenges it is facing, it would be unusual if we did not find things that can be improved. The Auditor General is able to:
- a make proposals for improvement – if proposals are made to the Council, we would expect it to do something about them and we will follow up what happens;
  - b make formal recommendations for improvement – if a formal recommendation is made, the Council must prepare a response to that recommendation within 30 working days;
  - c conduct a special inspection and publish a report and make recommendations; and
  - d recommend to Ministers of the Welsh Government that they intervene in some way.
- 23 During the course of the year, the Auditor General did not make any formal recommendations. However, proposals for improvement are contained in our other reports but may be referred to later on in this report.
- 24 The Council had one proposal for improvement in relation to its Corporate Assessment reported in September 2014, which was:

### Proposal for improvement

P1 The Council ensures the implementation of its Organisational Development Plan resolves the range of issues identified in the Corporate Assessment.

- 25 We will continue to monitor proposals for improvement during the course of our improvement assessment work. The Council's progress against the proposal for improvement made in the Corporate Assessment will be followed up directly as part of the Corporate Assessment Follow-On which we will be undertaking during 2015-16.
- 26 The Auditor General also makes recommendations that may be relevant to councils in his Local Government National Reports. A list of relevant recommendations contained in reports issued in 2014-15 can be found in [Appendix 8](#).
- 27 Recommendations made by the CSSIW and Estyn during the course of the year are set out below.

## CSSIW

The Council should:

AFI 1 continue to reduce the number of delayed transfers of care;

AFI 2 continue improving the availability of direct payments to both children and adults;

AFI 3 work with health colleagues to ensure that children and young people with mental health needs receive appropriate CAMHS services to meet their needs;

AFI 4 improve the number of adult carers' assessments;

AFI 5 review the commissioning of services for adults with mental health needs;

AFI 6 ensure children in need reviews are undertaken in accordance with statutory timescales;

AFI 7 improve the inconsistencies in the quality of assessments for looked after children;

AFI 8 continue to raise awareness of the availability of direct payments;

AFI 9 improve performance in the number of statutory reviews for looked after children;

AFI 10 improve performance in ensuring personal education plans are in place for looked after children;

AFI 11 improve the retention of social workers;

AFI 12 take forward plans to recruit to agreed senior leadership and management posts within the department.

## Estyn – Adult Community Learning Partnership

R1 The adult community learning partnership should continue to work towards meeting the inspection recommendations that have not yet been fully addressed.

# Detailed report



# Use of resources

## Audit of the Council's accounts

- 28 On 4 November 2014 the Appointed Auditor issued an Annual Audit Letter to the Council. The letter summarised the key messages arising from his statutory responsibilities under the Public Audit (Wales) Act 2004 and his reporting responsibilities under the Code of Audit Practice. The Appointed Auditor issued an unqualified opinion on the Council's accounting statements on 29 September 2014 confirming that they presented a true and fair view of the Council's and the Pension Fund's financial position and transactions. The Annual Audit Letter can be found in [Appendix 6](#) of this report.
- 29 Information on the Council's income, expenditure and staffing levels is set out in [Appendix 7](#).

# Governance

## The Wales Audit Office reported on the Council's arrangements to support safeguarding of children in October 2014

- 30 During the period March to May 2014, the Wales Audit Office completed a review of the Council's assurance and accountability arrangements for ensuring that safeguarding policies and procedures are in place and are being adhered to. The study examined what the Council itself had done to seek assurance that its arrangements to support safeguarding are effective by reviewing how the Council was discharging its safeguarding responsibilities at all levels: Cabinet, Senior Management Team, Scrutiny and individual officers.

## The governance, accountability and management arrangements for overseeing whether the Council met its safeguarding responsibilities to children had some weaknesses, which the Council must address

- 31 The recently created Cardiff and Vale of Glamorgan Local Safeguarding Children Board provided the overview for safeguarding children in the city. The Council's Corporate Plan set a range of key actions for its Children's Social Services to continue to develop and strengthen the role and responsibilities of the Council's safeguarding and corporate parenting. The Council had a local Child Protection Policy that outlined the key principles of child protection in the city, and the Council took into account the Equalities Act when developing its policies and procedures.
- 32 The Council underwent a significant management change with 12 new senior managers having taken up post, including a new Chief Executive, Director of Social Services, Director of Education and the Monitoring Officer. There was consequently a major change in management responsibilities, organisational structure and culture that took place.
- 33 Welsh Government guidance, 'Safeguarding Children: Working together under the Children Act 2004', set out that local authorities should identify a named senior officer with responsibility for promoting safeguarding throughout the organisation. It was not clear who in the Council had been given this role. This lack of clarity was echoed by our survey, however, we were aware that the Council planned to create a Designated Officer post in Education to comply with new Welsh Government guidance on 'Safeguarding in Education'.
- 34 Similarly, with regard to clarity of member roles, fewer respondents in Cardiff knew who the Council's lead Councillor for child protection was compared to the Wales average. This highlighted that the Council needed to undertake significant work to strengthen leadership and accountability for safeguarding.
- 35 The Council had a comprehensive risk management approach to support how it met its child safeguarding responsibilities. There was a risk management strategy and a corporate risk management group with responsibility for overseeing the Council's risk management work. However, awareness amongst managers on how risk management operated varied widely and some staff interviewed were unclear how departmental and corporate risks were monitored and reviewed.

The risk register identified a 'Potential for mismatch between children's needs and capacity to meet them if current trends continue. This did not, however, identify safeguarding children as a specific risk for the Council.

### The Council's arrangements for monitoring and evaluating its safeguarding responsibilities to children had some weaknesses which the Council was addressing

- 36 The Council was developing new systems for governance and scrutiny of safeguarding but these were not fully embedded. The Council's safeguarding arrangements were subject to planned work by Scrutiny, although this was related to the wider children services agenda rather than testing corporate safeguarding arrangements. We were informed that a significant role of the new Operational Manager Safeguarding would focus on developing an independent Council-wide safeguarding function. At the time of our assessment, these arrangements were not in place.
- 37 The Council identified what information it needed to monitor and evaluate to determine if its children's safeguarding arrangements were working effectively and was in the process of creating new systems to monitor, evaluate and challenge information and performance. The Council had timeframes for monitoring and reviewing information and performance related to children's safeguarding. Most reporting was undertaken quarterly, although some specific information was reported weekly and high-profile information reported daily. The recent peer review identified a series of weaknesses in current performance management arrangements, which the Council was addressing.
- 38 The Council had systems for the safe recruitment of staff and volunteers. The Recruitment and Selection Policy and Procedure set out the key principles which the Council intended to follow in relation to all recruitment and selection activity, and outlined the responsibilities of elected members and officers. The policy applied to the recruitment and selection of all Council employees, and was commended to governing bodies for implementation in relation to recruitment of schools-based employees. Human Resources had a recruitment team that undertook the recruitment process from advert to contract and oversaw the appointment, deployment, and management of the process with schools.
- 39 However, we found that respondents in Cardiff were significantly less aware of how their role/job contributes to safeguarding and protecting children and young people than the survey average. Likewise, fewer respondents strongly agreed or agreed that their responsibilities for safeguarding and protecting children and young people were explained when they started in their role than the survey average.

- 40 The Council was taking steps to gain assurance that members and staff were appropriately trained in safeguarding. Children's Services' staff received relevant training, and training was provided to schools on a rolling annual programme. During 2013-14, the Social Care Training Centre delivered 46 individual training events in relation to Safeguarding Children, which included a comprehensive training programme delivered on behalf of the Local Safeguarding Children Board. Attendees primarily came from Children's Services – 79 per cent (341 attendees) – and Health and Social Care – 16 per cent (151 attendees) – and the rest from other Council services and partners.
- 41 However, not all those who would benefit from this training received it and the Council needed to ensure all those outside of education and social care who come into contact with children on a regular basis receive this training. A series of learning events for elected members on specific aspects of safeguarding children had been provided on a monthly basis since November 2013. As at the date of the review, 37 attendances had been recorded at these evening briefing events. Because this training is not mandatory, attendance has been low.
- 42 Our survey found that the Council is well below the survey average for the number of people who have received training on safeguarding in the last six months.

**The Council's approach to identifying and acting on improvements in its safeguarding arrangements had some weaknesses which the Council was addressing**

- 43 The Council had an internal audit plan, but had not identified and agreed how it would use this resource to provide assurance on its corporate safeguarding arrangements. Some specific audit work was undertaken within Children's Services relating to child protection. However, whilst there was regular reporting to Scrutiny of Children's Services' performance that included a section on safeguarding, this was limited to performance relating to child protection and assessment. It did not address broader safeguarding issues or give an overall assurance on safeguarding arrangements.
- 44 The Council was in the process of establishing an enhanced scrutiny role with independent reviewing officers and independent chairs. The Council had taken steps to assure itself that it complied with data protection requirements in relation to children. For example, the Director of Children Services is Caldicott Guardian for the Council.
- 45 Our survey found that far fewer respondents felt that the Council dealt effectively with specific incidents concerning safeguarding and protecting children and young people. Similarly, a significantly lower proportion than the survey average strongly agreed or agreed that the Council informed all parents how their children were safeguarded and protected when using Council services and schools.

# Performance

## Estyn continued to monitor the Council's progress in education services for children and young people following an inspection in January 2011

- 46 In February 2014 Estyn conducted a monitoring visit to review the Council's progress against recommendations made as part an inspection of the Council's education services for children and young people in January 2011. Estyn concluded that the Council had made insufficient progress in relation to the recommendations following the core inspection in January 2011. As a result, Estyn revised the recommendations from the original 2011 inspection. The revised recommendations were:
- a raise standards, particularly at Key Stage 4;
  - b reduce exclusions and reduce the proportion of young people who are not in education, employment or training post-16;
  - c make sure that the arrangements for delivering school improvement services challenge and support all schools effectively, in order to improve standards for learners in all key stages;
  - d improve the effectiveness of joint planning across the range of partnership working;
  - e improve performance management processes to ensure a consistent approach in delivering objectives; and
  - f improve the scrutiny of local authority education services and partnership working.
- 47 Estyn subsequently undertook a significant improvement visit in March 2015 which focussed on reviewing the progress made by the Council against three of the six revised recommendations arising from the 2014 monitoring visit.
- 48 Estyn found that since the monitoring visit in February 2014, the Council had begun to strengthen its capacity in delivering school improvement services and had made improvements to its performance management processes and its scrutiny arrangements for education services for children and young people. However, these improvements were still relatively recent and the local authority still faced many significant challenges, particularly in improving performance in key measures in a minority of its secondary schools.
- 49 Further monitoring visits will be undertaken by Estyn during 2015-16, and we will continue to liaise with them to inform our corporate assessment follow-on work.



**The Cardiff and Vale of Glamorgan Adult Community Learning Partnerships had made sufficient progress in relation to the recommendations from their separate core inspections. Both Partnerships have since merged to form the Cardiff and Vale Adult Community Learning Partnership which has been removed from any further follow-up activity**

- 50 In 2013, Estyn undertook two core inspections of the Cardiff Adult Learning Partnership and the Vale of Glamorgan Adult Community Learning Partnership. Estyn made recommendations in respect of the Cardiff Adult Learning partnership.
- 51 Recommendations for Cardiff Council following the Estyn inspection were as follows:
- a improve success rates for all learners;
  - b improve the strategic leadership, management and co-ordination of adult community-based learning in Cardiff to make sure that provision is better aligned to local and national priorities and that all operational managers understand their roles and priorities;
  - c improve the quality of the curriculum and provision offered to learners, especially in the most deprived areas and to priority groups of learners;
  - d improve arrangements for self-assessment and subsequent improvements by the partnership at a faster pace;
  - e improve the quality of teaching and make sure that all tutors fully understand their professional role;
  - f improve the identification, early assessment and support for learners with additional learning needs and subsequent monitoring of the impact of this support; and
  - g improve the support available for learners with health and personal issues that hamper their progress.
- 52 Since the separate core inspections were undertaken, the two partnerships have amalgamated to form one Cardiff and Vale Adult Community Learning Partnership.
- 53 In January 2015, Estyn undertook a follow-up inspection of the joint Cardiff and Vale Adult Community Learning Partnership, which was judged to have made sufficient progress in relation to the recommendations from their separate core inspections. As a result, the Cardiff and Vale Adult Community Learning Partnership was removed from any further follow-up activity. Estyn will monitor progress against the recommendations during link visits to the partnership.
- 54 The report is available on [Estyn's website](#).

## In 2013-14 social services experienced a challenging and demanding year but there was a clear assessment of future challenges, particularly in the recruitment and retention of staff and improved performance

- 55 The CSSIW published its Annual Review and Evaluation of the Council's Performance 2013-2014 in October 2014 which reported that the year had been both challenging and demanding in terms of meeting the diverse needs of a large population. The Council's Social Services' Director's report reflected a mixed picture in terms of improvement and performance. There was a clear assessment of the challenges facing Cardiff in the coming year and improved performance in areas such as care planning and review.
- 56 The Director of Children's Services had taken a strategic overview of services to understand areas for improvement and development. This resulted in a more realistic approach to the allocation of resources in a climate of budget reductions. This approach would be supported by the appointment of an Assistant Director for Children's Services and an additional post of operational manager strategic commissioning for adult services.
- 57 There was evidence in the Director's report that the Council had taken steps to prepare for the impact of the Social Services and Well Being (Wales) Act 2014. Integrated services with the Vale of Glamorgan Council and the Cardiff and Vale University Health Board were being strengthened.
- 58 There was strong corporate support for the delivery of social services which had seen the Council strengthen the management structure and produce additional funding for the directorate. Whilst some areas for savings had been identified in the director's report, it was not clear if these were sufficient to fully meet the savings required.
- 59 The Director's report set out the vision for the restructuring of children's services. While some performance indicators suggested improvement, several others described performance below that of other comparable authorities and below the Wales average.
- 60 There was evidence of consultation with the people of Cardiff which informed the Council's strategies for service development and highlighted areas in need of improvement.
- 61 This had been a challenging year for adult social care. The appointment of a Director for health and adult social care had brought improvement in some areas of performance. As with children's services there had been a strategic approach to reviewing the adult social care services provided by the Council. The review highlighted areas of improvement and the need to restructure teams to work more effectively.

- 62 The Annual Review and Evaluation of the Council's Performance 2013-2014 is available on the CSSIW website at [www.cssiw.org.uk](http://www.cssiw.org.uk).
- 63 A further inspection will be undertaken by CSSIW during 2015-16, and we will continue to liaise with them to inform our corporate assessment follow-on work.

### **CSSIW undertook a national inspection of safeguarding and care planning for looked after children and care leavers who exhibit vulnerable or risky behaviour**

- 64 During 2014-15 CSSIW undertook an inspection of safeguarding and care planning of looked after children and care leavers who exhibit vulnerable or risky behaviour. The inspection was carried out as part of the CSSIW national thematic inspection programme. The methodology for the review was undertaken in each local authority across Wales, between January and May 2014. The aim of the national inspection was to assess the quality of care planning across Wales and whether it effectively:
- a supported and protected looked-after children and care leavers;
  - b identified and managed the vulnerabilities and risky behaviour of looked-after children and care leavers;
  - c promoted rights-based practice and the voice of the child;
  - d promoted improved outcomes for looked-after children and care leavers; and
  - e promoted compliance with policy and guidance.
- 65 Findings from the individual local authority inspections and the CSSIW national overview report can be found on the [CSSIW website](#).

### **The Council was mostly delivering environmental health services at a good standard or above but due to cuts in resources and negative views on the quality and management of current services, the Council would find it difficult to take on new statutory duties that protect the public and the environment in the future**

- 66 In December 2014 we reviewed the Council's environmental health services as part of one of our all-Wales studies. The study considered the impact of cuts in resources on the ability of council environmental health services to deliver their statutory obligations.

- 67 Our review concluded that 'the Council was mostly delivering environmental health services at a good standard or above but due to cuts in resources and negative views on the quality and management of current services, the Council would find it difficult to take on new statutory duties that protect the public and the environment in the future'.
- 68 In reaching our conclusion, we reported the following findings:
- a councils had many statutory environmental health duties but spending was not being protected during the current period of financial austerity, which was making it more difficult to deliver national strategic priorities;
  - b the Council was delivering most of its environmental health services at the highest levels as judged against the Best Practice Standards;
  - c between 2011-12 and 2013-14 the Council cut environmental health budgets and staff numbers but the level of reduction was below the average for Welsh councils;
  - d survey respondents were mostly negative about the current standard of environmental health service and there was a low awareness of current performance or future plans; and
  - e new environmental health statutory duties were being introduced which the Council would find it difficult to deliver.

### **The Council's central performance team implemented a number of controls to help ensure that correct performance information was published, but a number of weaknesses in underlying systems remained**

- 69 We undertook a data quality review in January 2015 to gain assurance that the Council's performance measurement systems were robust and that resulting performance data was accurate. The purpose of the review was to establish whether performance measurement systems were fit for purpose, in order to provide assurance that the resulting data was likely to be accurate, provided that the systems were used properly.
- 70 We examined eight performance indicators in detail and the underlying systems used to compile the results. The performance indicators examined were all National Strategic Indicators or Public Accountability Measures, against which all councils are required to submit results. We were unable to review any local performance measures as during the period the review covered, no such measures were in place.
- 71 Performance Indicators at the Council are calculated using information produced from a number of underlying systems at a service level.

- 72 We identified that the Council actively used its central performance team to assess and verify certain performance information prior to publication. This central control was developed to mitigate against incorrect performance indicators being published. The performance team engaged in a number of processes. In particular it: used a risk register to identify performance indicators which were most likely to require detailed assessment; reviewed and amended where appropriate, the calculations submitted by the performance indicator compilers; and delivered feedback sessions to those who compiled the performance indicators.
- 73 Of the eight performance indicators reviewed in detail, four were found to be satisfactory. In relation to the remaining four, the following weaknesses were identified:
- a information was not uploaded to one of the data systems in a timely manner;
  - b reports used to extract data and calculate performance indicators contained omissions and duplicated entries; and
  - c data was excluded from the calculation of one performance indicator due to a potential misinterpretation of its definition.

### The Council established good systems to administer discretionary housing payments and managed the impact of welfare reform although some further changes could be made to make the service even more responsive to applicants' needs

- 74 The Welfare Reform Act 2012 heralded a significant change to the administration and distribution of benefits and would have a major impact on many citizens. In April 2011, the UK Government embarked on a programme of reform which would culminate with the phased introduction of Universal Credit between October 2013 and 2017. A major focus of the UK Government's plans were changes to Housing Benefit, which were aimed at reducing annual expenditure by around £2.3 billion. These changes would mean that millions of households in Great Britain would receive less in benefits, creating hard choices for them about how they use their money and manage financially on a day-to-day basis.
- 75 In January 2015, the Auditor General for Wales published his report on how well councils were managing the impact of welfare reform changes on social housing tenants in Wales. His report reviewed the management and use of discretionary housing payments by councils in Wales and concluded that the allocation, distribution, administration and use of these payments had significant inconsistencies and weaknesses. We followed up this work at individual councils.
- 76 Our review found that the Council made it easy for customers to apply for discretionary housing payments. It had an easily accessible website page for discretionary housing payments and a downloadable application form. However, the Council asked for a great deal of information and required a customer to complete a detailed 10-page form. The application form asked for information that

was needed to make a decision, but due to its length and complexity, it could put a vulnerable person off from applying for discretionary housing payments. The form asked for a wide range of supporting information, for example, comprehensive income and expenditure, mobile phone and home entertainment charges as well as information about the reasons behind why an applicant decided to rent their home. However, the information that the Council gathered was used by the Council's Advice Hub where applicants were advised of alternative ways of reducing the burden of welfare reform changes. Discretionary housing payments were then used as the last resort, enabling the funds to be available for the most vulnerable.

- 77 The Council had not published a welfare strategy or policy which clearly set out the Council's priorities for the use of discretionary housing payments and how it assisted people affected by welfare reform. There was a comprehensive document that set out how the Council would assess the applicant's claim for discretionary housing payments and how it could be used to help the applicant. There was also a link to a welfare reform page on the Council's website. We found that whilst the Council's Homelessness Strategy referred to discretionary housing payments, the Strategy was four years old and did not provide detail about the Council's approach to discretionary housing payments.
- 78 The Council had systems in place to monitor the amount spent against the amount of money provided by the Department for Work and Pensions. The Council also monitored how many customers had been assisted and the amount of budget remaining to assist applicants. The Council monitored the impact of discretionary housing payments and who had been supported including those social housing tenants affected by the Spare Room Subsidy and the benefit cap. The Council monitored the number of landlords assisted where this information was available. This allowed the Council to ensure there was good coverage across all sectors and areas. However, it was not clear how the performance information was used to influence policy.
- 79 The Council had paid out £988,158 of its Department for Work and Pensions provision of £1,175,856, which represented 84 per cent of its allocation at the end of November 2014. The Council had funded 1,989 applicants, which indicated that the Council was positively trying to use discretionary housing payments to support those who needed it.

## The Council positively promoted the use of the Welsh language in the workplace by approving a new Welsh Language Skills Strategy and established a new Welsh Language Cross Party Members Working Group

- 80 The role of the Welsh Language Commissioner (the Commissioner) was created by the Welsh Language (Wales) Measure 2011. New powers to impose standards on organisations came into force through subordinate legislation on 31 March 2015. The Commissioner continued to review Welsh-language schemes by virtue of powers inherited under the Welsh Language Act 1993.
- 81 The Commissioner worked with all councils in Wales to inspect and advise on the implementation of language schemes. It is the responsibility of councils to provide services to the public in Welsh in accordance with the commitments in their language schemes. Every council is committed to providing an annual monitoring report to the Commissioner outlining its performance in implementing the language scheme. The Commissioner analyses every monitoring report, provides a formal response and collects further information as required.
- 82 The Commissioner reported that a new Welsh Language Cross-Party Members Working Group was established following the Bilingual Cardiff conference.
- 83 Following the approval of a revised Corporate Welsh Language Skills Strategy the Council began to analyse its linguistic skills requirements, assessing 400 frontline posts during the year. Welsh-language training was no longer offered internally, however, support was given to enable frontline staff to attend external courses. One hundred and ninety-six individuals completed training during 2013-14, with 101 library staff and all new corporate directors attending Welsh-language awareness courses. It was decided that such courses should be provided throughout the whole organisation in future.
- 84 A detailed blueprint for the development of a Customer Relationship Management System was completed, which allowed the Council to construct a database of its users' language preferences. The Council strengthened their partnership with Menter Caerdydd. The language initiative received a contract to provide substantial Welsh-medium leisure provision for children and their families. Seventeen weekly sport clubs were organised, and as demand remained high, it was hoped that the current provision can be expanded during the forthcoming year.

# Appendix 1 – Status of this report

The Local Government (Wales) Measure 2009 (the Measure) requires the Auditor General to undertake an annual improvement assessment, and to publish an annual improvement report, for each improvement authority in Wales. This requirement covers local councils, national parks, and fire and rescue authorities.

This report has been produced by staff of the Wales Audit Office on behalf of the Auditor General to discharge his duties under section 24 of the Measure. The report also discharges his duties under section 19 to issue a report certifying that he has carried out an improvement assessment under section 18 and stating whether, as a result of his improvement plan audit under section 17, he believes that the authority has discharged its improvement planning duties under section 15.

Improvement authorities are under a general duty to ‘make arrangements to secure continuous improvement in the exercise of [their] functions’. Improvement authorities are defined as local councils, national parks, and fire and rescue authorities.

The annual improvement assessment is the main piece of work that enables the Auditor General to fulfil his duties. The improvement assessment is a forward-looking assessment of an authority’s likelihood to comply with its duty to make arrangements to secure continuous improvement. It also includes a retrospective assessment of whether an authority has achieved its planned improvements in order to inform a view as to the authority’s track record of improvement. The Auditor General will summarise his audit and assessment work in a published annual improvement report for each authority (under section 24).

The Auditor General may also, in some circumstances, carry out special inspections (under section 21), which will be reported to the authority and Ministers, and which he may publish (under section 22). An important ancillary activity for the Auditor General is the co-ordination of assessment and regulatory work (required by section 23), which takes into consideration the overall programme of work of all relevant regulators at an improvement authority. The Auditor General may also take account of information shared by relevant regulators (under section 33) in his assessments.



# Appendix 2 – Audit of the city of Cardiff Council’s 2014-15 Improvement Plan

## Certificate

I certify that I have audited Cardiff Council’s (the Council) Improvement Plan in accordance with section 17 of the Local Government (Wales) Measure 2009 (the Measure) and my Code of Audit Practice.

As a result of my audit, I believe that the Council has discharged its duties under section 15(6) to (9) of the Measure and has acted in accordance with Welsh Government guidance sufficiently to discharge its duties.

## Respective responsibilities of the Council and the Auditor General

Under the Measure, the Council is required to prepare and publish an Improvement Plan describing its plans to discharge its duties to:

- make arrangements to secure continuous improvement in the exercise of its functions;
- make arrangements to secure achievement of its improvement objectives; and
- make arrangements to exercise its functions so that any performance standard specified by Welsh Ministers is met.

The Measure requires the Council to publish its Improvement Plan as soon as is reasonably practicable after the start of the financial year to which it relates, or after such other date as Welsh Ministers may specify by order.

The Council is responsible for preparing the Improvement Plan and for the information set out within it. The Measure requires that the Council has regard to guidance issued by Welsh Ministers in preparing and publishing its plan.

As the Council’s auditor, I am required under sections 17 and 19 of the Measure to carry out an audit of the Improvement Plan, to certify that I have done so, and to report whether I believe that the Council has discharged its duties to prepare and publish an Improvement Plan in accordance with statutory requirements set out in section 15 and statutory guidance.

## Scope of the Improvement Plan audit

For the purposes of my audit work I will accept that, provided an authority meets its statutory requirements, it will also have complied with Welsh Government statutory guidance sufficiently to discharge its duties.

For this audit I am not required to form a view on the completeness or accuracy of information, or whether the Improvement Plan published by the Council can be achieved. Other assessment work that I will undertake under section 18 of the Measure will examine these issues. My audit of the Council's Improvement Plan, therefore, comprised a review of the plan to ascertain whether it included elements prescribed in legislation. I also assessed whether the arrangements for publishing the plan complied with the requirements of the legislation, and that the Council had regard to statutory guidance in preparing and publishing its plan.

The work I have carried out in order to report and make recommendations in accordance with sections 17 and 19 of the Measure cannot solely be relied upon to identify all weaknesses or opportunities for improvement.

Huw Vaughan Thomas  
**Auditor General for Wales**

CC: Lesley Griffiths, Minister for Local Government and Government Business  
Steve Barry, Manager  
Sam Spruce, Performance Audit Lead

# Appendix 3 – Audit of the City of Cardiff Council’s assessment of 2013-14 performance

## Certificate

I certify that I have audited the City of Cardiff Council’s (the Council) assessment of its performance in 2013-14 in accordance with section 17 of the Local Government (Wales) Measure 2009 (the Measure) and my Code of Audit Practice.

As a result of my audit, I believe that the Council has discharged its duties under sections 15(2), (3), (8) and (9) of the Measure and has acted in accordance with Welsh Government guidance sufficiently to discharge its duties.

## Respective responsibilities of the Council and the Auditor General

Under the Measure, the Council is required to annually publish an assessment which describes its performance:

- in discharging its duty to make arrangements to secure continuous improvement in the exercise of its functions;
- in meeting the improvement objectives it has set itself;
- by reference to performance indicators specified by Welsh Ministers, and self-imposed performance indicators; and
- in meeting any performance standards specified by Welsh Ministers, and self-imposed performance standards.

The Measure requires the Council to publish its assessment before 31 October in the financial year following that to which the information relates, or by any other such date as Welsh Ministers may specify by order.

The Measure requires that the Council has regard to guidance issued by Welsh Ministers in publishing its assessment.

As the Council’s auditor, I am required under sections 17 and 19 of the Measure to carry out an audit to determine whether the Council has discharged its duty to publish an assessment of performance, to certify that I have done so, and to report whether I believe that the Council has discharged its duties in accordance with statutory requirements set out in section 15 and statutory guidance.

## Scope of the audit

For the purposes of my audit work I will accept that, provided an authority meets its statutory requirements, it will also have complied with Welsh Government statutory guidance sufficiently to discharge its duties.

For this audit I am not required to form a view on the completeness or accuracy of information. Other assessment work that I will undertake under section 18 of the Measure may examine these issues. My audit of the Council's assessment of performance, therefore, comprised a review of the Council's publication to ascertain whether it included elements prescribed in legislation. I also assessed whether the arrangements for publishing the assessment complied with the requirements of the legislation, and that the Council had regard to statutory guidance in preparing and publishing it.

The work I have carried out in order to report and make recommendations in accordance with sections 17 and 19 of the Measure cannot solely be relied upon to identify all weaknesses or opportunities for improvement.

Huw Vaughan Thomas  
**Auditor General For Wales**

CC: Leighton Andrews, Minister for Local Government and Government Business  
Non Jenkins, Manager  
Chris Pugh, Performance Audit Lead

# Appendix 4 – Feedback on the audit of the Council’s assessment of performance

Paul Orders  
Chief Executive  
City of Cardiff Council  
County Hall  
Atlantic Wharf  
Cardiff  
CF10 4UW

Dear Paul

## **Feedback on the audit of the Council’s assessment of performance**

The Auditor General recently audited the City of Cardiff Council’s (the Council) assessment of its performance in 2013-14 in accordance with section 17 of the Local Government (Wales) Measure 2009 (the Measure) and his Code of Audit Practice.

In respect of that audit, the Auditor General issued an assessment of performance certificate of compliance (dated 20 November 2014) confirming that the Council had discharged its duties under sections 15(2), (3), (8) and (9) of the Measure and had acted in accordance with Welsh Government guidance sufficiently to discharge its duties.

During the course of the work, we identified a number of areas for improvement and strengths. We agreed to share these with you at the earliest opportunity to enable you to feed any learning into the delivery of your Organisational Development Plan. These have been set out below for your consideration.

### Areas for Improvement:

- The Corporate Plan 2013-17 did not contain improvement objectives which should clearly identify the Council’s priorities.
- The Council subsequently established seven improvement objectives following the Auditor General’s publication of the Improvement Assessment Letter 1 in September 2013. However, it is unclear what the actions and targets are that will support the delivery of and determine planned progress against the improvement objectives.
- Within the Council’s Improvement Report 2014, baseline data and targets are included for some improvement objectives but not for all. Therefore, we were unable to conclude what specific improvements the Council was planning to achieve for all objectives and whether improvements have been made.
- Within the Council’s Improvement Report 2014 the Council has included graphs to aid in assessing progress for four of the improvement objectives. The graphs show the average performance of the Council and Wales as a whole over a number of years (the timescale varies for each graph). However the 2013-14 targets for the Council are again not stated.
- The comparison of performance against previous years is limited and not consistently presented.

- The Improvement Report 2014 states that across the five Outcome Agreement priorities with the Welsh Government, there are 55 measures in which 12 did not achieve the target. No further information is provided in the report on these measures and it is unclear why this information has not been included to explain progress against the improvement objectives.
- The Council has not provided an overall assessment of performance for each of the seven improvement objectives.
- For the 44 National Strategic Indicators (NSI) and Public Accountability Measures (PAM), the Council did not set targets for 2013-14 for seven measures and five of these relate to education. No explanation is provided as to why targets were not set.

Strengths:

- The Improvement Report 2014 recognises that the Council is required to assess performance against the NSI and PAM data sets.
- The Improvement Report 2014 does provide information on the overall NSI and PAM data sets.
- Performance compared to the rest of Wales and previous years' information for 2011-12, 2012-13 and 2013-14 is provided to demonstrate a trend in performance.
- The Improvement Report 2014 does highlight the best five performing NSI/PAM indicators and the indicators where the Council is ranked the lowest in Wales.
- The Improvement Report 2014 does explicitly reference the Local Government Measure's seven aspects of improvement. A matrix is included to cross reference the improvement objectives with the seven aspects of improvement.
- An English version of the Improvement Report was published on the Council's website prior to the 31 October 2014 deadline.

The matters identified above are for your consideration. They are not intended to be formal recommendations or proposals for improvement requiring any specific actions to be reported to us. However, we assume that you will want to reflect on these and assure yourselves that the delivery of your Organisational Development Plan incorporates your learning.

Yours sincerely

Alan Morris

CC: Martin Hamilton, Chief Officer Change & Improvement

# Appendix 5 – Audit of the City of Cardiff Council’s 2015-16 Improvement Plan

## Certificate

I certify that I have audited The City of Cardiff Council’s (the Council) Improvement Plan in accordance with section 17 of the Local Government (Wales) Measure 2009 (the Measure) and my Code of Audit Practice.

As a result of my audit, I believe that the Council has discharged its duties under section 15(6) to (9) of the Measure and has acted in accordance with Welsh Government guidance sufficiently to discharge its duties.

## Respective responsibilities of the Council and the Auditor General

Under the Measure, the Council is required to prepare and publish an Improvement Plan describing its plans to discharge its duties to:

- make arrangements to secure continuous improvement in the exercise of its functions;
- make arrangements to secure achievement of its improvement objectives; and
- make arrangements to exercise its functions so that any performance standard specified by Welsh Ministers is met.

The Measure requires the Council to publish its Improvement Plan as soon as is reasonably practicable after the start of the financial year to which it relates, or after such other date as Welsh Ministers may specify by order.

The Council is responsible for preparing the Improvement Plan and for the information set out within it. The Measure requires that the Council has regard to guidance issued by Welsh Ministers in preparing and publishing its plan.

As the Council’s auditor, I am required under sections 17 and 19 of the Measure to carry out an audit of the Improvement Plan, to certify that I have done so, and to report whether I believe that the Council has discharged its duties to prepare and publish an Improvement Plan in accordance with statutory requirements set out in section 15 and statutory guidance.

## Scope of the Improvement Plan audit

For the purposes of my audit work I will accept that, provided an authority meets its statutory requirements, it will also have complied with Welsh Government statutory guidance sufficiently to discharge its duties.

For this audit I am not required to form a view on the completeness or accuracy of information, or whether the Improvement Plan published by the Council can be achieved. Other assessment work that I will undertake under section 18 of the Measure will examine these issues. My audit of the Council’s Improvement Plan, therefore, comprised a review of the plan to ascertain whether it included elements prescribed in legislation. I also assessed whether the arrangements for publishing the plan complied with the requirements of the legislation, and that the Council had regard to statutory guidance in preparing and publishing its plan.

The work I have carried out in order to report and make recommendations in accordance with sections 17 and 19 of the Measure cannot solely be relied upon to identify all weaknesses or opportunities for improvement.

Huw Vaughan Thomas  
**Auditor General For Wales**

CC: Leighton Andrews, Minister for Public Services  
Non Jenkins, Manager  
Chris Pugh, Performance Audit Lead



# Appendix 6 – Annual Audit Letter

Councillor Phil Bale  
Leader  
Cardiff Council  
County Hall  
Atlantic Wharf  
Cardiff  
CF10 4UQ

Dear Councillor Bale

## Annual Audit Letter

This letter summarises the key messages arising from my statutory responsibilities under the Public Audit (Wales) Act 2004 as the Appointed Auditor and my reporting responsibilities under the Code of Audit Practice.

### The Council complied with its responsibilities relating to financial reporting and use of resources

It is the Council's responsibility to:

- put systems of internal control in place to ensure the regularity and lawfulness of transactions and to ensure that its assets are secure;
- maintain proper accounting records;
- prepare a Statement of Accounts in accordance with relevant requirements; and
- establish and keep under review appropriate arrangements to secure economy, efficiency and effectiveness in its use of resources.

The Public Audit (Wales) Act 2004 requires me to:

- provide an audit opinion on the accounting statements;
- review the Council's arrangements to secure economy, efficiency and effectiveness in its use of resources; and
- issue a certificate confirming that I have completed the audit of the accounts.

Local authorities in Wales prepare their accounting statements in accordance with the requirements of the CIPFA/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom. This code is based on International Financial Reporting Standards.

On 29 September 2014, I issued an unqualified audit opinion on the accounting statements confirming that they present a true and fair view of the Council's and the Pension Fund's financial position and transactions. My report is contained within the Statement of Accounts. The key matters arising from the accounts audit were reported to members of the Audit Committee and Council in my Audit of Financial Statements report on the 15 and 25 September 2014 respectively, and a more detailed report to officers will follow in due course.

Overall the statement of accounts and associated working papers provided for audit were of a good standard, with the issue raised last year in connection with weakened procedures to support debtors and creditor balances being addressed. I also commented on the fact that the Council is not complying with the CIPFA code of practice in respect of the valuation and depreciation of surplus assets but that we were satisfied that this was not a material issue this year. It was agreed that the Council's accounting policies would be updated to explain the Council's reasons for these departures from the Code.

**I am satisfied that the Council has appropriate arrangements in place to secure economy, efficiency and effectiveness in its use of resources but areas for improvement have been identified**

My consideration of the Council's arrangements to secure economy, efficiency and effectiveness has been based on the audit work undertaken on the accounts as well as placing reliance on the work completed as part of the Improvement Assessment under the Local Government (Wales) Measure 2009 (the Measure). Overall, I am satisfied that there are no issues that would impact on the unqualified audit opinion given on the 2013-14 statement of accounts. However, a number of issues were raised by the Auditor General in his Annual Improvement Report and Corporate Assessment 2014 which was discussed at Cabinet and Council on 18 and 25 September respectively. The main conclusion of the report was that 'fragmented leadership and management have meant that real performance in key service areas has not improved'. Given these issues, it has been agreed that a follow up review will be undertaken in 2014-15 with progress monitored throughout this period. It is vital that the Council addresses the issues if it is to achieve improved performance.

The extremely challenging financial position faced by all local government bodies in Wales continues and, even though the recent budget settlement for Cardiff was better than anticipated, there is still the need to make significant savings over the next three years.

It is recognised that the Council has good arrangements for financial planning and overall budget management. The Council has acknowledged that it needs to consider fundamental changes in the way it operates and delivers its services and that difficult decisions will need to be made to meet the funding gap. It is important that the Medium Term Financial Plan is monitored closely and is clearly linked to the corporate and directorate savings plan, service delivery plans etc with any slippage dealt with quickly and effectively if savings targets are to be achieved. These continue to be challenging times for Members and Officers.

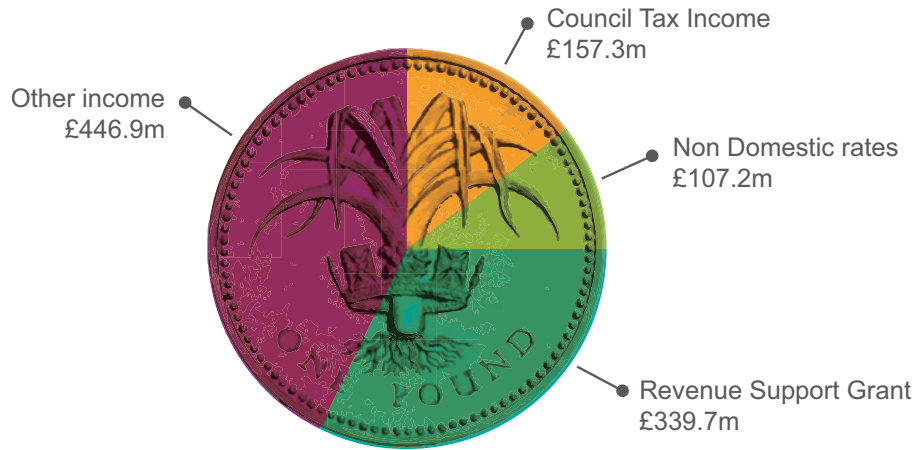
I issued a certificate confirming that the audit of the accounts has been completed on 29 September 2014.

The financial audit fee for 2013-14 is currently expected to be in line with the agreed fee set out in the Annual Financial Audit Outline.

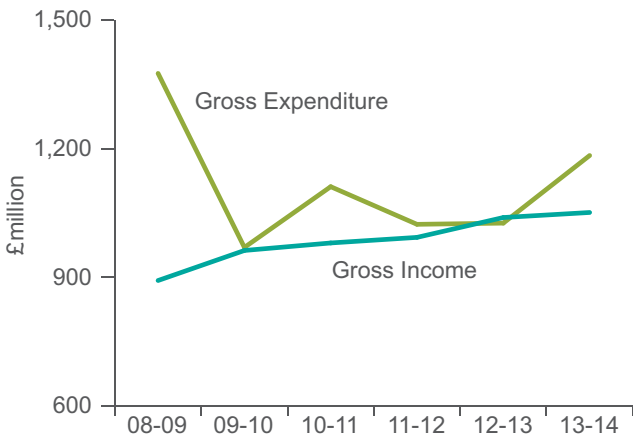
Yours sincerely

Ann-Marie Harkin  
**For and on behalf of the Appointed Auditor**

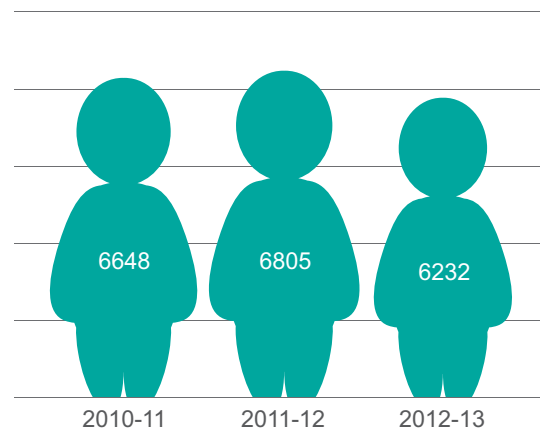
# Appendix 7 – Information about the Council’s income, expenditure and staffing levels



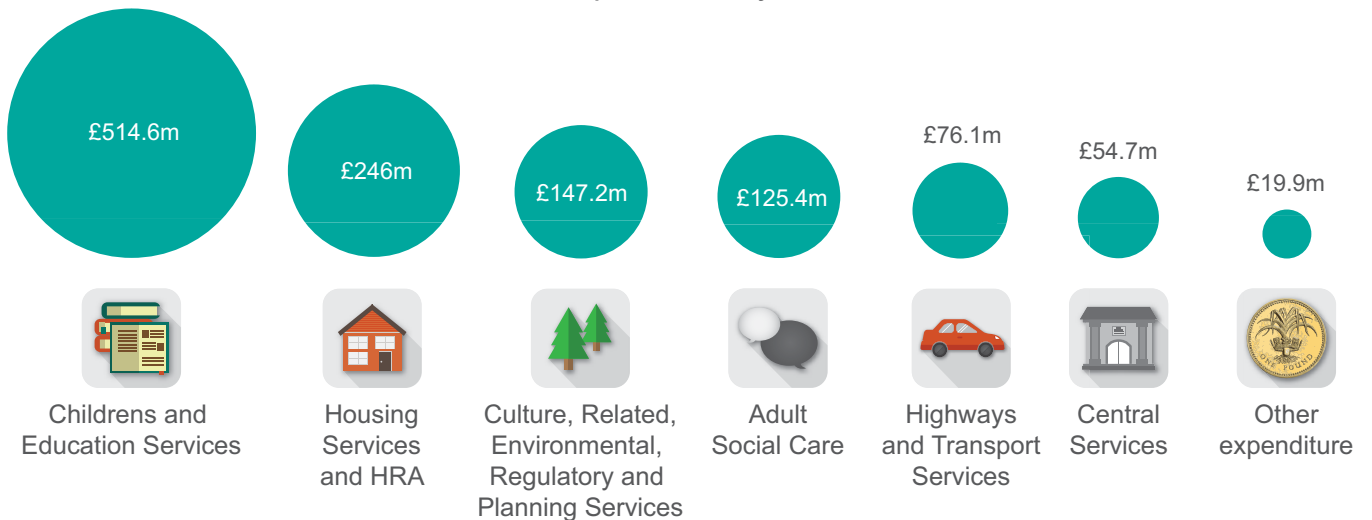
Total Income and Expenditure



Number of whole time equivalent staff 2010-11 to 2012-13



Total Gross Expenditure by service area



## Appendix 8 – National report recommendations 2014-15

Date of report	Title of review	Recommendation
May 2014	Good Scrutiny? Good Question!	R1 Clarify the role of executive members and senior officers in contributing to scrutiny.
		R2 Ensure that scrutiny members, and specifically scrutiny chairs, receive training and support to fully equip them with the skills required to undertake effective scrutiny.
		R3 Further develop scrutiny forward work programming to: <ul style="list-style-type: none"> <li>• provide a clear rationale for topic selection;</li> <li>• be more outcome focused;</li> <li>• ensure that the method of scrutiny is best suited to the topic area and the outcome desired; and</li> <li>• align scrutiny programmes with the council's performance management, self-evaluation and improvement arrangements.</li> </ul>
		R4 Ensure that scrutiny draws effectively on the work of audit, inspection and regulation and that its activities are complementary with the work of external review bodies.
		R5 Ensure that the impact of scrutiny is properly evaluated and acted upon to improve the function's effectiveness; including following up on proposed actions and examining outcomes.
		R6 Undertake regular self-evaluation of scrutiny utilising the 'outcomes and characteristics of effective local government overview and scrutiny' developed by the Wales Scrutiny Officers' Network.
		R7 Implement scrutiny improvement action plans developed from the Wales Audit Office improvement study.
		R8 Adopt Participation Cymru's 10 Principles for Public Engagement in improving the way scrutiny engages with the public and stakeholders.

Date of report	Title of review	Recommendation
July 2014	Young people not in education, employment or training - Findings from a review of councils in Wales	R1 Together with partners, map and review expenditure on NEETs services to better understand the resources required to deliver the Framework.
		R2 Clarify their strategic approach to reducing the proportion of 19 to 24 year olds who are NEET as well as their approach for 16 to 18 year olds.
		R3 Focus on young people with significant or multiple barriers to engaging with education, employment or training rather than those who are more likely to re-engage without significant additional support.
		R4 Develop their objectives and targets for reducing the number of young people NEET so that they can be held to account and their work aligns with the Welsh Government's targets and objectives.
		R5 Ensure that elected members and partners fully understand that councils have a clear responsibility for leading and co-ordinating youth services for 16 to 24 year olds.
		R6 Improve the evaluation of the effectiveness and relative value for money of the services and interventions in their area that are intended to reduce the proportion of young people who are NEET.

Date of report	Title of review	Recommendation
October 2014	<p><b>Delivering with less – the impact on environmental health services and citizens</b></p>	<p>R1 Revise the best practice standards to:</p> <ul style="list-style-type: none"> <li>• align the work of environmental health with national strategic priorities;</li> <li>• identify the wider contribution of environmental health in delivering strategic priorities of the Welsh Government; and</li> <li>• identify the benefit and impact of environmental health services on protecting citizens.</li> </ul> <p>R2 Provide scrutiny chairs and members with the necessary skills and support to effectively scrutinise and challenge service performance, savings plans and the impact of budget reductions.</p> <p>R3 Improve engagement with local residents over planned budget cuts and changes in services by:</p> <ul style="list-style-type: none"> <li>• consulting with residents on planned changes in services and using the findings to shape decisions;</li> <li>• outlining which services are to be cut and how these cuts will impact on residents; and</li> <li>• setting out plans for increasing charges or changing standards of service.</li> </ul> <p>R4 Improve efficiency and value for money by:</p> <ul style="list-style-type: none"> <li>• Identifying the statutory and non-statutory duties of council environmental health services.</li> <li>• Agreeing environmental health priorities for the future and the role of councils in delivering these.</li> <li>• Determining an 'acceptable standard of performance' for environmental health services (upper and lower) and publicise these to citizens.</li> <li>• Improving efficiency and maintaining performance to the agreed level through: <ul style="list-style-type: none"> <li>– collaborating and/or integrating with others to reduce cost and/or improve quality;</li> <li>– outsourcing where services can be delivered more cost effectively to agreed standards;</li> <li>– introducing and/or increasing charges and focusing on income-generation activity;</li> <li>– using grants strategically to maximise impact and return; and</li> <li>– reducing activities to focus on core statutory and strategic priorities.</li> </ul> </li> </ul> <p>R5 Improve strategic planning by:</p> <ul style="list-style-type: none"> <li>• identifying, collecting and analysing financial, performance and demand/need data on environmental health services;</li> <li>• analysing collected data to inform and understand the relationship between 'cost: benefit: impact' and use this intelligence to underpin decisions on the future of council environmental health services; and</li> <li>• agree how digital information can be used to plan and develop environmental health services in the future.</li> </ul>

Date of report	Title of review	Recommendation
January 2015	<b>Managing the Impact of Welfare Reform Changes on Social Housing Tenants in Wales</b>	<p>R1 Improve strategic planning and better co-ordinate activity to tackle the impact of welfare reform on social-housing tenants by ensuring comprehensive action plans are in place that cover the work of all relevant council departments, housing associations and the work of external stakeholders.</p>
		<p>R2 Improve governance and accountability for welfare reform by:</p> <ul style="list-style-type: none"> <li>• appointing member and officer leads to take responsibility for strategic leadership on welfare reform and be accountable for performance; and</li> <li>• ensuring members receive adequate training and regular briefings on welfare reform to be able to challenge and scrutinise performance and decisions.</li> </ul>
		<p>R3 Ensure effective management of performance on welfare reform by:</p> <ul style="list-style-type: none"> <li>• setting appropriate measures to enable members, officers and the public to judge progress in delivering actions;</li> <li>• ensuring performance information covers the work of all relevant agencies and especially housing associations; and</li> <li>• establishing measures to judge the wider impact of welfare reform.</li> </ul>
		<p>R4 Strengthen how welfare-reform risks are managed by creating a single corporate-level approach that co ordinates activity across the Council and the work of others to provide adequate assurance that all the necessary and appropriate actions to mitigate risk are taking place.</p>
		<p>R5 Improve engagement with tenants affected by the removal of the spare-room subsidy through:</p> <ul style="list-style-type: none"> <li>• the provision of regular advice and information on the options open to them to address the financial impact of the change in their circumstances;</li> <li>• the promotion of the ‘Your benefits are changing’ helpline; and</li> <li>• the provision of support to tenants specifically affected by the removal of the spare-room subsidy to participate in regional/national employment schemes.</li> </ul>

Date of report	Title of review	Recommendation
January 2015	<p><b>Managing the Impact of Welfare Reform Changes on Social Housing Tenants in Wales</b></p>	<p>R7 Improve management, access to and use of Discretionary Housing Payments by:</p> <ul style="list-style-type: none"> <li>• establishing a clear policy or guide that is available in hard copy and online to the public that sets out the Council's policy and arrangements for administering Discretionary Housing Payments;</li> <li>• clearly defining eligible and non-eligible housing costs covered by Discretionary Housing Payments in application forms, policy documentation and applicant guidance leaflets;</li> <li>• clearly setting out the maximum/minimum length of time that such payments will be provided;</li> <li>• setting and publishing the timescale for the Council making a decision on Discretionary Housing Payments applications;</li> <li>• including information within public literature on the Council's policy for right to review or appeal of a decision and the timescales and process to be followed in deciding on these; and</li> <li>• clearly define the priority groups for Discretionary Housing Payments in public literature to ensure that those seeking assistance, and those agencies supporting them, can assess whether such payments are a viable option to address their housing and financial needs.</li> </ul>





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**CITY AND COUNTY OF CARDIFF  
DINAS A SIR CAERDYDD**

**POLICY REVIEW & PERFORMANCE  
SCRUTINY COMMITTEE**

**8 September 2015**

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**CITY OF CARDIFF COUNCIL STATUTORY ANNUAL IMPROVEMENT  
REPORT 2014-15**

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**Reason for this Report**

1. For Policy Review and Performance Scrutiny Committee to consider the Council's draft Annual Improvement Report prior to submission to Full Council on 24 September 2015, and factor areas of interest into its final discussion and approval of the Committees Work Programme 2015-16 later on the agenda.

**Background**

2. The Local Government (Wales) Measure 2009 requires the Council to publish its Improvement Objectives and how it plans to achieve them. The Auditor General for Wales in previous assessments of the Council's performance of this duty highlighted the need for the Council to be more focussed on its key priorities and on their delivery. In recognition of this opinion, and the growing pressure on the Council's finances available to deliver services to the citizens and communities of Cardiff in 2014 the Council continued with the following 3 priorities:
  - Economic development as the driver for growth and jobs;
  - Education and skills for people of all ages to fulfil their potential and to well prepared for employment in the Cardiff economy;

- Supporting vulnerable adults, children and young people.
3. The Council's Corporate Plan 2014/17 focussed on what the Council would deliver to achieve these three priorities, and in turn they helped to shape the Council's Improvement Objectives for 2014/15 and the content of the Outcome Agreement with the Welsh Government for 2013/16.
  4. The authority's Improvement Objectives for 2014/15 focussed on:
    - Increasing the number and quality of jobs in the city economy;
    - Establishing Cardiff as a Digital City;
    - Helping people to make positive choices about the affordability of their accommodation;
    - Increasing independence by providing aids and adaptations to homes;
    - Improving educational outcomes;
    - Increasing school attendance;
    - Decreasing the number of young people not in education, employment or training;
    - Undertaking a programme of Organisational Development to ensure the resilience and sustainability of services, structured around the core needs of citizens and communities.
  5. The Council is also required under the Measure to assess its performance against the National Strategic Indicator (NSI) and Public Accountability Measures (PAM) data sets. These are set by the Welsh Government. Where these indicators and measures are relevant to the progress made against the authority's Improvement Objectives and Outcome Agreement they are included in this Improvement Report. The Council's performance against the full range of NSI and PAM data sets is shown in the 'How We Measure Up' section.

## City of Cardiff Council's Annual Improvement Report 2014/15

6. The Council's Annual Improvement Report provides a retrospective summary evaluation of performance for 2014/15 and Members should note that the Report attached at Appendix 1 is a 'near final' draft. It contains the key elements to meet the statutory requirements, but will be subject to some minor amendment or updating prior to submitting to Council on 24 September 2015.
7. The City of Cardiff Council Annual Report 2014/15, attached as **Appendix A**, is a text document which once approved will be translated into Welsh prior to publication by 31 October 2015.
8. The Improvement Report should:-
  - provide a picture of the Council's performance for the reporting year against the agreed outcomes, activities (improvement objectives) and targets;
  - communicate improvement information that is timely and accurate to Members, officers, citizens, communities, stakeholders, other Councils, the Welsh Government and regulators.
9. The Wales Audit Office feedback on the Council's Annual Improvement Report 2013/14 suggested a number of areas for Improvement. These improvements were in relation to ensuring that:
  - there are actions and targets to support the delivery of, and determine progress against the improvement objectives;
  - baseline data and targets are included for all improvement objectives;
  - comparative data is represented for all performance indicators and is consistently presented;

- progress against the Outcome Agreement be presented to support the explanation of progress against the improvement objectives;
- an assessment of performance for each of the improvement objectives is provided;
- performance indicators have a target and that where targets have not been set that there is an explanation.

The Council's Annual Improvement Report 2014/15 seeks to address these issues.

### **Wales Audit Office Corporate Assessment of the City of Cardiff Council**

10. In September 2014, the Auditor General published his report on the full Corporate Assessment. This report concluded at that time *'Fragmented leadership and management have meant that weak performance in key service areas has not improved'*. The outcome of this work was a proposal for improvement to ensure that the implementation of the Council's Organisational Development Plan resolved the range of issues identified in the assessment. The purpose of the Corporate Assessment Follow-on is to seek the answer to the question *'is the Council effectively addressing the issues raised in the Corporate Assessment?'*

11. The Council's Annual Improvement Report, as outlined earlier, provides a picture of the Council's performance for the reporting year against the agreed outcomes, activities (improvement objectives), and targets and is therefore a key strand of the organisation's performance arrangements.

12. The output for the Wales Audit Office work will be a published report, planned for issue in early 2016.

13. Attached at **Appendix A** is the draft Annual Improvement Report 2014-15, a document the Council is required to publish under the Local Government

(Wales) Measure 2009, which will be submitted for consideration by Full Council in September 2015, prior to publication by 31 October 2015.

## **Way Forward**

14. The Committee is invited to consider the Annual Improvement Report 2014/15, and internally challenge how effectively the Council is preparing for improvement, by focusing on delivery of its three key priorities as previously highlighted by external regulators, Wales Audit Office.

## **Legal Implications**

15. The Scrutiny Committee is empowered to enquire, consider, review and recommend but not to make policy decisions. As the recommendations in this report are to consider and review matters there are no direct legal implications. However, legal implications may arise if and when the matters under review are implemented with or without any modifications. Any report with recommendations for decision that goes to Cabinet/Council will set out any legal implications arising from those recommendations. All decisions taken by or on behalf of the Council must (a) be within the legal powers of the Council; (b) comply with any procedural requirement imposed by law; (c) be within the powers of the body or person exercising powers on behalf of the Council; (d) be undertaken in accordance with the procedural requirements imposed by the Council e.g. Scrutiny Procedure Rules; (e) be fully and properly informed; (f) be properly motivated; (g) be taken having regard to the Council's fiduciary duty to its taxpayers; and (h) be reasonable and proper in all the circumstances.

## **Financial Implications**

16. The Scrutiny Committee is empowered to enquire, consider, review and recommend but not to make policy decisions. As the recommendations in this report are to consider and review matters there are no direct financial implications at this stage in relation to any of the work programme.

However, financial implications may arise if and when the matters under review are implemented with or without any modifications. Any report with recommendations for decision that goes to Cabinet/Council will set out any financial implications arising from those recommendations.

## **RECOMMENDATION**

The Committee is recommended to:

- I. consider the Council's Annual Improvement Report 2014-15;
- II. ensure that key issues highlighted during the scrutiny inform the Committee's consideration of its Work Programme for 2015-16 later on the agenda; and
- III. report any concerns and observations on the Annual Improvement Report 2014-15 to the Leader of the Council prior to submission to Full Council and publication by the statutory date 31 October 2015.

### **Paul Orders**

Chief Executive

2 September 2015



**City of Cardiff Council**  
**Improvement Report 2014/15**

**Contents**

DRAFT

## Introduction

The Local Government (Wales) Measure 2009 requires that we publish our Improvement Objectives and how we plan to achieve them. The Auditor General for Wales in previous assessments of how we do this highlighted the need for the Council to be more focussed on our key priorities and on the delivery of these. In recognition of this opinion, and the growing pressure on the Council's finances available to deliver services to the citizens and communities of Cardiff in 2014 we continued with the following 3 priorities:-

- Economic development as the driver for growth and jobs
- Education and skills for people of all ages to fulfil their potential and to well prepared for employment in the Cardiff economy
- Supporting vulnerable adults, children and young people

The Council's Corporate Plan 2014/17 focusses on what the Council will deliver to achieve these 3 priorities, and in turn they have helped to shape our Improvement Objectives for 2014/15 and the content of our Outcome Agreement with the Welsh Government for 2013/16.

Our Improvement Objectives focus on:-

- Increasing the number and quality of jobs in the city economy
- Establishing Cardiff as a Digital City
- Helping people to make positive choices about the affordability of their accommodation
- Increasing independence by providing aids and adaptations to homes
- Improving educational outcomes
- Increasing school attendance
- Decreasing the number of young people not in education, employment or training
- Undertaking a programme of Organisational Development to ensure the resilience and sustainability of services, structured around the core needs of citizens and communities.

In setting our Improvement Objectives an exercise was undertaken to ensure that they contributed to the seven improvement aspects of Strategic Effectiveness (SE), Service Quality (SQ), Service Availability (SA), Fairness (F), Sustainability (S), Efficiency (E) and Innovation (I) and the collaborative (C) nature of the work needed to deliver each one as set out in the Local Government (Wales) Measure 2009. The result of this exercise is contained in the following matrix:-

<b>Improvement Objective</b>	<b>SE</b>	<b>SQ</b>	<b>SA</b>	<b>F</b>	<b>S</b>	<b>E</b>	<b>I</b>	<b>C</b>
Increase the number and quality of jobs in the city economy	✓	✓	✓	✓	✓			✓
Establish Cardiff as a Digital City	✓	✓	✓	✓	✓	✓	✓	✓
Helping people to make positive choices about the affordability of their accommodation	✓	✓	✓	✓	✓	✓	✓	✓

Increasing independence by providing aids and adaptations to homes	✓	✓	✓	✓	✓	✓	✓	✓
Improving Educational Outcomes	✓	✓		✓	✓			✓
Increasing school attendance	✓	✓		✓	✓			✓
Decreasing the number of young people not in Education, Employment or Training	✓	✓	✓	✓	✓		✓	✓
Undertake a programme of Organisational Development	✓	✓	✓	✓	✓	✓	✓	✓

Our Outcome Agreement is aligned to the Welsh Government's *Programme for Government* and focuses on:-

- Supporting the economy and business
- Improving the quality of housing
- Ensuring people receive the help they need to live fulfilled lives
- Improving school attainment
- Improving the skills of young people and families

A summary of our progress in delivering these is contained in this Improvement Report and further details can be found on our website. [\(Insert link\)](#)

In March 2014 the Council agreed a Corporate Plan which set out the work of the Council for 2014/17. The details of our progress against our Improvement Objectives are contained within this Improvement Report.

We are also required under the Measure to assess our performance against the National Strategic Indicator (NSI) and Public Accountability Measures (PAM) data sets. These are set by the Welsh Government. Where these indicators and measures are relevant to the progress we have made against our Improvement Objectives and Outcome Agreement they are included in this Improvement Report. Our performance against the full range of NSI and PAM data sets is shown in the 'How We Measure Up' section.

Further detailed information about the current and future plans for the Council's contribution to public services in Cardiff is contained within a number of key documents including:-

- Establishing a Programme of Organisational Change for the City of Cardiff Council
- Corporate Plan 2014/17
- What Matters Integrated Partnership Strategy
- Directorate Delivery Plans
- Wales Audit Office Assessments under the Local Government (Wales) Measure 2009
- The Council's Outcome Agreement with the Welsh Government

This Improvement Report is available in English and Welsh online at [www.cardiff.gov.uk](http://www.cardiff.gov.uk), and in printed format from the Council's libraries.

Copies are available in braille on request.

Your feedback on the content and style of this Improvement Report is welcomed. Please send your comments to the Operational Manager, Improvement and Information, City of Cardiff Council, County Hall, Atlantic Wharf, Cardiff. CF10 4UW or email [improvementandinformation@cardiff.gov.uk](mailto:improvementandinformation@cardiff.gov.uk)

## Continuous Improvement

We have a duty to improve the services that we deliver under the Local Government (Wales) Measure 2009. We have reviewed and revised our approach to Performance Management and introduced a new Performance Management Framework which ensures that we discharge our obligations. The Framework aims to support the delivery of providing services to our citizens against a backdrop of increasing financial challenges. The Framework will help to develop a performance culture where open and honest debate about performance issues is the norm, and is used to drive focussed improvement. Our Framework is based on

- Directorate Delivery Plans that provide clear milestones and performance indicators against which the delivery of the Corporate Plan can be monitored.
- Aligned monitoring and reporting cycles for finance and service performance information to afford the Council greater visibility of its overall performance position;
- Performance Challenge sessions at Senior Management Team on a monthly basis;
- Joint Cabinet & Senior Management Team Performance Challenge meetings on a monthly basis;
- Scrutiny of performance information prior to formal Cabinet consideration;
- Accelerated Improvement Support – led by the Chief Executive - for targeted services, including Children’s Services and Education, utilising a mix of internal support and external peer support and challenge;
- A Challenge Forum which draws together senior Members and officers, together with external peer support, to test and challenge the Council’s progress against its improvement journey;
- An extensive staff engagement programme to raise awareness of, and involvement in, the improvement journey;
- A simplified Personal Performance Development & Review process and a focus on compliance.

## The Cardiff Debate

In partnership with Cardiff and Vale University Health Board, South Wales Police, and South Wales Fire and Rescue Service, we established the Cardiff Debate as a 3 year conversation with our citizens about the planning, prioritising and provision of public services in Cardiff. The Cardiff Debate was established so that the Council can engage with communities to listen to ideas and opinions on the future operations of Council services so that we can respond effectively to budget reductions whilst continuing to deliver high quality services.

Our consultation programme has consisted of:

- **On-street Engagement** – We visited 37 different locations including leisure centres, shopping centres, community buildings and local community events. Opportunities were provided to all areas with at least one event held in every electoral division of the city.
- **Drop-in Community Workshops** – We held ‘drop in’ workshops in each of our Neighbourhood Partnership areas across the City with staff from the City of Cardiff Council as well as colleagues from Cardiff and Vale University Health Board and South Wales Police.
- **Social Media Strategy** – Since the end of June 2014 we have utilised Social Media to maximise awareness of the Cardiff Debate programme. We set up both Facebook and Twitter accounts dedicated to the Cardiff Debate with daily updates detailing the challenges faced by public services in the city, updates on how and where the public can participate in the debate and feedback from the events held to date. The Cardiff Debate currently has 346 likes on Facebook and 1,104 Twitter followers. Additionally, in September 2014 we launched a dedicated Cardiff Debate website [www.cardiffdebate.co.uk](http://www.cardiffdebate.co.uk)
- **Online Consultation** – We adapted our engagement activities into an electronic format and made available bilingually online
- **Community Venues** – Postcards and drop boxes were left at hubs, libraries and leisure centres across the city which invited citizens to have their say on the services that matter most to them and their family.
- **Ask Cardiff Survey** – The annual Ask Cardiff Survey was distributed in August and September 2014 and a total of 2,972 completed questionnaires were received.

Over 6,600 votes were cast to identify public service priorities with **Health Services**, **Education & Skills** and **Keeping Children Safe** identified as the areas of overall highest concern.

Engagement through the Cardiff Debate has resulted in a number of learning outcomes and the opportunity to participate in a conversation has been hugely welcomed by our citizens.

## Organisational Development

In May 2014, the Cabinet established an Organisational Development Programme as a comprehensive response to a range of critical challenges, including the marked deterioration of the Council’s financial position, demand-led pressures on services, and the inadequate performance of a number of statutory services.

Our Organisational Development Programme has brought together the key change projects that will help us to deliver more efficient council services and improve performance outcomes. The scope and scale of the programme reflects the need for us to move rapidly to a new model of service delivery that enables the effective management of current and

future demand with vastly reduced resources. We also acknowledge the need to develop strong relationships with our partners in the context of local government reorganisation.

Our Programme aims to ensure that services are designed on the basis of a real understanding of customer demand, and informed by business intelligence from across the Council and our partner organisations.

The key features of the new organisational model will be

- the implementation of new technology in a standardised way to maximise investment return and reduce unnecessary variation in the handling, quality and cost of service provision
- a shift to online routine customer transactions which helps us move to being 'digital by default'

In this new model, services will be defined as either "Universal" or "Gateway".

- Universal services are those that are relevant to every citizen, such as waste collection, highway maintenance and a range of payment services
- Gateway services are only available to individuals on the basis of an assessment of need

Our services will be designed around the needs of our citizens and by implementing this new model we will be able to target our diminishing resources on the most complex cases, and those with the greatest need.

## **'What Matters' – The 10 Year Strategy for Cardiff**

Delivery against the What Matters Outcomes has continued in 2014/15. An Annual Report for 2013/14 was produced in May 2014 detailing progress and the Report for 2014/15 will be prepared following 31<sup>st</sup> March 2015.

As part of the mid-term review of the 10 year Strategy, the Partnership has commenced a refresh of the Strategic Needs Assessment and Strategy for completion by autumn 2015. The refresh will review the changing policy context and priorities in light of the changed economic environment and also reflect future requirements of the Wellbeing of Future Generations Bill.

To inform the refresh, work has also been undertaken with the existing Partnership Programmes to review priorities and at the meeting of the Cardiff Partnership Board on 5<sup>th</sup> February, it was agreed that there should also be alignment of delivery arrangements with the Council's Organisational Development Programme where relevant.

The Neighbourhood White Paper has been implemented in 2014/15 including the establishment of the Lead Elected member role for the 6 Neighbourhood Partnership and the delivery of the Neighbourhood Fund.

Neighbourhood delivery also continues to shape the new model of public services in Cardiff and this is reflected by its inclusion in Council's Organisational Development Programme – Reshaping Service Services Portfolio and a new Neighbourhood Infrastructure Service Pilot being undertaken.

In 2014, the Cardiff Partnership Leadership group was replaced by the Joint Cardiff & Vale of Glamorgan Local Service Board (agreed by Cabinet on 10<sup>th</sup> April 2014) and there have been 3 meetings to date. A joint work programme has been agreed and is being progressed which aligns with both the What Matters Strategy and the Council's Corporate Plan.

The Council's new Corporate Plan for 2015-17 sets out a clear vision to be "Europe's most liveable Capital City" based on delivering the What Matters 7 strategic outcomes. There is also a greater focus on a smaller number of priorities and review of performance measures.

Further information on 'What Matters', including the annual review, quarterly Neighbourhood Intelligence Reports and updates on the Partnership Programmes can be found at [www.cardiffpartnership.co.uk](http://www.cardiffpartnership.co.uk).

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## **‘Everyone Matters’- Equalities**

The Equality Act 2010 places a duty upon Local Authorities to consider all groups when carrying out their day to day work – in shaping policy, in delivering services and in relation to their own employees. It requires public bodies to have due regard to the need to eliminate discrimination, advance equality of opportunity, and foster good relations between different groups when carrying out their activities.

In response to the Equality Act, the City of Cardiff Council published its Strategic Equality Plan, ‘Everyone Matters’ in April 2012. This is a four year plan that outlines our commitment to reducing inequalities and sets out our key priorities for 2012-16 through a series of strategic equality objectives. ‘Everyone Matters’ links directly to ‘What Matters’, to ensure a consistent approach is adopted to addressing inequalities in Cardiff and that our equality work is targeted at the areas of highest need for the City. During 2015/16 the Council will engage on proposals towards its second Strategic Equality Plan, which will be published by 31 March 2016.

Public authorities are required to produce a Strategic Equality Plan Annual Report by 31 March each year, setting out the steps we have taken to identify and collect relevant information, how we have used this information and evaluating the effectiveness of the steps we have taken to fulfil our equality objectives. More information is available at [www.cardiff.gov.uk/equality](http://www.cardiff.gov.uk/equality).

We have undertaken extensive engagement, consultation and involvement activities throughout 2014/15 to ensure that citizens have the opportunity to participate in and influence the design of services. Additionally, we have undertaken considerable engagement with protected groups through our Access Focus Group, Cardiff Youth Council and 50+ Forums, and have engaged extensively on our budget priorities through the Cardiff Debate. We also have well established employee equality networks around gender, race, disability and sexual orientation.

## **Sustainability**

To tackle sustainability issues and opportunities we need to consider the social, environmental and economic implications of our decisions. To achieve sustainable development, we work to ensure that economic activity works towards social progress, and that this is within environmental limits. We have produced a One Planet Cardiff strategy that sets out our vision for a sustainable One Planet Cardiff, focusing on key impact areas of energy, waste, transport, food, water, place and people and the socio-economic benefits of these areas. We use the One Planet Cardiff branding in our promotion of sustainable development issues and held a One Planet Cardiff Schools Challenge during June 2014.

The Welsh Government Well-Being of Future Generations Bill, which was introduced to the Assembly on 7 July 2014 and comes into force in 2016, sets out the requirements for consideration and delivery of sustainable development in the public sector in Wales. We



have been working with the WLGA as an 'early adopter' of the Bill since summer 2014, with this work focusing on corporate and community planning requirements.

Cardiff Council is a signatory of the Sustainable Development Charter committing the Authority to making decisions that produce the best long term outcomes for themselves and for the future of Wales.

We maintained corporate registration to Level 3 of the Green Dragon Environmental Standard in November 2014, following accreditation to level 2 in 2008 and level 1 in 2005. Achieving Level 3 demonstrates that we understand our environmental responsibilities and can demonstrate legal compliance with applicable environmental legislation, and that we are monitoring and managing our environmental performance and measuring our carbon emissions. Additionally three sites achieved Level 4 of the Standard: Thornhill Crematorium & Cemetery, Storey Arms Outdoor Education Centre, and Bute Park Administrative Building.

Cardiff has been selected as one of six cities in the UK to share in one million pounds of funding to be invested in improving food culture and support its efforts to become a Sustainable Food City. This has enabled the appointment of a dedicated Food City Coordinator, co-hosted by the Council and Public Health Wales, who is working on the development and delivery of Cardiff's Sustainable Food Action Plan. In March 2015 Cardiff was awarded a Bronze Sustainable Food Cities award recognising the city's pioneering work on promoting healthy and sustainable food.

## **Scrutiny in Cardiff**

Scrutiny is an integral part of the Wales Programme for Improvement, and its challenge is designed to support the Cabinet in making available a range of accessible, efficient and effective services for citizens. Cardiff has undertaken work in 2014/15 to maintain the authority's "best in class" reputation as an authority that takes scrutiny seriously, and which has been rewarded with national honours for the quality of its scrutiny work – most recently in 2014 when short-listed in the Centre for Public Scrutiny's "Good Scrutiny" awards.

Each of the Council's five scrutiny committees carried out work to support each of the key themes of the Corporate Plan. Underpinning these were a programme of co-ordinated and consistent scrutiny of Service Area Business Plans, Directorate Budget Briefings and regular performance monitoring. The extensive efforts invested in detailed scrutiny of the Cabinet's draft 2015/17 Corporate Plan and draft Budget Proposals for 2015/16 in February 2015 presented many opportunities for reviewing past financial and service performance, and previewing monitoring arrangements for 2015/16 by the relevant Scrutiny Committee(s). The Estyn Monitoring visit of March 2015 similarly enabled an intensive focus and review of the scrutiny of schools performance.

Much of the Council's scrutiny work in 2014/15 has been linked with the authority's significant new Programme of Organisational Change. Policy Review and Performance Scrutiny Committee has in particular paid close attention to work being developed through this Programme's five sub programmes, and initiated a number of intensive performance reviews on themes identified as priorities by Members. This performance review work has

been reinforced by other Committees, notably Children and Young People which has demonstrated a close interest in “Schools Causing Concern”, School Governor Services, Corporate Parenting and Social Work Referrals.

Another key feature for 2014/15 has been supporting the Council’s service redesign agenda. Environmental Scrutiny has been at the forefront of steps to identify the most appropriate options for alternative delivery of outdoor services, while Economy and Culture Scrutiny Committee has scrutinised several stages of the of alternative models of leisure and cultural service management. Community and Adult Services Scrutiny Committee have undertaken review of the major change proposals being advanced in Health and Social Care delivery.

Each Committee has undertaken scrutiny of the growing range of collaborative delivery models and partnership activity, whether through individual activities such as the South East Wales Regulatory Collaboration Project, or South Central Wales Education Consortium, or through the multi-agency Cardiff Partnership Board – to hold to account the Council and its key strategic partners for the work it is undertaking through its ‘What Matters’ Single Integrated Plan.

### **Improving Scrutiny for the Future**

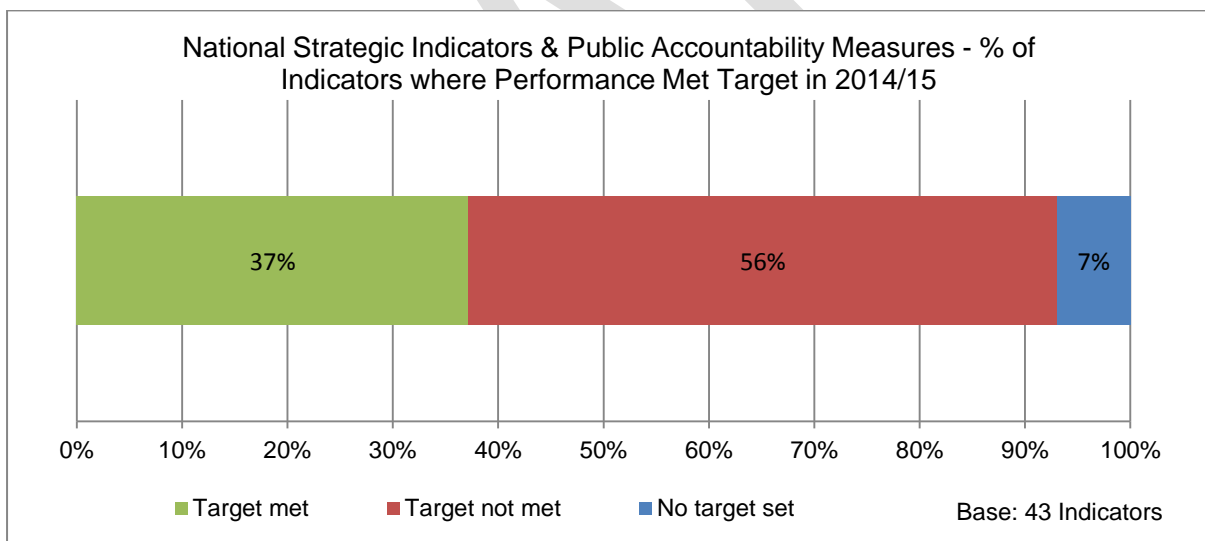
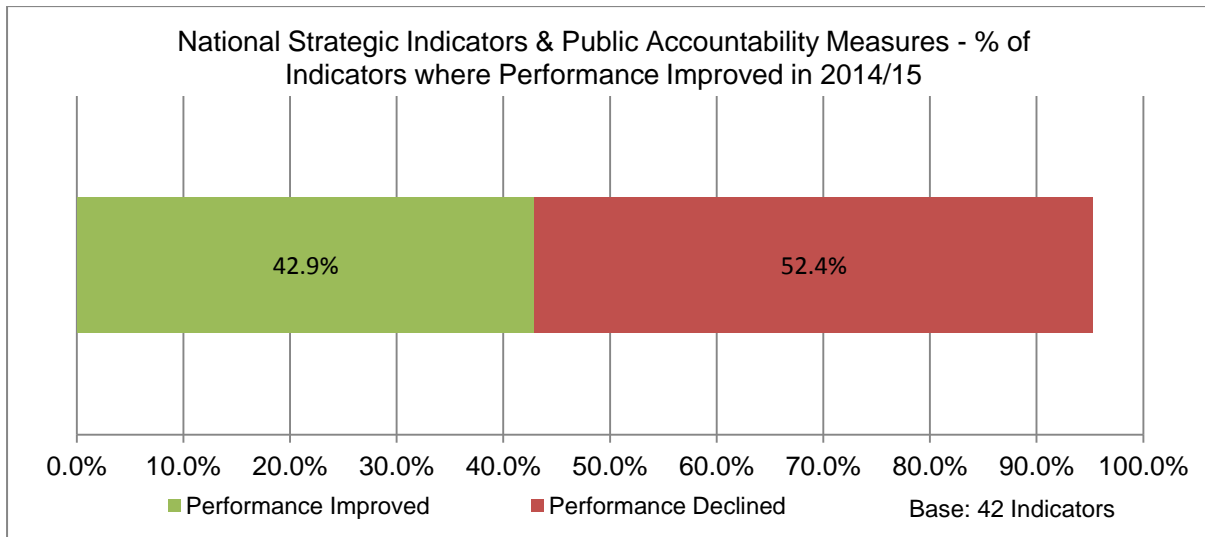
Spinning out of Cardiff’s participation in the Wales Audit Office’ 2013 ‘Improving Scrutiny Study’, Cardiff will finalise and publish in 2015/16 a Scrutiny Improvement Plan as an outcome of the Study. Cardiff has secured the support of the Centre for Public Scrutiny for this Plan, and Cardiff has been included as one of nine case studies supported by CfPS in a nationwide study illustrating the role of scrutiny in supporting organisational transformation.

The Council’s five scrutiny committee chairs are spearheading the Plan, which will publish its findings in the summer of 2015, and which will include a variety of new protocols to maintain the freshness, effectiveness and relevance of scrutiny processes and outcomes.

The Council’s Scrutiny Research Team secured funding this year from the Welsh Government Scrutiny Development Fund to undertake a detailed study of how the work of external auditors, inspectors and regulators (AIRs) and local government scrutiny functions across Wales can complement and build on each other’s work. This involved working closely through the year with managers from Wales Audit Office, Estyn and the Care and Social Services Inspectorate for Wales, and culminated in the successful management of a major national scrutiny conference called Many Hands, which brought together in March 2015 AIRs and scrutiny Members and officers for the first such detailed public discussion of this fruitful and important agenda. It is intended that this work will lead to the publication in 2015/16 of a toolkit to optimise relations and outcomes by both scrutiny and the three AIRs bodies.

## Summary of Our Performance in 2014/15

Each year the Welsh Government and Data Unit Wales publish local authority performance for a number of services that we provide. This allows us to compare our performance against that of other local authorities in Wales. This section summarises how our performance in 2013/14 compared to results from the previous year.

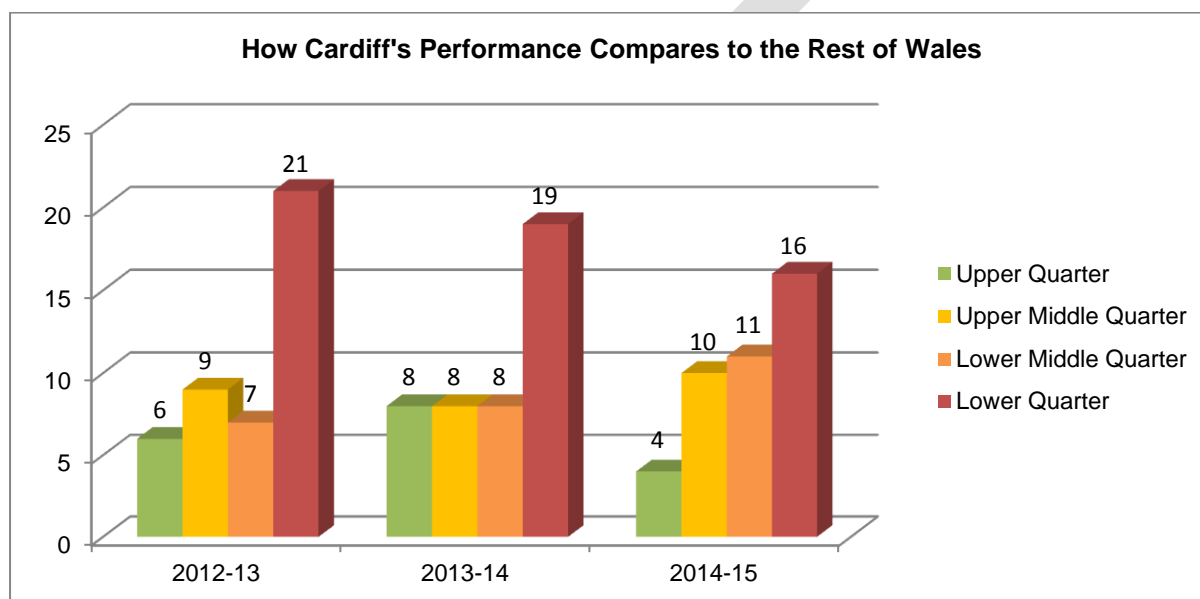


## Our performance relative to other parts of Wales

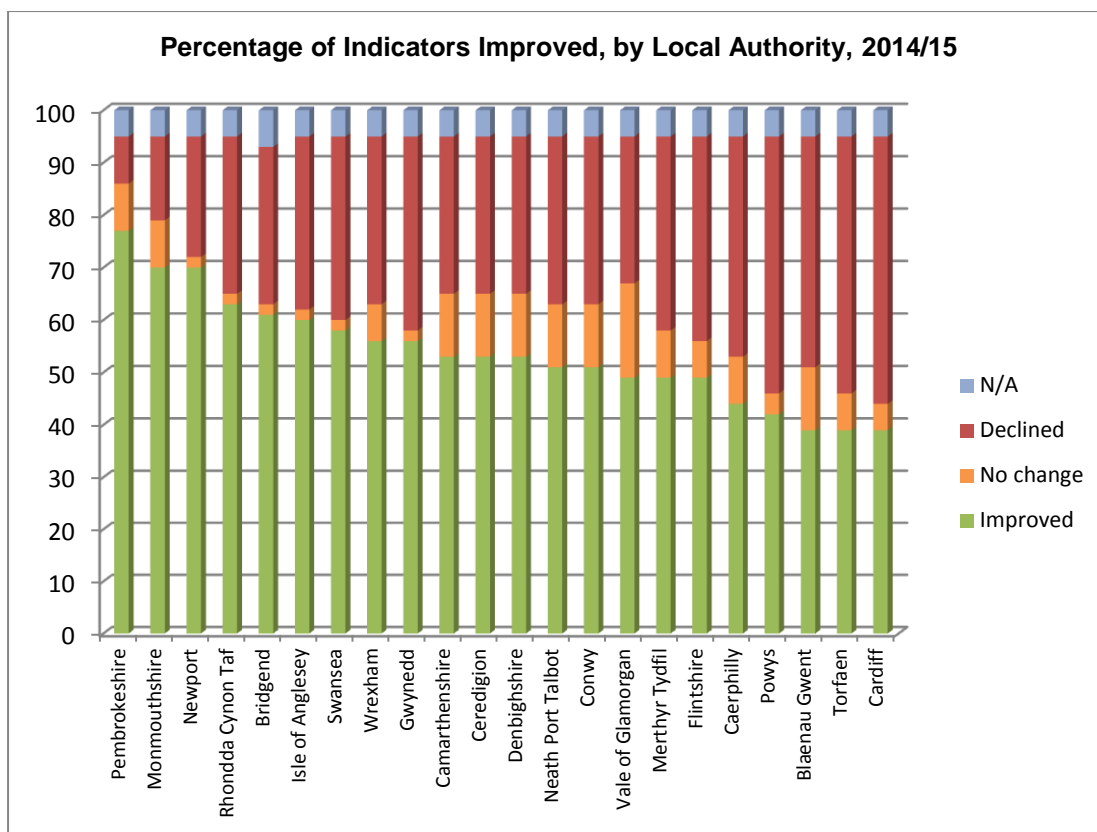
In 2014/15 for the 41 indicators for which comparable information was available for other parts of Wales.

4 were within the upper quarter  
21 were within the middle quarters  
16 were within the lower quarter

The following chart shows the percentage of indicators in each quarter for the years 2012/13, 2013/14 and 2014/15.



Although nearly half of our indicators are in the lower quarter when compared across Wales 7% of our indicators improved both in the result and in their quarter position, and a further 34% of our indicators showed improved performance compared to the previous year but remained in the same quarter or dropped to a lower quarter.



In 2014/15 39% of our National Strategic Indicators (NSI) and Performance Accountability Measures (PAMs) showed improved performance and 51% showed a decline in performance. This places us at 22<sup>nd</sup> when compared to the other 21 Local Authorities across Wales.

Performance against a proportion of indicators was below target and behind performance across Wales. We recognise that performance is not as good as it needs to be and we have identified that our areas of weakness in performance lie primarily within our Social Services Directorate who will build upon work already undertaken to seek improvements in 2015/16 and in the future. During 2014/15 Social Services focussed on improving performance in relation to indicators that have the greatest significance for safe and effective practice concerning children. Those selected for this focus are based on guidance agreed between the Association of Directors of Social Services (ADSS), the Care & Social Services Inspectorate, Wales (CSSIW) and the Welsh Local Government Association (WLGA). It is our intention to focus on the National Performance Indicators when further improvement in relation to those agreed by the ADSS, CSSIW and WLGA is more secure. The stronger strategic focus that has characterised the Directorate's work in 2014-15 will provide a basis for improving performance against NSIs and PAMs.

***Our four best performing indicators against the rest of Wales are as follows:***

<b>Reference/Title</b>	<b>Cardiff Rank 2014/15</b>	<b>Cardiff Difference in Rank Compared to 2013/14</b>
LCL/001(b): The number of visits to Public Libraries during the year, per 1,000 population	1	Maintained
EDU/015b: The percentage of final statements of special education need issued within 26 weeks excluding exceptions	1*	Maintained
PLA/006(b): The number of additional affordable housing units provided during the year as a percentage of all additional housing units provided during the year	1	Improved by 1
THS/007: The percentage of adults aged 60+ who hold a concessionary bus pass	1	Improved by 1

\* Joint ranking of 1 with other local authorities for EDU/015b

As has been the case in previous years Cardiff's libraries are the most visited libraries in Wales. We have also maintained our rank position in relation to statements of Special Education Need issued within 26 weeks and have maintained our performance at 100%. We have improved our rank position to first place in relation to the number of additional affordable housing units provided and maintained our performance at 93%. The % of adults aged 60+ who hold a concessionary bus pass has improved to 100% in 2014/15 when compared to 95.3% in 2013/14.

***Indicators where we rank lowest against the rest of Wales:***

<b>Reference/Title</b>	<b>Cardiff Rank 2014/15</b>	<b>Cardiff Difference in Rank Compared to 2013/14</b>
STS/005b: The percentage of highways inspected of a high or acceptable standard of cleanliness	22	Decreased by 5
SCC/041a: The percentage of eligible, relevant and former relevant children that have pathway plans as required	22	Maintained
SCC/011a: The percentage of initial assessments that were completed during the year where there is evidence that the child has been seen by the Social Worker	22	Maintained
SCC/011b: The percentage of initial assessments that were completed during the year where there is evidence that the child has been seen alone by the Social Worker	22	Decreased by 2
SCC/045: The percentage of reviews of looked after children, children on the Child Protection Register and children in need carried out in line with the statutory timetable	22	Maintained

Our result for the percentage of highways inspected of a high or acceptable standard of cleanliness has declined in performance by 7 percentage points and we have revised our Environmental Management survey process.

Our percentage of eligible, relevant and former relevant children that have pathway plans as required declined in performance by 2.7 percentage points. We established additional Personal Advisor posts to secure significant improvement in the completion of pathway plans. The full benefits of these improvements have not been realised in 2014/15 but we expect to see improved performance in 2015/16.

Our percentage of initial assessments completed during the year where there is evidence that the child has been seen by a social worker declined by 6.2 percentage points. Furthermore, our percentage of initial assessments completed during the year where there is evidence that the child has been seen alone by a social worker declined in performance by 5 percentage points. In keeping with the Munro report and the Social Services Wellbeing (Wales) Act 2014, there has been a significant drive to empower social workers and managers to undertake a proportionate assessment at the point of referral. In some cases an initial referral is not necessary as the case may proceed directly to an investigation, a core assessment or the case may be closed with no further action required.

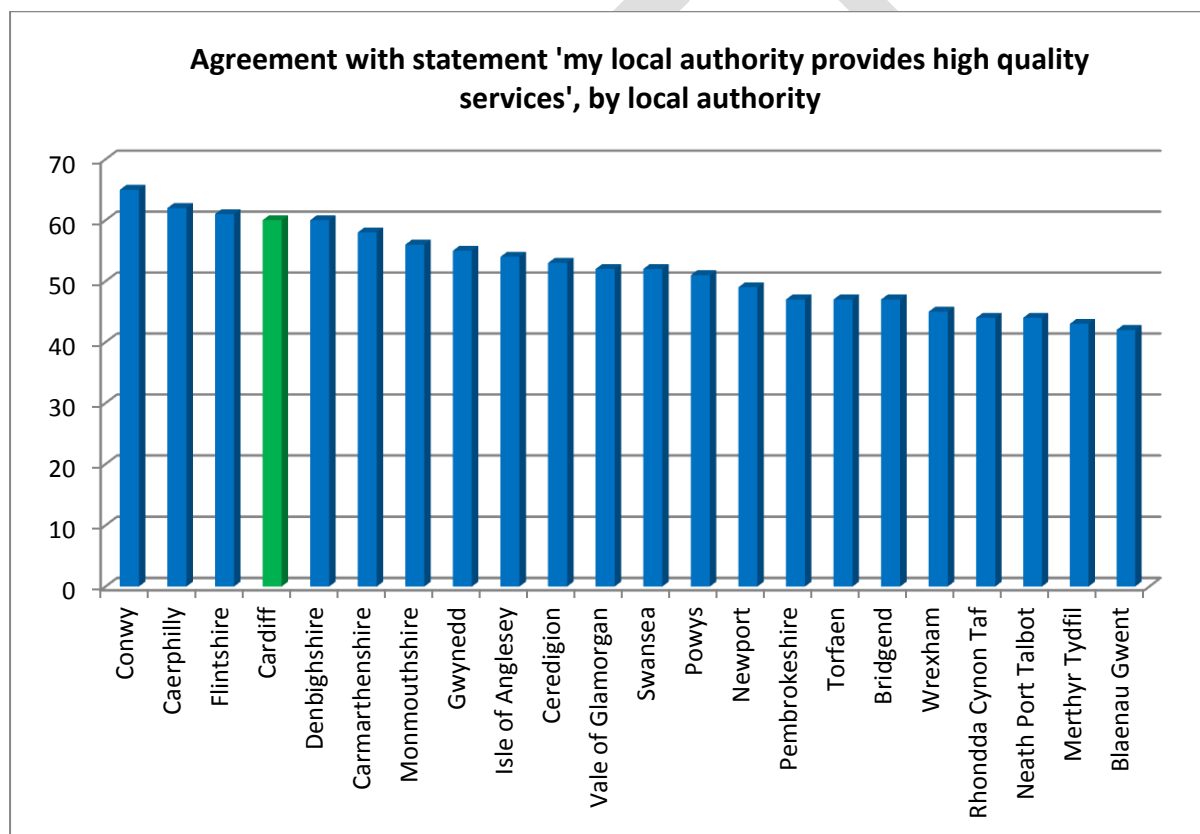
The percentage of reviews carried out in line with the statutory timetable declined in performance by 8.4 percentage points and we accept that a significant piece of work is required to be undertaken.

## What are our Residents' Perceptions?

The **National Survey for Wales** is a large-scale survey of adults in Wales, conducted annually by the Welsh Government. The results are used by the Welsh Government to help make Wales a better place to live. A representative sample of over 14,000 people across Wales were asked about a wide range of issues affecting them and their local area, including their perception of their Local Authority's services. The survey covers a range of topics with a focus on well being and people's views on public services. The topics change slightly each year.

The results shown below are from the latest National Survey for Wales, based on interviews carried out between 1 April 2014 and 31 March 2015.

More information about the survey can be found on the StatsWales [website](#).

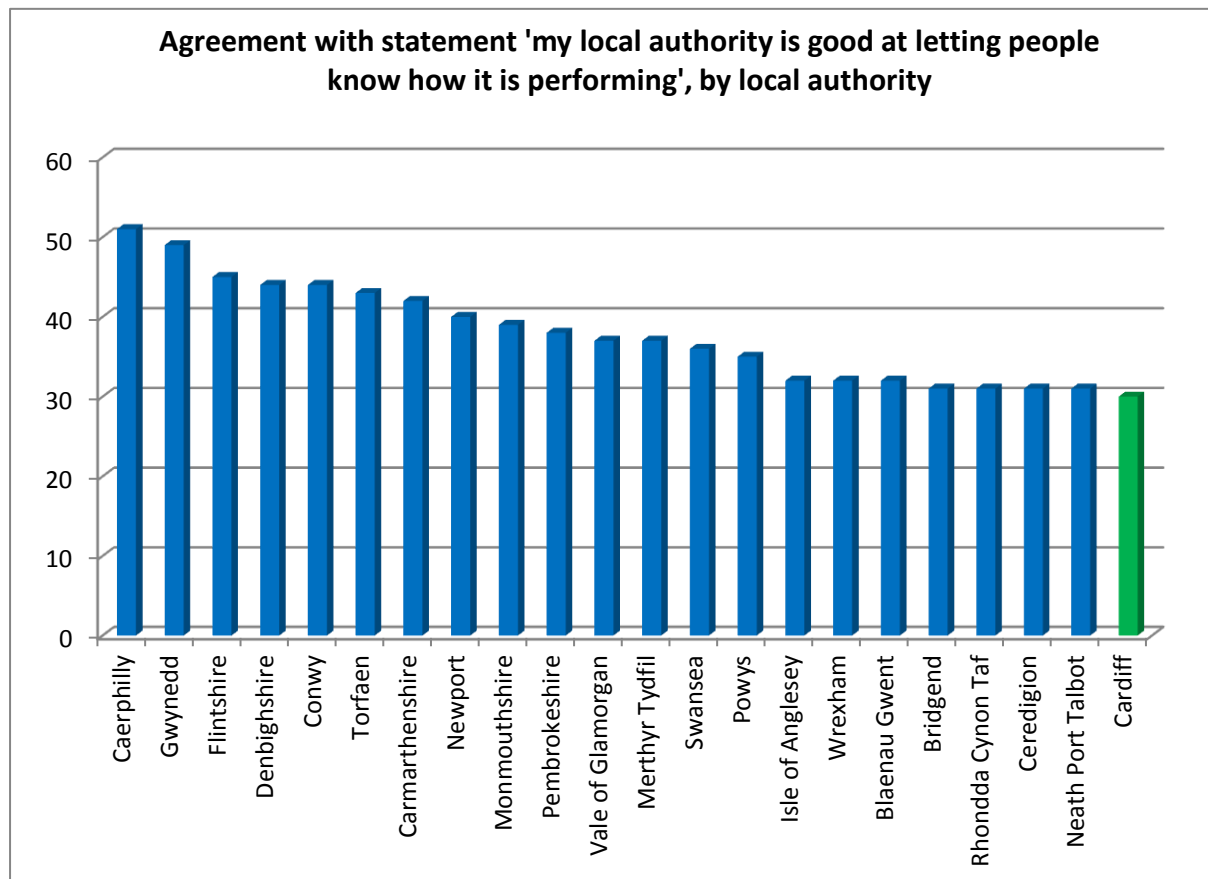


In 2014/15 60% of our residents agreed that we provide high quality services, a decline in result to the previous year (65%). This places Cardiff in fourth position when ranked against the other Welsh authorities.



Only 30% of residents questioned rated us as good at letting them know how we are performing, an area that we would hope to see improve in the future. In 2014/15 we carried out a series of public engagement events while working on developing our Corporate Plan 2015-17.

The Corporate Plan 2015-2017 and relevant supporting documents have been published on the Council’s website and provided to partner organisations who are part of the Cardiff Partnership arrangements.



## Best City to Live

In 2014 Cardiff was named as the best city to live in relation to quality of life. Cardiff beat London, Manchester and Liverpool in a survey of the UK's 12 biggest cities. A range of key economic indicators such as house price, growth and rental costs, salaries and disposable income growth, living costs, unemployment rates and 'life satisfaction' were all measured. The poll found that people in Cardiff were happier due to lower costs of living and unemployment as well as above average incomes. Cardiff residents were found to have the lowest average living costs and one of the lowest unemployment rates.

City	2013 Rank	2014 Rank
Cardiff	3	1
Belfast	8	2
Bradford	12	3
London	7	4
Bristol	1	5
Leeds	5	6
Edinburgh	2	7
Manchester	6	8
Sheffield	11	9
Glasgow	9	10
Liverpool	4	11
Birmingham	10	12

\*Source: MoneySuperMarket – UK Cities: Quality of Living Index

## Delivering the Corporate Plan 2014-17

Throughout the year we monitored the delivery of the actions contained within our 2014-17 Corporate Plan and detailed progress is contained within this report.

We use the following symbols against each of the actions to display whether we feel we have achieved what we set out to do:

✓ - The action has been completed

✘ - The action has not been completed

~ - The action is in progress

Progress against the Corporate Plan Actions	✓	✘	~	Total number of actions
Developing our organisation	3	0	0	3
Finance & Economic Development	5	0	4	9
Education & Lifelong Learning	12	0	1	13
Communities, Housing & Neighbourhood Renewal	6	0	1	7
Children's Services	2	2	2	6
Health & Social Care	5	0	0	5
Environment	6	0	1	7
Strategic Planning & Transport	8	1	3	12
Sport, Leisure & Culture	10	0	1	11
<b>Total</b>	<b>57</b>	<b>3</b>	<b>13</b>	<b>73</b>

## Delivering the Corporate Plan 2014-17

Progress against the indicators we used to measure success	Total indicators that improved performance	Total indicators that declined performance	Total indicators that remained static	Total indicators that met target	Total indicators where no target set	Total number of indicators
Developing our organisation	2	0	0	0	0	2
Finance & Economic Development	7	0	0	3	1	8
Education & Lifelong Learning	8	1	0	4	3	9
Communities, Housing & Neighbourhood Renewal	2	2	0	0	4	4
Children's Services	4	4	1	3	0	9
Health & Social Care	2	3	0	2	1	5
Environment	2	1	0	2	0	6
Strategic Planning & Transport	0	3	0	0	0	3
Sport, Leisure & Culture	1	1	0	2	0	3


**Wales Average** – Where available we use the Wales Average to compare our performance against the rest of Wales.

**Target Not Set**– It is not always deemed appropriate for us to set a target against a specific performance measure

## Developing our Organisation

Like all Councils across Wales and the UK we continue to face financial pressures in the context of a growing population and a greater demand for our services. To help us to respond to these pressures we committed to developing an Organisational Development Plan to provide a detailed map of the changes required to ensure the sustainability of services. We identified the development and support of our workforce as an important element to ensure continued effective service delivery.

What we said we would do in 2014/15:

<b>Action: OP1 Reduce levels of sickness absence through increased monitoring and support for staff and management</b>	
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Our levels of sickness absence reduced with 10.11 days lost per Full Time Equivalent (FTE) which is the lowest level of sickness absence the Council has ever achieved. We did not meet our target, however, we have rolled out further support across two of our Directorates to provide improved focus for managers and the relevant management teams on the principles of our Attendance and Wellbeing policy.

<b>Action: OP2 Develop a new Communications Strategy</b>	
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A new communications strategy was agreed in September 2014. Since then our Communications team has overseen a strong growth of over 5000 Twitter followers over the course of the year. We also held a range of employee engagement events to help shape the workings of the Council, including simplifying the Personal Performance and Development Review process, helping to create the Council's Co-operative values and shaping the Employee Charter, Communication and Engagement Strategy. Moving forward the Council will aim to place emphasis on creating digital-rich content, using social media to help deliver the Council's communications to the citizens of Cardiff.

<b>Action: OP3 Ensure that all Council staff complete a personal performance &amp; development review</b>	
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Managers across the Council are required to complete Personal Performance and Development Reviews with their staff. During the year we reviewed a sample of PPDR's and have initially identified two areas for improvement. One around setting development objectives and the other relating to identifying the training needs of our staff. As a result we have established the Cardiff Manager Programme in conjunction with CAVC and Welsh

Government funding, where 350 managers across the Council have been provided with the opportunity to develop their skills and knowledge.

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### Progress against the indicators we used to measure success

Reference	Performance Measure	2013/14 Result	2014/15 Result	2014/15 Target	Target achieved	Wales Average	Performance improved or declined ↑ / ↓
OP A	Reduce levels of sickness absence	10.18	10.11	9	No	N/A	↑
<p>Whilst we did not reach our target, the number of working days lost per Full Time Equivalent (FTE) employee due to sickness absence is the lowest level the Council has achieved. We continue to monitor and manage sickness absence across the Council through our Attendance and Well-Being policy.</p>							
OP B	Improved Personal Performance & development framework	85%	89%	90%	No	N/A	↑

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# Finance & Economic Development

## What do we want?

We want to increase the number and quality of jobs in the city economy and to improve business infrastructure by establishing Cardiff as a digital city, which are both essential to our aim of improving the quality of life for our citizens. As a council we are committed to working with our partners to help create the conditions that enable businesses to succeed in Cardiff. We also need to ensure that as a Council we respond to the demands of reduced budgetary pressures through the redesign of our services to meet our financial and governance requirements.

## What have we achieved during 2014/15;

- We worked with partners to facilitate the development of a masterplan for Central Square and agreed with stakeholders proposals for a new Bus Station. Construction on site has begun with 135 sq ft of grade A office space in plot 1 and planning has been approved for a further 180 sq ft of grade A office space at plot 2
- We delivered the Super Connected Cities programme involving the installation of free Wifi across the City Centre and Cardiff Bay. We installed free Wifi to 150 public buildings in the city and on 221 Cardiff Buses. We also helped 785 businesses to benefit from improved broadband provision
- We worked with partners to secure 250 new jobs in the Enterprise Zone
- We commenced development of the new state of the art Ice Arena within the International Sports Village

What we said we would do in 2014/15:

<b>Action: F&amp;ED1 Appoint a partner to begin the development of a multi purpose arena in 2014</b>	~
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Significant progress has been made in 2014/15 to unlock the Multi-purpose Arena and a report will be presented to the Council's Cabinet in the autumn of 2015 which sets out the delivery plan. Over the course of 2014/15 the focus has been on securing the preferred location and identifying a means of funding the full costs of the project.



**Action: F&ED2 Facilitate the start of the development of Central Square in 2014**



Planning permission and construction has commenced on Building One. Outline planning permission was also secured for Building Two and progress has been made to secure an occupier, we also have initiated a procurement process for a new transport interchange building.

**Action: F&ED3 Deliver with partners 200,000 square feet of Grade A office accommodation in the Cardiff Enterprise Zone by 2016**



We have already exceeded our plan as over a two year period the Council has worked with partners to take forward circa 345,000 sq ft of Grade A office accommodation in the Enterprise Zone.

**Action: F&ED4 Agree with partners a plan for the redevelopment of the Coal Exchange by the end of 2014**



We do not own the Coal Exchange building. However, given its significant importance as a heritage asset and its deteriorated state, we have worked proactively with a range of stakeholders to agree a sustainable future for the building. This has been achieved by working with Welsh Government to undertake a Conservation Management Plan to understand the key parts of the building that would need to be retained by any redevelopment proposal. A number of potential schemes have been appraised, and we have promoted the opportunity to redevelop the Coal Exchange to a number of potential developers and investors across the UK. By working with relevant stakeholders, it is anticipated that a fully costed proposal for the redevelopment of the building will be brought forward in 2015.

**Action: F&ED5 Deliver the Super Connected City programme by March 2015**



We successfully delivered the Super Connected City programme to provide greater and easier access to online services whilst on the move and in public places and faster broadband to business premises.

<b>Action: F&amp;ED6 Complete the development of the new ice rink and residential development in the International Sports Village by 2016</b>	~
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The International Sports Village project is progressing well with the first phase housing under construction and with the Ice Arena due for completion at the end of this calendar year.

<b>Action: F&amp;ED7 Attract 1,000 members to the Cardiff Business Council and secure more that £250,000 of private sector funding, per annum, by 2016</b>	~
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The Cardiff Business Council (CBC) was officially launched in May 2014 to represent the interests of local businesses and to promote Cardiff as a destination for business and tourism. To date the Cardiff Business Council has secured 120 members and was conceived as a free of charge membership organisation that would be available to all rate paying businesses in Cardiff. The take-up of membership on this basis has been limited and the Council has recently embarked upon a review of the membership approach, its scope and remit in the context of our proposed budget cuts and the emerging opportunity of City Deal from Central Government.

The target of £250,000 of funding was achieved through partners in the form of financial contributions or payments in kind.

<b>Action: F&amp;ED8 Provide professional and technical support for all directorates in introducing new ways of working from 2014 onwards</b>	✓
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Reducing budgets means we have had to look at providing services differently whilst continuing to meet the needs of our citizens. To assist with this, and as part of the Council's Strategic Commissioning approach, we have developed Service Review and Alternative Delivery Model (ADM) methodologies and supporting Toolkits. The Service Reviews have already been the catalyst for driving in house service improvements, as well as assessing whether there is the requirement to further consider the potential of an ADM option.

We have laid the foundations for significant changes to be made to the way we interact with customers through a Customer Relationship Management system; this will provide a single method and more efficient way of managing the council's interactions with current and future customers. The initial stage will see the transfer of existing services onto the Customer Relationship Management systems with additional services being brought online to achieve a single more joined up method of interaction.

<b>Action: F&amp;ED9 Improve Council Tax online payment and account management services for people in Cardiff to maximise collection rate by the end of 2014</b>	
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We made it easier for our customers to pay their Council tax by introducing the ability to set up direct debits online, and for customers to apply for single persons discount and disablement relief. This has started to create a channel shift in relation to how customers access our services and since the launch of the online direct debit form 5932 direct debits were completed online. We now have 8600 customers paying by direct debit.

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## Progress against the indicators we used to measure success

Reference	Performance Measure	2013/14 Result	2014/15 Result	2014/15 Target	Target achieved	Wales Average	Performance improved or declined ↑ / ↓
F&ED A	Net job growth in Cardiff (Source ONS)	209,000 (Oct 2012 – Sep 2013)	218,200 (Oct 2013- Sep 2014)	+2,000	Yes	N/A	↑
	Net job growth has continued to increase year on year, with a 4.4% increase in annual employment. Though the Council is not solely responsible for job growth in Cardiff we continued to support existing and start-up businesses as well as a proactive approach to securing inward investment. As a result of Council support to businesses 2,395 jobs have been created or safeguarded in Cardiff which is a clear improvement against 1036 in the previous financial year.						
F &ED B	Business start up rates	50 (2012)	70 (2013)	50	Yes	N/A	↑
	Significant increase in business start-up rates, with a 40% rise over the course of the previous year of analysis.						
F&ED C	Staying visitors (Source STEAM)	1,914,700	1,959,100 (2.5%)	+2%	Yes	N/A	↑
	The number of visitors who stay in the city overnight continues to increase, along with a 3% increase in tourist related spend						
F&ED D	GVA per capita	97.6%	98.3%	100% (UK Average)	No	N/A	↑
	Gross Value Added (GVA) represents an economic measure of the value of goods and services provided in an area, industry or sector of the economy. These incomes are then used to cover the expenses of a business e.g. staff salaries. Cardiff is now less than 2% below the UK average (includes Vale of Glamorgan in the analysis)						
F&ED E	Superfast broadband penetration	93%	97%	100% of homes and businesses in Cardiff by 2016	100% by 2016	N/A	↑
F &ED F	Unemployment (Source ONS)	3.9% (Feb 2014)	2.9% (Feb 2015)	Below Wales Average	No	2.6%	↑
F&ED G	Qualifications on Cardiff accounts				No target set	N/A	
F&ED H	Council Tax collection rates	96.35%	97.03%	No target set	N/A	N/A	↑
	We have improved the collection of council tax in 2014/15 compared to the previous financial year. This result represents our best in-year collection record since the introduction of Council Tax in 1993. We have attributed this to the success of our improvements to internal processes.						

# Education & Lifelong Learning

## What do we want?

We want to deliver improved outcomes through high quality education provision in Cardiff. We aim to achieve this by improving educational outcomes for pupils in Cardiff schools, increasing school attendance and decreasing the number of young people in Cardiff who are not in Education, Employment or Training.

## What have we achieved during 2014/15:

- We improved performance in attendance at both Primary and Secondary Schools and exceeded the targets that we set ourselves
- We continued to embed the Vulnerability Assessment Profile tool to identify those pupils at risk of disengagement from Education, Employment or Training and our numbers of young people who are not in Education, Employment or Training has decreased
- We have increased the number of young people in Cardiff Schools who have achieved a GCSE grade A\*-C in English, Welsh and Mathematics

## What we said we would do in 2014/15\*:

\*This refers to the academic year 2013/14

<b>Action: E&amp;LL1 Establish a schools-led Improvement Strategy by April 2014</b>	
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In partnership with the Central South Consortium we launched the schools led improvement strategy, 'The Central South Wales Challenge' in January 2014.

<b>Action: E&amp;LL2 Deliver an action plan to increase levels of Employment, Training and Education in Cardiff by September 2014</b>	
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In line with our Youth Engagement and Progression Action Plan we continued to embed the Vulnerability Assessment Profile tool (VAP) across schools in Cardiff to identify pupils in years 8 to 11 who are at risk of disengaging from education and to ensure that the correct support is in place through our team of lead workers. Multi-agency panels in each of our 6 neighbourhood areas now track and coordinate support for young people post 16 who are

not in Education, Employment or Training. The percentage of year 11 leavers not in Education, Employment or Training has reduced from 4.9% in academic year 2012/13 to 4.26% in academic year 2013/14. The percentage of year 13/14 leavers not in Education, Employment or Training has also decreased from 9% in the academic year 2012/13 to 4.71% in the academic year 2013/14.

<p><b>Action: E&amp;LL3 Strengthen leadership in teaching in all schools throughout the course of the Corporate Plan</b></p>	<p>~</p>
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We have developed programmes for leadership and learning and created a new Newly Qualified Teachers programme which we piloted in the Spring Term of 2015. Our Hub Schools also ran Aspiring Middle and Senior Leaders programmes to support our teachers through their professional journey.

<p><b>Action: E&amp;LL4 Build effective partnerships between schools, business, culture and enterprise in Cardiff from February 2014 onwards</b></p>	<p>✓</p>
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Since our Estyn monitoring visit in February 2014, the partnerships have been reviewed so that they contribute positively to improvement in learner outcomes. Roles, relationships and mutual expectations have been clarified and our commitment to improving educational attainment has been strengthened within the framework of the What Matters Strategy, our Corporate Plan and our Corporate Commitment to Education.

<p><b>Action: E&amp;LL5 Continue to commission services for schools from the Central South Consortium</b></p>	<p>✓</p>
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The Central South Consortium has continued to strengthen support for Cardiff schools and we have commissioned services in relation to challenge and support and established a much closer working relationship. A self evaluation of the current arrangements for challenge and support to schools was presented to Estyn in March 2015 which indicated that the challenge to schools had improved and generally appropriate actions were in place where concerns are evident.

**Action: E&LL6 Continue to take actions to improve school attendance**



Attendance has remained a high priority in our Education Development Plan and we have continued to progress the Five Step Framework to managing school attendance to ensure that improvement is maintained.

In 2013/14, Secondary school attendance improved to 93.8%, compared with 92.9% in 2012/13 and we exceeded our target of 93.6%. Cardiff's Primary school attendance improved in 2013-14 to 94.9% compared with 94% in 2012/13.

**Action: E&LL7 Put in place measures to improve schools governance by May 2014**



We have put in place a whole Council approach to accelerate the recruitment and retention of governors and a new system to recruit and appoint Local Authority governors was approved in March 2015 to be implemented in the summer term of 2015. Over the year the percentage of school governor vacancies has reduced from 12% to 9%.

**Action: E&LL8 Undertake activities to reduce obesity and improve health of young people in Cardiff from January 2014 onwards**



All of Cardiff's schools are part of the Cardiff Healthy Schools Scheme and 96% of schools have been supported to develop Nutrition and Physical Activity actions to promote the health of their pupils. Welsh Government targets for pre-school settings to join the Cardiff Healthy and Sustainable Pre-School scheme were met and 80% of these have completed nutritional and physical activity actions. The Flying Start Nutrition and Dietics Service has supported parents to build knowledge, skills and confidence in healthy eating for their family.

**Action: E&LL9 Work in collaboration with partner organisations and other Local Authorities to deliver a sustainable Adult Community Learning delivery Model**



In 2014/15 Adult Community Learning (ACL) experienced a significant reduction in grant funding. As a result, we redesigned the ACL programme and have been able to continue running it on a cost neutral basis. An Estyn monitoring visit in January 2015 provided us with

a positive result on progress being made by the Council and the Cardiff and Vale Community Learning Partnership.

**Action: E&LL10 Fully integrate Council and partner approaches to ensuring that all in Cardiff have access to education, employment or training, building on the Council's existing Gateway of opportunity**



Multi-agency panels in each of our 6 Neighbourhood areas track and co-ordinate support for young people post 16 who are not in Education, Employment or Training.

The European Spider Project ran a youth consultation event which highlighted that young people found it difficult to access services and information around Education, Training and Employment. Cardiff Metropolitan University led on developing an online portal (Pointr) to make access to information easier. We plan to ensure that this system is fully implemented.

The work that we have undertaken will help us to be able to implement the Welsh Governments Youth Guarantee in September 2015 to ensure that all young people aged 16 have access to a suitable place in education and learning.

**Action: E&LL11 Establish a framework for a commissioned youth service by December 2014**



We did not establish a framework for a commissioned youth service by December 2014 because we progressed towards a restructure of Youth Service provision in the latter half of the year. However, we involved young people to help put in place a part commissioned grant process for youth service delivery in Cardiff. Work has continued since April 2015 to progress the completion of a framework and we continue to involve young people in this process to ensure they become the co-designers of services to meet their needs and the co-producers of services designed to achieve better outcomes.

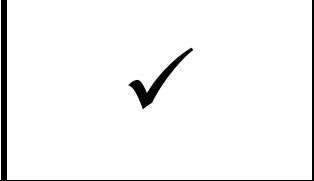
**Action: E&LL12 Deliver a Welsh in Education Strategic Plan by March 2014 and implement it going forward**



We produced a Welsh in Education Strategic Plan to set out the vision and aim for Cardiff in relation to Welsh Medium education. A review of the plan in December 2014 showed that some of the targets set for 2017 have already been achieved.



<b>Action: E&amp;LL13 Continue to deliver a Schools Organisation Plan</b>	
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Our 21<sup>st</sup> Century Schools Programme bid was first submitted to the Welsh Government in 2011 since which time Cardiff has experienced significant population growth. We are continuing to work on addressing the sufficiency of school places along with the condition of the school estate.

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## Progress against the indicators we used to measure success

Reference	Performance Measure	2013/14 Result (Academic Year 12/13)	2014/15 Result (Academic year 13/14)	2014/15 Target (Academic year 13/14)	Target achieved	Wales Average	Performance improved or declined ↑ / ↓
E&LLA	% of pupils achieving a standardised score of 85 or above at the end of KS2 (Year 6) in literacy and numeracy	English reading test 88%	English reading test 83.8%	No target set	N/A	84%	↓
		Welsh reading test 93%	Welsh reading test 88.8%	No target set		84.7%	↓
		Numeracy procedural test 85.56%	Numeracy procedural test 83.66%	No target set		83.3%	↓
		Numeracy reasoning test Data not available	Numeracy reasoning test 82.08%	No target set		82.8%	Comparison not available
<p>Although there has been a decline in performance, Cardiff's performance compares favourably with neighbouring local authorities in the region and is above the Consortium average. The Central South Consortium have both a literacy and numeracy strategy which builds upon the good practice identified from the local authorities within the consortium. Both the 2012-15 Cardiff Language, Literacy and Communication strategy and the Cardiff Mathematics and Numeracy strategy are in line with national and regional plans to secure improvement.</p>							
E&LLB	% of pupils with lower reading age than chronological age at end of KS2	WG have previously released a reading age on the pupil level report given to parents, but they have not released this information to schools or LAs to import into MIS systems. When this has been requested previously, the request has been declined. To the best of our knowledge there is no intention on releasing this for 2015 data					
E&LLC	% point gap between FSM and non FSM pupils achievement of CSI at KS2	19.46%	17.5%	16.22%	No	N/A	↑
<p>Although the target was not met, there has been a reduction in the percentage point gap between those pupils eligible for free school meals (FSM) and those not eligible in achieving the core subject indicator at key stage 2. Pupils eligible for free school meals are generally out performed by those who are not eligible but the gap has reduced in the academic year 2013/14 when compared with the previous year.</p>							
E&LLD	% of pupils with progress of 2 levels or more across KS3 for English, Welsh first language, Mathematics and Science	English 30%	English 46.66%	English 35%	Yes	N/A	↑
		Welsh 28%	Welsh 47.55%	Welsh 35%	Yes		
		Maths 40%	Maths 56.53%	Maths 45%	Yes		
		Science 33%	Science 53.82%	Science 38%	Yes		
<p>Improvement has continued across key stage 3 in English, Welsh, mathematics and science and all targets were exceeded. Although performance has improved, not enough pupils have made progress of at least two National Curriculum levels at</p>							

key stage 3 in the 2013/14 academic year.							
E&LLE	% pupils achieving Level 2 threshold at KS4	73%	76.3%	No target set	N/A	N/A	↑
Cardiff schools where fewer than 30% of pupils achieved the level 2 threshold including English, Welsh and mathematics. However, the number of schools where fewer than 40% of pupils achieving this threshold has reduced from eleven to 6.							
E&LLF	% pupils achieving Level 2+ threshold at KS4	49.9%	54.04%	55%	No	55.1%	↑
At level 2+ there has been considerable improvement however, our result is slightly below the welsh average. During the 2013/14 academic year we identified key factors which were holding back further progress. These include, ineffective accountability and an insufficient focus on pupil progress. Improved tracking of pupils and well targeted follow up have contributed to improved outcomes.							
E&LLG	% point gap between FSM and non FSM pupils achievement of Level 2 threshold including English / Welsh and mathematics at KS4	36.18%	33.29%	No target set	N/A	N/A	↑
Pupils eligible for free school meals are generally out performed by those who are not eligible but the gap has reduced in the academic year 2013/14 when compared to the previous year. Some good practice in schools which has been instrumental in closing the gaps have included; the identification of a professional lead role to ensure persistent support for FSM pupils, and the effective use of the Pupil Deprivation Grant to enhance provision.							
E&LLH	% Attendance primary	94.0%	94.9%	94.4%	Yes	94.8%	↑
Our result is comparative to Wales (94.8%) and places us at 7 <sup>th</sup> for primary school attendance out of 22 local authorities across Wales.							
E&LLI	% Attendance secondary	92.9%	93.9%	93.6%	Yes	93.6%	↑
Our result is slightly above the Wales average of 93.6% and places us at 10 <sup>th</sup> for secondary school attendance out of the 22 local authorities across Wales.							
E&LLJ	Increase success rate of Adult Community Learning courses in 2013/14 academic year by 10% to 72%, with progression to meet national target of 82% by 2016	61%	72%	72%	Yes	N/A	↑
Our success rate of Adult Community Learning courses has improved even though Adult Community Learning faced several challenges including significant reductions in grant funding. An Estyn monitoring visit in January 2015 provided us with							

positive feedback in respect regarding the progress made by working with Cardiff and the Vale Community Learning Partnership.

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# Communities, Housing & Neighbourhood Renewal

## What do we want?

We want to ensure that our citizens have access to good quality housing and they are supported by the Council to address their housing need to live in a safe and inclusive community. We also want to improve community well-being through the regeneration of local communities and ensure that our citizens can access good quality services efficiently and effectively.

## What have we achieved during 2014/15:

- We maintained the Welsh Housing Quality Standard at 100% which means that our housing stock is of good quality and meets Welsh Government requirements
- We secured £1m of funding from the Welsh Government to support regeneration projects in the Grangetown area of the city and completed a number of neighbourhood regeneration schemes across the city with an average customer satisfaction of 84%
- We carried out works to increase the security of our housing stock and 75% of tenants said they felt their property was secure
- We progressed the work of our Community Hubs which were commended by the Welsh Government as a good way of providing a range of services to our citizens

What we said we would do in 2014/15:

<b>Action: CH&amp;NR1 Develop sustainable communities and identify housing need across the city, which includes appointing the delivery partner for the new Housing Partnering Scheme, improving the Council stock and regenerating local neighbourhoods. (Appoint delivery partner in 2015)</b>	
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We surveyed 12,000 households and conducted 500 face to face interviews to assess housing need across Cardiff and identified 108 pitches required to meet Gypsy and Traveller accommodation needs up to 2026. We will appoint a preferred developer for the Housing Partnering scheme in September 2015.

We improved our housing stock by replacing 1,353 boilers, 65 roofs and fitted 76 poorly insulated blocks of flats with retrofitted cladding and maintained the Welsh Housing Quality Standard at 100%. We completed 48 Door Entry installations and committed over £900k to defensible space and fencing focussing on vacant properties to enhance security.

We secured £1m of grant funding to support regeneration projects across the city and delivery of these schemes will continue in 2015/16. Through our Community Benefits Scheme our main contractors provided kind contributions including mentoring, provision of a kitchen at the women’s Centre and painting community facilities. Through this apprenticeships were provided for 18 young people, 13 work experience placements were supported and 10 National Vocation Qualifications were completed.

**Action: CH&NR2 Implement the Solar Panel Pilot for 100 Council owned properties and review the business case for expansion (March 2015)**



We installed 100 Solar Panels in council properties in the Trowbridge area. This will help us assess the benefits of alternative energy generation to our tenants with the aim of rolling out the programme further in 2015/16.

**Action: CH&NR3 Implement a ‘One Council’ Approach to customer management, improving customer services and driving down costs. This includes developing the Neighbourhood Librarian Service, implementing the Allocations Policy, introducing new Tenant Participation Policy, developing a Gateway for Independent Living and establishing a new Customer Relationship Management system. Blueprint for the approach to be completed by May 2014**



We have introduced ‘One Council’ to help us improve our customer services. To support this we launched our new website which was rated 4 star by SOCITM.

We improved our library services within Community hubs and our Outreach Service. Our performance against the Welsh Public Library Standards was the most successful to date.

We implemented our new Housing Allocation Scheme which ensures that those in greatest need are prioritised.

Our Tenant Resource Centre in Marland House provided Council Tenants with the opportunity to have their say on our services and a place to access online services.

Our Independent Living Gateway service to our residents over the age of 60 provides the opportunity to join up a range of services for these customers.

**Action: CH&NR4 Develop formal collaboration arrangements with the Vale of Glamorgan Council (Formal agreement of approach April 2014)**



Together with the Vale of Glamorgan Council and our partners we introduced the Cardiff and the Vale Local Service Board to work across organisational boundaries in planning better outcomes for the citizens of Cardiff and the Vale of Glamorgan.

**Action: CH&NR5 Implement new Neighbourhood Partnerships to further develop targeted and localised service delivery whilst strengthening the community leadership role of elected members (April 14 onwards)**



We launched the new Neighbourhood Partnership arrangements which includes the appointment of a Lead Elected member role to champion community interests. A new Neighbourhood Fund was launched, which has been able to support 105 community initiatives and projects.

**Action: CH&NR6 Continue the roll out of Community Hubs including the opening of Hubs in Grangetown and Ely, plus the progression of the development of the new Splott Hub (Grangetown Hub March 2015; Ely Hub August 2014)**



Our Community Hub programme aims to improve and bring together the face-to-face services available to Cardiff residents. We opened the Ely Hub in June 2014 which brought together a range of Council and partner services such as Welfare advice, training opportunities, Into Work advice and library materials. We are on course to begin construction on a new Hub in Splott in 2015 and have developed plans for further hubs across the City. Our Grangetown Hub is expected to open in 2015.

**Action: CH&NR7 Expand the Council's fibre optic network to integrate and improve service delivery enabling the creation of a Virtual Concierge Service for the Council owned high rise accommodation and develop an appropriate commercial operating model by February 2015**



We identified that a wireless transmission network would be a more fit-for-purpose solution than an expansion of the existing fibre-optic network and will allow the creation of a Virtual Concierge Service for Council owned high-rise accommodation.

In March 2015 we put forward the requirements for our Category 1 Alarm Receiving Centre (ARC) which will enable us to improve the quality of life for council housing residents. Work is underway to deliver the ARC in 2015.

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## Progress against the indicators we used to measure success

Reference	Performance Measure	2013/14 Result	2014/15 Result	2014/15 Target	Target achieved	Wales Average	Performance improved or declined ↑ / ↓
CHNRA	Number of people using community hubs	1,022,33	1,115,48	No target set	N/A	N/A	↑
The number of people using our Community Hubs has increased and they provide us with a way to improve and bring together face-to-face services available to Cardiff residents. Our approach to the delivery of services through hubs was commended by the Welsh Government and we plan to continue with our roll out programme of further hubs in 2015.							
	Customer satisfaction levels at community hubs	99.7%	99.2%	No target set	N/A	N/A	↓
Over the course of 2014/15 we collected customer satisfaction data in relation to our Community hubs and the services they provide. Results show that despite a marginal decline, customer satisfaction remains close to 100%.							
CH&NRB	Number of tenants responding positively in the tenants satisfaction survey	778	848	No target set	N/A	N/A	↑
The Council undertakes research into identifying levels of satisfaction of Local Authority tenants on the services they receive. The survey uses a 30% random sample (4,000) of current Local Authority housing tenants and results show that there has been a slight increase in the numbers of tenants who are satisfied with the services they receive from the Council.							
CH&NRC	Community satisfaction levels with local regeneration schemes	90%	84%	No target set	N/A	N/A	↓
Though a decline in performance, the Council has continued to support regeneration schemes across the city, we secured £1m of grant funding to support these schemes and delivery will continue in 2015/16.							
CH&NRE	Number of literacy sessions delivered outside of libraries and hubs	N/A	290	No target set	N/A	N/A	N/A
The introduction of the Neighbourhood Librarian Service means that 2014/15 is our baseline for data.							

## Our Outcome Measures

Reference	Performance Measure	Progress
CH&NRD	Develop appropriate indicators for measuring the effectiveness of the One Council Approach	Performance indicators are being developed as the approach is rolled out in 2016/17.
CH&NRF	Increase income opportunities from the development of the Virtual Concierge service	<p>There council has created a Virtual Concierge Service for Council-owned high-rise accommodation as part of the wider Alarm Receiving Centre development. In March 2015 we put forward the requirements required for our Category 1 Alarm Receiving Centre (ARC) which will enable us to improve the quality of life for council housing residents.</p> <p>Improving the CCTV systems on the council housing estate will enable us to have better monitoring and response to Anti Social Behaviour, concierges and door entry systems, and to provide income generation opportunities. Work is underway to deliver the ARC in 2015.</p>

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# Childrens Services

## What do we want?

We want to work with our partners to ensure that children are protected from harm and supported to live safely with their families. We want to ensure that they receive the best care and support to achieve their full potential and make a smooth transition to adult life. We also want to establish Cardiff as a destination of choice for Social Workers to ensure that Childrens services are provided by a skilled and committed work force.

## What have we achieved during 2014/15;

- We established a fully operational specialist Looked After Children Service to support the development of children and young people who are looked after
- We established a fully operational Integrated Safeguarding Unit to ensure that young people continue to protected from harm
- We reduced our number of Social Work vacancies and our turnover of social work staff also decreased enabling us to have a committed workforce to support children and young people

What we said we would do in 2014/15

<b>Action: CSS1 Improving the recruitment and retention of social workers by implementing a new strategy with effect from April 2014</b>	
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In April 2014 we implemented a Children's Services strategy to improve the recruitment and retention of social workers. Over the year we reduced our percentage of social worker vacancies from 30.1% to 24.8%.

<b>Action: CSS2 Improving outcomes for Looked After Children throughout the duration of the Corporate Plan</b>	
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Through our new Looked After Children's Service we delivered best practice training to our social workers and developed a suite of electronic forms so that we could improve our case recording and evidence of decision making. We revised our Personal Education Plans which are crucial to the engagement of Looked After Children in Education and delivered training to teachers, foster carers and Children's Services staff. We launched a Looked After Children Traineeship Scheme and supported 5 young people to improve their employment outcomes.

<b>Action: CSS3 Reducing the number of Looked After Children by enhancing the effectiveness of early intervention and prevention throughout the duration of the Corporate Plan</b>	
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2014/15 saw an increase in the number of Looked After Children from 611 at the end of March 2014 to 649 at the end of March 2015. However, good progress was made in laying down the foundations for reducing the number of Looked After Children:

- The specialist Looked After Children Service was created.
- An Early Help & Preventative Strategy was created, the actions of which will not positively impact on our numbers of Looked After Children until 2016/17.
- We received an externally commissioned research report to analyse LAC pressures - the factors that influence the rate of LAC admissions in Cardiff and what measures can be put in place to reduce this.

We also worked to redesign our Family Support Services to further support vulnerable children.

<b>Action: CSS4 Improving safeguarding arrangements by amalgamating existing resources and expertise from Adult Services, Children’s Services and Education by December 2014</b>	
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We established an Integrated Safeguarding Unit amalgamating our resources and expertise from Adult Services, Childrens Services and Education to ensure that children and young people continue to be protected and safe from harm. In 2015/16 we plan to develop a Quality Assurance Framework that will enable us to demonstrate the improvements made by the Unit.

<b>Action: CSS5 Developing a strengthened model for inter agency assessment, prioritisation and risk management by December 2014</b>	
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Due to the scale of work required we were unable to meet some of the milestones that we set ourselves.

We commenced work towards the development of a Multi Agency Safeguarding Hub (MASH) by securing joint funding for a Project Manager to lead the development and agreement for the location of the MASH. Along with our partners, the Police, Health and Probation we investigated the model used by our colleagues in Rhondda Cynon Taf to explore best practice to be rolled out in Cardiff. Once operational the MASH will enable us to work with our partners to improve capacity and efficiency of existing referral management. It will also improve the effectiveness of assessing those children who are at risk of significant harm so they can live safely within their families. Progress will be

monitored via the Directorate Business Plan 2015/16 and Shaping Services Programme Board.

<b>Action: CSS6 Working with partner organisations to support the remodelling of services provided to disabled children and young adults by October 2014</b>
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We gained commitment from the Local Safeguarding Children Board and key partners in support of remodelling services and agreed joint funding with Education, Health and the Vale of Glamorgan Council for a Change Manager post to lead on this work. By the end of the financial year our final report on the remodelling of services for children with disabilities was agreed and we put plans in place to consult with the Disability Strategy Group to take this work forward. Once operational the remodelled services will improve the transition experience for disabled young people and their parents.

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## Progress against the indicators we used to measure success

Reference	Performance Measure	2013/14 Result	2014/15 Result	2014/15 Target	Target achieved	Wales Average	Performance improved or declined ↑ / ↓
CSSA	Timeliness of initial assessments	40.10%	50.60%	80%	No	N/A	↑
The 2014-15 result was adversely affected by very poor and inadequate performance in the first half of the year, much of which was preoccupied with clearing the backlog of assessments. Under new leadership performance improved in the second half of the year which gives us confidence that we can achieve performance in excess of the Welsh average in 2015-16.							
CSSB	Percentage of children seen by a social worker during an initial assessment	67.1%	60.9%	80%	No	78%	↓
An analysis of the reasons why children were not seen by a social worker during an initial assessment was undertaken during the year. Primary reasons were identified as: <ul style="list-style-type: none"> <li>• Complex cases where the case proceeds directly to core assessment, and the child is seen as part of the core assessment.</li> <li>• Receiving managers re-evaluating the decision to proceed to initial assessment and closing the case for no further action.</li> </ul> Taken together, these two factors would substantially reduce the gap between the target the outturn.							
CSSC	Re referrals within a year	25.60%	25.40%	25%	No	N/A	↑
We met our target for this performance indicator with performance showing slight improvement.							
CSSD	Timeliness of core assessments	65.90%	62.50%	80%	No	N/A	↓
Our 2014-15 result was adversely affected by poor performance in the first quarter of the financial year, but much stronger performance in the last quarter of the financial year. Between April and June 2014 our timeliness was 49.8% and this rose to 68.9% between January and March 2015. The impact of successful recruitment and more stable frontline leadership puts the service in a stronger position to improve performance in 2015-16.							
CSSE	Timeliness of reviews of Looked After Children	92.40%	88.30%	100%	No	N/A	↓
Although we did not meet our target, we addressed performance issues and performance showed some recovery, reaching 98% for January to March 2015.							
CSSF	Number of Looked After Children allocated to a social worker	99.20%	99.50%	100%	Yes	N/A	↑
As at the end of March 2015 there were 642 open cases of looked after children of which 640 were allocated to a social worker. The remaining two children have since been allocated to a social worker.							
CSSG	Number of children on Child Protection Register allocated to a	100%	100%	100%	Yes	N/A	→

	social worker						
CSSH	Timeliness of initial Child Protection Conferences	83.80%	90.70%	90%	Yes	N/A	↑
CSSI	Percentage of social worker vacancies	20.80%	27.20%	17%	No	N/A	↓
<p>We created more social worker posts and this attributed to the increase in our vacancies.  The impact of our Managed Team enabled the service to reduce the overall number of cases from 2,953 at 30.06.14 to 2,251 at 31.03.15, reducing social worker caseloads in Children’s Services teams from 24.5 at 30.06.14 to 19.7 at 31.03.15.</p>							

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# Health & Social Care

## What do we want?

We want to improve outcomes for Cardiff citizens by investing in support so that people can maintain their independence and remain living at home for longer. We want to do this by working with our partners to make improvements to people's homes to suit their needs and ensure that they are supported to live independently. We also want to work with our partners to support reablement to ensure that people are discharged from hospital back to the community in a safe and timely manner.

## What have we achieved during 2014/15:


- Using funding from the Immediate Care Fund project we completed a fully adapted Smart House and 6 'Step-down' flats to increase awareness of the range of rehabilitation equipment available to our citizens and to provide temporary accommodation to individuals leaving hospital
- We established a Gateway Service and 92% of service users felt able to remain living at home as a result of the support and guidance offered by the Gateway
- We agreed a contract award for supported living for adults with a learning disability to offer individuals more independence within their community

What we said we would do in 2014/15:

<b>Action: H&amp;SC1 Increasing uptake of direct payments year on year</b>	
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We increased the number of service users accessing Direct Payments from 501 in 2013/14 to 550 in 2014/15 enabling them to make their own choices and take control over the care services that they receive.

<b>Action: H&amp;SC2 Developing reablement further in partnership with health colleagues to support more people back home with co located services from April 2014</b>	
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To increase awareness amongst our citizens of the range of rehabilitation and reablement equipment to support independent living, we completed a fully adapted Smart House (using Intermediate Care Funding).

In partnership with Cardiff and the Vale University Health Board we achieved the co-location of 2 Cardiff Community Resource Teams (CRTs) to provide short term support and



assistance to Cardiff citizens. These teams help them regain their confidence and maximise their independence following illness, trauma or changes in their personal circumstances.

We remodelled 6 flats as 'step-down' accommodation which aim to alleviate problems associated with delayed discharge and transfers of care within hospitals.

**Action: H&SC3 Increased investment in supported living reducing dependence on residential care by March 2015**



We undertook a programme of consultation and engagement with our citizens and social work provider market in order to implement a supported living model tailored to their needs. We appointed a provider for a Floating Support service for people with mental health needs which will offer a range of support to people who are experiencing mental health problems to maximise their independence and decision making. During 2015/16 we plan to expand the range of supported accommodation offered.

**Action: H&SC4 Introduce new commissioning framework enabling more options and capacity to support people at home (in 2014/15)**



To further develop care provided at home we introduced a new commissioning framework for Domiciliary Care. The new model of procurement commenced in November 2014 and introduced a new Dynamic Purchasing System and accredited care provider list. This has created greater transparency during the process and has enabled us to better match individual service user requirements to care, by increasing the number and diversity of care providers in the City. It has also encouraged care providers to maintain quality services whilst incentivising care providers to develop specialist services where required.

**Action: H&SC5 Deliver improved integrated services with partners in Health and across the Vale of Glamorgan (in 2014/15)**



Together with the Vale of Glamorgan Council, and Cardiff and the Vale University Health Board we delivered projects to introduce new service models and care pathways to meet individual service user needs in a more flexible and integrated way.

During 2015/16 we will continue to build upon collaborative working arrangements to seek further improvements in this area.

## Progress against the indicators we used to measure success

Reference	Performance Measure	2013/14 Result	2014/15 Result	2014/15 Target	Target achieved	Wales Average	Performance improved or declined ↑ / ↓
H&SC A	Increase in direct payments	501	550	800	No	N/A	↑
<p>Despite continuing to try to increase the uptake of Direct Payments we have not met our target. During 15/16 we plan to benchmark our Direct payments with other Local Authorities within Wales and the UK so that we can analyse our comparative performance. We will also be measuring the rate of those leaving the scheme, as well as continuing to monitor take up to identify areas of improvement.</p>							
H&SC B	The rate of older people whom the authority supports in care homes per 1,000 population aged 65	17.98	18	18.4	Yes	18.85	↓
<p>The number of people aged 65+ we have supported to live in care homes has increased from 845 in 2013/14 to 861 in 2014/15. Some of the measures we are taking to reduce this include the implementation of a First Point of Contact (FPC) which will ensure that all contacts are either signposted or routed through the gateway / prevention service prior to accessing social care or accommodation services. This is in conjunction with a wider range of accommodation options will be delivered to meet identified social care needs which includes residential care.</p>							
H&SC C	The rate of older people supported in the community per 1,000 population aged 65 or over	46.41	46.42	44.12	Yes	67.30	↓
<p>The number of people aged 65+ that we supported to live in the community has decreased slightly from 2182 in 2013/14 to 2110 in 2014/15. Some of the measures we are taking to try to improve our performance include a new approach to day care for older people which will involve a full review of the service to ensure that the new model meets the needs of the current users.</p>							
H&SC D	Older People Domiciliary Care Hours Delivered in Cardiff	1,529,560	1,555,603	Targets are not set	N/A	N/A	↑
<p>The number of hours of Domiciliary care that we provide has increased. The implementation of a First Point of Contact (FPC) will ensure that all contacts are either signposted or routed through the gateway / prevention service prior to accessing social care or accommodation services. This will help to ensure that individuals regain and retain independence to remain living in their own homes.</p>							
H&SC E	Total number of local authority residents (aged 18+) experiencing a delayed	264	198	254	No	N/A	↓

	transfer of care during the year for social care reasons						
<p>The number of local authority residents experiencing a delayed transfer of care has increased. We have continued to work with our health partners to reduce the total number of Cardiff residents who experience a delayed transfer of care from hospital. We are establishing a new Leadership Group to address Delayed Transfer of Care, consisting of Cabinet Members from the Vale of Glamorgan Council and Cardiff Council, the Chair of the University Health Board and relevant officers</p>							

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# Environment

## What do we want?

We want to ensure there is a clean, attractive and sustainable environment to create healthy and inclusive communities which is underpinned by an efficient approach to waste management.

## What have we achieved during 2014/15:

- We created a new Energy Prospectus which details how we will drive down the carbon footprint and energy costs of buildings managed by the Council
- We completed an energy switch for 2,000 households across Cardiff with an average saving of £255
- We exceeded our Statutory recycling target for 2014/15

What we said we would do in 2014/15:

<b>Action: ENV01 – Deliver a new Energy Prospectus outlining the business case for investment in localised energy generation in the city by July 2014.</b>	
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We created a new Energy Prospectus which details how we will drive down the carbon footprint and energy costs of the buildings and properties managed by the Council. Our prospectus is currently with the Welsh Government but we have been able to deliver a number of schemes within the plan.

<b>Action: ENV02 - Deliver a new Waste Strategy by July 2014</b>	
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We experienced delays with external technical support which meant that our outline Waste Strategy 2015 to 2018 was presented to the Councils Cabinet for approval in October 2014. We wrote this outline strategy to ensure that the Council continues to adapt its services in line with changes to legislation and to respond to a challenging financial climate and the need to work collaboratively to provide the most cost effective services to our citizens. Furthermore, the strategy also sets out our response to achieving the challenging recycling and landfill targets which carry heavy financial penalties for the Council if they are not met.

**Action: ENV03 Deliver a national collective energy switch, subject to approved funding by the end of 2014**



The energy switch - Cyd Cymru - was delayed due to cuts in Welsh Government funding; however, a switch was completed in March 2015. Over 5,600 residents registered and 2,000 (36%) households switched with an average saving of £255. It is anticipated that approximately 50% of these households will no longer be in fuel poverty, allowing the money saved to be spent on other bills and food.

**Action: ENV04 - Deliver a more attractive environment for the city through the Cardiff Outdoors scheme from April 2015**



From February to June 2015 we piloted a Neighbourhood Services project in the South-West of the City and redesigned our cleansing and fly-tipping processes. We also increased the frequency of cleansing in areas with particular litter issues. Performance fell below target for cleanliness and the removal of fly tipping, however, remedial actions will be put in place to address this as part of the project.

**Action: ENV05 – Deliver phase 1 of the Radyr Weir project by April 2015**



Phase 1 of the £2.6million hydro-electric Radyr Weir project was to contract a company, to do preparatory work and to establish if the proposal will deliver the anticipated benefits. The project started officially on site in July 2015 and once completed the two Archimedes turbines will power enough electricity for 550 homes with anticipated net revenue of £140k per year.

**Action: ENV06 – Submit bids by April 2015 for funding through the Arbed scheme to invest in:**  
**145 properties with External Wall Insulation (Flats).**  
**50 houses with External Wall Insulation**  
**645 properties with Cavity Wall & Loft Insulation**  
**600 properties with Grated Boiler Upgrades**



We were unsuccessful in our bids to the Welsh Government for ARBED2 year 3. So in partnership with Melin Homes we submitted a revised bid which was successful. We undertook work which included a housing retrofit in Brynfedw, Caerau and Coed-y-Gores and Cemaes Crescent. 303 properties were fitted with external wall insulation, 566 were fitted with cavity wall and loft insulation and 1353 properties received boiler upgrades. The work we have undertaken has had a positive effect evidenced through positive feedback provided to Melin Homes and Energy Performance Certificates.

**Action: ENV07 - Redesign the street cleaning team to match user needs from April 2014**



We introduced a neighbourhood approach to service delivery in the South-West neighbourhood partnership area. Through this neighbourhood working we were able to base cleansing teams closer to the areas they were responsible for to increase ownership and awareness of local issues. Results of Local Environment Surveys showed that satisfaction levels were below our aspirations; this was partly attributed to a change in the way performance is monitored. However, we worked with those undertaking the monitoring and through a further review of cleansing operations we have seen improvements in performance such as an increase in productivity (tonnages collected), a reduction in fuel usage and a reduction in customer requests.

## Progress against the indicators we used to measure success

Reference	Performance Measure	2013/14 Result	2014/15 Result	2014/15 Target	Target achieved	Wales Average	Performance improved or declined ↑ / ↓
ENV A	Meet the statutory recycling target	49.67%	53.38%	52%	Yes	56.23%	↑
ENV B	Increase the kilowatts (kW) of local energy generation in Cardiff	118.9kw	417kw	7.47mW	No	N/A	↑
Generating local energy helps us reduce fuel bills. This energy was generated by installing solar panels on residential council homes in Trowbridge and the councils Lamby Way Depot. The target was not met due to a decision by the Council to revise the procurement strategy in relation to the Solar Farm which is now being delivered as a land lease option via a third party.							
ENV C	Reduce CO2 emissions in households subject to works	New measure 14/15 is baseline	2,201.4 tonnes (1,636 properties)	1,270 tonnes (890 properties)	No	N/A	N/A
By installing energy efficiency measures which included external wall insulations and replacing old boilers, households have potentially been able to save money on their energy bills.							
ENV D	Average energy costs for Cardiff households benefitting from Council led activities.	New measure 14/15 is baseline	£460,188.50 (1,636 properties)	£246,000 (890 properties)	No	N/A	N/A
ENV E	% of Reported Fly Tipping reported cleared in 5 working days	92.6%	82.61%	90%	No	93.05%	↓
Although performance has declined when compared to the previous year, we observed an improving trend over the year, performance in the first quarter of the year was 81.35% compared to 97.45% in the last quarter of the year. Through the Neighbourhood services pilot resources have been shared to help remove fly tipping more promptly.							
ENV F	1250 surveys for Energy Performance Certificates undertaken	New measure 14/15 is baseline	1467	1250	Yes	N/A	N/A

# Strategic Planning & Transport


## What do we want?

We want to develop Cardiff as a world class city within the Local Development Plan timescale (2026) through the delivery of appropriate infrastructure and transport. Our overall aim is to make Cardiff the destination of choice for people and businesses and a key part of this is to make our planning service the most 'open for business' in the UK.

## What have we achieved during 2014/15:

- We delivered on time our Local Development Plan to the Welsh Government
- We secured planning permission for new headquarters in Central Square and completed the preferred design for the new Central Public Transport Hub
- We developed master plans for major growth areas of Cardiff and commenced early phases of walking, cycling and bus transport improvements

What we said we would do in 2014/15:

<b>Action: SP&amp;T1 Deliver the Local Development Plan, including submission of Deposit LDP to Welsh Government by August 2014 and adoption by October 2015</b>	
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Our Local Development Plan was delivered to Welsh Government for independent examination on time in August 2014. The independent Inspectors examining the LDP have extended the anticipated date of preparing their report to November 2015 reflecting the consultation on proposed changes during June/July 2015. It is therefore currently anticipated that adoption would be confirmed winter 2015/16 but the process is currently under the control of the Inspectors, not the Council.

<b>Action: SP&amp;T2 Develop plans for new Central Public Transport Hub by April 2015</b>	
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During 2014/15 we secured planning permission for new headquarters in Central Square and the preferred design for the new Central Public Transport Hub was developed and reported to the Councils Cabinet in July 2015. We will seek engagement from stakeholders and our citizens before submitting a planning application in December 2015.



**Action: SP&T3 Deliver a new Parking Strategy to help manage travel demand and improve management of the strategic highway network by September 2014**

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The new parking strategy will set out the Councils approach to the management of parking in Cardiff. We have produced a draft strategy for consultation that has not yet been approved and delivery of a final strategy is anticipated during autumn 2015.

**Action: SP&T4 Work with key partners to develop phased proposals for key transport projects including City Region Metro, phase 1 of North West Cardiff rapid transit corridor and Tram Train link between the City Centre & Cardiff Bay by December 2014**

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We have continued to work in partnership with the Welsh Government, Network Rail and Rhondda Cynon Taf County Borough Council to identify the scope of study work to ensure that key transport projects aspirations and requirements are achieved. We are awaiting the publication of a Welsh Government report in August 2015 that will set out the actions going forward.

**Action: SP&T5 Work with key partners to develop new city regional planning arrangements by April 2015**

✓

The Council is working with Local Authorities and other key partners in the Cardiff Capital Region as new planning arrangements are being developed for the city-region. The Welsh Government are responsible for putting in place Secondary Legislation which will firm up details following the Planning (Wales) Bill receiving Royal Assent in July 2015. The Council is therefore engaging in related developmental work such as attending the Welsh Government facilitated SDP Advisory Group, the SEWSPG regional planning group and Planning Officers Society.

**Action: SP&T6 Develop a world class transport strategy to help make Cardiff one of the most liveable cities in the world by April 2015**

✓

We submitted our transport plan to the Welsh Government within the time scale that we set. We are awaiting Welsh Government approval and have deferred the delivery of the Transport Strategy to 2015/16.

**Action: SP&T7 Develop master plans for new world class settlements and neighbourhoods on greenfield / brownfield sites connected by rapid transit and accessible by walking and cycling in partnership with key private sector partners by April 2015**



Masterplans have been prepared for major growth areas of the city and have been included within the Local Development Plan. We have held successful meetings with major housing developers and have worked on a masterplan and transport led development approach to ensure that there is added value to current development proposals in relation to land use, infrastructure and design quality.

We have also commenced early phases of walking, cycling and bus transport improvements including completion of cycle lane improvements on Column Road.

**Action: SP&T8 Deliver new Master Planning and Development Proposals for the City Centre and Cardiff Bay Area by December 2014**



We commissioned Masterplans for the Bay Waterfront and Butetown areas and completion of these plans is due Summer 2015 with a report to the Council's Cabinet to establish how these plans will be taken forward.

**Action: SP&T9 Create the most 'open for business' planning and development services in the UK by December 2015**




Performance in relation to determining major planning applications within 13 weeks did not meet our set target. Our Head of Planning, in consultation with all staff, has commenced a review of the development management process in July 2015 to provide greater consistency and clarity for developers and stakeholders. In 2015/16 we plan to fully define the business and performance aspirations of our planning service.

**Action: SP&T10 Create a coordinated approach to public realm, highways, transport and wider neighbourhood developments by December 2014**



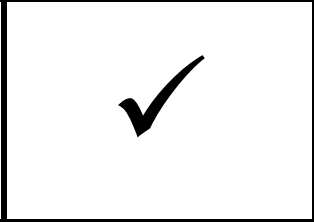
Our key achievements during the year have been in relation to improvements to the Penarth Road and Clare Road junction which has linked regeneration associated with the Grangetown Hub and Junction improvements. Caerphilly Road regeneration of Birchgrove

shopping area has been linked with the bus improvement scheme. By coordinating projects we have been able to procure works at a larger scale which have received better efficiencies in relation to expenditure. Furthermore, work has been delivered more effectively thus minimising disruption.

<b>Action: SP&amp;T11 Deliver new planning controls in those areas of the city with high numbers of students and HMOs by June 2015</b>	
We hosted a landlord and letting agent survey in August 2014 for a period of 21 days. Letters were sent to 173 letting agents across the city notifying them of the survey. Of the responses received 77.3% of respondents said they supported the Council in taking action to control letting boards in the Cathays and Plasnewydd areas of the city. In April 2015 we received approval from the Welsh Planning Minister to introduce local controls in relation to residential letting boards in the Cathays and Plasnewydd wards. This means that residential letting boards will no longer be permitted and we are liaising with letting agents throughout the summer of 2015 so they fully understand the changes. These controls will be in place from October 2015.	



<b>Action: SP&amp;T12 Develop an effective city wide partnership with hospitals, universities and colleges by December 2014</b>	
We established contacts with partners to ensure they are more informed about our objectives and vision for Cardiff and there is some support for projects being delivered by the Council. Regular meetings with Cardiff University took place, however, the engagement with all Public Sector organisations is viewed as a less critical priority.	



## Progress against the indicators we used to measure success

Reference	Performance Measure	2013/14 Result	2014/15 Result	2014/15 Target	Target achieved	Wales Average	Performance improved or declined ↑ / ↓
SP&T1	20% increase in planning service efficiency throughput of applications(2013/14 baseline)	2803	2777	20% increase	No	N/A	↓
<p>Whilst the total number of applications received has not changed significantly between 2013/14 and 2014/15 the Planning Service has undergone a major restructure involving a significant depletion in officer numbers at all levels. The number of applications being allocated and considered by individual officers has increased between 2013/14 and 2014/15</p>							
SP&T2	50% of Major Planning Applications to be processed in 13 weeks	25.71%	20%	50%	No	N/A	↓
<p>A range of measures to improve performance are currently being developed by the recently appointed Head of Planning to respond to a heavy and complex workload. Issues under consideration include assessing staffing capacity against available budget, improved joint-working across teams within and beyond the Planning Service, making improvements to the Development Management process and creating an enhanced performance-driven culture. Full details will be finalised by late summer 2015 and will build upon improvements brought about through the recent restructuring process.</p>							
SP&T4	Increase modal share for journeys to work by sustainable transport towards 50%	44%	43%	46%	No	N/A	↓
<p>The Local Development Plan (LDP) has determined that by 2026, 50% of all journeys within Cardiff are made by sustainable modes, in order to accommodate future city development. Progress towards this future target will continue to be monitored annually through the Ask Cardiff Survey, and as part of the LDP Monitoring Framework.</p>							

## Our outcome measures

Reference	Performance Measure	Progress
SP&T3	Deliver new housing and employment sites in line with the LDP monitoring framework	The monitoring Framework is yet to be agreed by the independent Inspectors. Once agreed (anticipated early Autumn 2015) this will form a statutory basis for annual monitoring on the delivery of housing and employment sites.

## Sport, Leisure & Culture

### What do we want?

We want to maintain and grow the cultural infrastructure of the city where we can, during a period of economic down turn. We want to introduce new ways of operating our services and to work in partnership to be able to continue to deliver services that matter most to our citizens.

### What have we achieved during 2014/15:

- Our parks service was deemed by the Association for Public Service Excellence (APSE) as one of the 6 most improved services in the UK
- Cardiff completed it's year as the European Capital of Sport 2014
- We achieved record income levels at our Leisure Centres, Cardiff Castle and commercial catering.

What we said we would do in 2014/15:

<b>Action: SL&amp;C1 Bid for key major events to be hosted in Cardiff from 2014</b>	
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We delivered our 2014/15 Event Calendar in line with the budget we set and our agreed timescales. The most significant events held in the city were the UEFA SuperCup final and the Six Nations Rugby. In 2016, we have bid sucesfully to host the World Half Marathon and in 2017 the 13<sup>th</sup> edition of the Volvo Ocean Race which marks its return to the UK for the first time in over a decade and also the Men's and Women's Champions League finals.

<b>Action: SL&amp;C2 Deliver plans for the future needs of the city in terms of leisure facilities, cultural venues and parks and green spaces in 2014</b>	
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We put in place strategies to help deliver plans for the future needs of the city for leisure facilities, cultural venues and parks & green spaces. We established a strategic framework to aid our decision making processes and inform future policies for management and development of parks and green spaces and sport & leisure provision in the city. An Arts & Culture plan was also put in place and scoping took place to establish a cultural consortium to co-ordinate the arts and culture in the City.

**Action: SL&C3 Determine future concert hall space for Cardiff by 2017**



In re-shaping the way services are delivered across the city we have progressed this as part of the Arts Alternative Delivery Model. This includes St David's Hall & The New Theatre, and is at a competitive tendering stage. We engaged with key industry bodies in future venue management and cultural conversation meetings were held with national and city arts organisations. As part of our Alternative Delivery Models we plan to ensure the delivery of cultural and leisure infrastructure and services through new operating models by June 2016.

**Action: SL&C4 Develop with other Council directorates a new model for Children's Play throughout the city by 2015**



With the increasing budget pressures we worked with community groups to find new management options for each of our play centres. Our future plans are that the Disability, Welsh medium and holiday play schemes will continue to be provided at the current level whilst we continue to work closely with interested community groups to develop robust business and implementation plans, so that they will be able to take over the operation and management of premises. A new model for children's play is due to be considered by the Councils Cabinet during 2015.

**Action: SL&C5 Invest in key leisure facility developments including remodelling Eastern Leisure Centre from 2014 onwards**



We acquired approval for the refurbishment of Eastern Leisure Centre to provide a modernised and improved facility for Cardiff citizens. We closed Eastern Leisure Centre at the end of February 2015 and began work in April 2015 to deliver on a 62 week contract which is currently on target. We also invested in developing the range of facilities at Cardiff International White Water Centre by installing a "High Ropes" course which offers a steel and timber terrain towering above the white water course for all of the family to enjoy.

**Action: SL&C6 Generate new and enhanced income streams to fund enhanced services and their development from 2014 onwards**



We have developed new initiatives to generate income and improve the services offered to our citizens. These include a new outdoor cinema at Cardiff Castle (due to open September

2015), a new High Ropes course and Cardiff International White Water Centre and a new indoor 3G pitch at Channel View Leisure Centre. The new operational services have resulted in Sport, Leisure & Culture improving income from 2013/14 to 2014/15 from £29,906,125 to £31,028,261.

**Action: SL&C7 Introduce targeted sport and cultural provision to deprived communities, and build upon European Capital of Sport status to increase sports participation levels from 2014 onwards**



We established Neighbourhood Management Sports Managers and Activators in each of the 6 Neighbourhood Management areas to work with local clubs, schools, facilities and 3rd Sector organisations to increase the participation levels of youth in sport. Neighbourhood Management area action plans are in place to deliver the Local Sports Plan for Cardiff, which connects the Neighbourhood Management Areas with Cardiff City Football Club, Glamorgan Cricket Club, Cardiff Blues, Street Games and the URDD.

**Action: SL&C8 Ensure that the participation of Friends Groups and volunteers in the management and development of parks and green spaces is maximised from 2014 onwards**



In 2015, a Volunteer Development Partnership Group was established to strengthen relationships with the third sector. We worked with over 40 volunteer and community groups contributing in excess of 20,000 volunteer hours to the management and development of our parks and open spaces.

**Action: SL&C9 Deliver a parks partnership programme designed to secure external investment to improve parks and open space provision from 2014 to 2017**




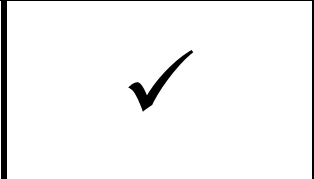
We refocused our Parks Partnership Programme to evidence our on-going commitment to high quality green space provision with the potential to attract a wider range of funding partners. A first stage Heritage Lottery Fund bid for Parc Cefn Onn under the Park for People funding stream was approved and the second stage submission is in preparation for submission in February 2016.

The Bute Park Restoration Project, the largest ever public parks project in Wales, reached a successful completion stage and the park was named as a Green Heritage Site, only the third site in Wales to be awarded this accolade.


We retained Green Flag status for a number of our parks which have also been recognised as being among the best in the United Kingdom.

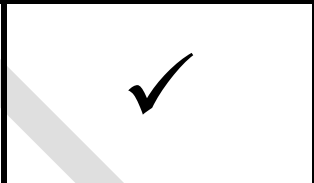
We also agreed to enter into a partnership agreement with the Royal Society for the Protection of Birds, National Trust and Flat Holm Site and for the future management and conservation of this unique asset.

<b>Action: SL&amp;C10 Partner with public, private and third sector organisations to safeguard and ensure continued operation of the city’s key leisure and cultural venues, facilities and services</b>	
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We worked with various community groups and organisations to ensure continued operation of a number of our venues and facilities. Maes-y-Coed and Plasnewydd Community Centres have been transferred to the Jubilee Community Trust and YMCA respectively to ensure services continue to be provided for local communities.

<b>Action: SL&amp;C11 Offer a comprehensive and structured programme of opportunities for apprenticeships, trainee schemes and work experience placements in partnership with stakeholder organisations from 2014 onwards.</b>	
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We worked in partnership to offer a wide and diverse range of opportunities and a total of 28 placements have been supported across the Sport, Leisure & Culture service.

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## Progress against the indicators we used to measure success

Reference	Performance Measure	2013/14 Result	2014/15 Result	2014/15 Target	Target achieved	Wales Average	Performance improved or declined ↑ / ↓
SL&C A	Numbers of visitors to leisure centres and cultural venues in Cardiff	2,943,390	2,786,475	2,954,591	No	N/a	↓
There were a number of contributory factors to the below target result including the closure of Splott Pool in April 2014, the temporary closure of the swimming pool at Pentwyn Leisure Centre for a ten week period due to retiling work following major repairs and reduced opening hours at Eastern Leisure Centre prior to its full closure in February 2015 for refurbishment.							
SL&C B	The Level of Directorate Cost recovery	67.94%	72.7%	72%	Yes	N/a	↑
Record income levels achieved at leisure centres, Cardiff Castle and Commercial Catering.							
SL&C D	Customer satisfaction levels	85.8%	NPS+60	NPS+45	Yes	N/a	N/a
In 2014/15 we started using the Net Promoter Score (NPS) to allow us to evaluate performance using the following question; 'How likely is it that you would recommend this company to a friend or colleague?' A Net Promoter Score of +50 is considered to be excellent.							

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**CITY AND COUNTY OF CARDIFF**  
**DINAS A SIR CAERDYDD**

**POLICY REVIEW & PERFORMANCE**

**SCRUTINY COMMITTEE**

**8 September 2015**

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**QUARTER 1 PERFORMANCE REPORT 2015/16 (April to June)**

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**Reason for the Report**

1. To present the City of Cardiff Council's performance report for Quarter 1 (April to June) of 2015/16 prior to its consideration by the Cabinet. The Performance Report for Quarter 1 2015/16 is attached at **Appendix A**.

**Background**

2. The Council's Performance Management Framework includes the production of quarterly performance reports designed to provide an overview of Directorate performance. Effective scrutiny of performance is an important component of the Framework as it provides the opportunity to challenge performance levels, and helps the Council reprioritise efforts to secure the delivery of the Council's priorities and targets.
3. Each Quarter, the Policy Review & Performance Scrutiny Committee (PRAP) receives the overall performance report for the Council prior to the report going to Cabinet, while other Scrutiny Committees receive the reports of those Directorates that fall within their terms of reference. Policy Review & Performance Scrutiny Committee's role is two fold:
  - To consider the overall performance of the organisation and the actions being taken to ensure that agreed targets and commitments are delivered;
  - To scrutinise the performance of the services that fall under the terms of reference of the Committee (contained in the corporate overview).

## **Performance Overview**

4. As part of the development of the performance management arrangements in the Council, and specifically in relation to improving the internal challenge regarding performance of services, the Council has introduced a 'Star Chamber' where the Chief Executive, Directors and Cabinet Members have an open and candid debate regarding performance levels, and challenges facing service delivery and where a set of actions are agreed.
5. Actions for each Directorate arising from the 'Star Chamber' are included in this cover report.

## **Quarter 1 Performance Report Structure**

6. Attached at **Appendix A** is the Quarter 1 performance report. This report provides an analysis of performance for each Directorate, including:
  - Key performance indicators;
  - Progress against Corporate Plan commitments;
  - Financial performance;
  - Management issues;
  - Key challenges & risks.
7. In addition the report includes a corporate overview covering:
  - Financial overview;
  - Various staffing issues (Sickness absence, Personal Performance & Development Review compliance etc). Return to work compliance data has also been provided to show a more detailed picture;
  - Staff costs (including overtime and agency spend);
  - Customer contact. This has been revised to take account of feedback as a result of Scrutiny of the Q2 2014/15 report;
  - Freedom of Information request compliance with statutory timescales.

8. Performance reports for Q1 have been through 'Star Chamber' sessions where Cabinet Members and Directors have reviewed and challenged performance and agreed actions that need to be taken to address issues raised in the report.

### **Summary of key issues from Corporate Overview**

9. Across all Directorates 82.03% of Corporate Plan commitments are Green and 56.35% of Performance Indicators are Green.
10. Members' attention is drawn to the key issues listed in paragraphs 10-14 below, arising from the corporate overview of performance:

### **Sickness Absence**

11. The sickness figure for Quarter 1 is 2.2 days lost per Full Time Equivalent employee (FTE). This represents a decrease over the same time period in the previous financial year and is the lowest Quarter 1 figure for five years. The current forecast is 9.3 FTE days lost against a target of 9.0 FTE days lost.
12. The Attendance and Well-being Policy has been reviewed and approved.
13. *STAR Chamber Actions* –
  - *Sickness Absence data format to be reviewed to develop an improved format which enables the breakdown of sickness absence service statistics is reported consistently and facilitate more detailed robust challenge.*

### **Personal Performance and Development Reviews (PPDR)**

14. As at 17 July 2015 PPDR initiation compliance was 90%.

### **Freedom of Information Requests**

15. At Q1 2014/15 PRAP challenged officers to improve performance of "multi-service" FOI requests, which was showing a low level of compliance (31%). In

Quarter 1 2015/16 the Council handled 46 multi-function requests and compliance was 61%.

## **Summary of Key Issues**

### **Adult Social Care**

16. Performance in relation to Delayed Transfers of Care for Social Care reasons has declined in Quarter 1 2015/16 to 86 when compared to 29 in Quarter 1 2014/15. A new leadership group has been established with the Vale of Glamorgan Council and the Chair of the University Health Board. A joint action plan has been agreed by the Health Minister and is being driven forward via a recently formed Task & Finish group.

17. The number of carers assessments offered has increased in Quarter 1 by 46.56% when compared to the same relevant period in 2014/15. In Quarter 1 2015-16 there were 799 offers for 2740 named carers compared to 427 offers for 2204 named carers in Quarter 1 2014/15.

18. Performance in relation to Direct Payments has improved by 5% in Quarter 1 to 578 when compared to 550 at the end of Quarter 4 2014/15. Checks are being made to ensure that Direct Payments are being offered, and a review of the contract arrangements has taken place with £100,000 in savings due to be realised in 2015/16.

19. *STAR Chamber Actions –*

- *A clear, easy to understand narrative to be developed around the Programme for Change and sessions to be delivered to Members to support.*
- *Establish an improved Management Information System in Adult Social Care.*

### **Children's Services**

20. Positive progress is being made in a number of areas and progress during Quarter 1 includes:

- Finalisation of the Looked After Children (LAC) Strategy which will be considered at the next Corporate Parenting Advisory Committee in September;
- LAC Traineeship Scheme relaunched – five young people in placements;
- Enhanced Fostering Scheme operational;
- Regional Adoption Service operational.

21. *STAR Chamber Actions –*

- *Corporate risks to be re-written to be Social Services wide.*
- *Update regarding Corporate Legal Support to be provided at Q2t.*

**City Operations**

22. Staff and Trade Union consultation has commenced in relation to the proposed changes to the New Household Waste & Recycling Centres. Market testing has been undertaken but the legal operating permits may take 6-9 months to obtain from National Resources Wales and the location is to be finalised.

23. The percentage of major and householder planning applications determined within 13 and 8 weeks respectively have declined in performance when compared with the same relevant period in 2014/15. Measures are currently being developed to respond to a complex and heavy workload and full details will be finalised by late summer.

24. In relation to the new bus station we have delivered a Communication Plan regarding the interim arrangements prior to the bus station closure. Information leaflets have been circulated and briefings to key stakeholders, Cabinet and Councillors have taken place.

25. *STAR Chamber Actions –*

*Improve the compliance with PPDR process across the Directorate to ensure that 95+% level is reached.*

## **Communities, Housing & Customer Services**

26. The number of Connect 2 Cardiff (C2C) calls answered have improved to 91.6% in Quarter 1 compared to 86.9% in Quarter 4. C2C received an additional 33,000 calls in Quarter 1 and despite call queues not meeting the set target of 40 seconds; performance remains stable when compared to Quarter 1 in 2014/15 with calls queuing an average of 51 seconds.
27. The average number of calendar days taken to deliver a Disabled Facilities Grant has declined in performance to 214 calendar days, compared to 175 in Quarter 1 2014/15. Work has been delayed due to contractual resource issues; however, new monthly performance monitoring is currently being developed.
28. The closure of Central Library for five weeks, the closure of Roath Library for Health and Safety reasons and the closure of Grangetown Library for refurbishment have impacted on the number of library materials issued. Performance in Quarter 1 represents a decrease of 75,838 materials issued when compared to 2014-15.
29. *STAR Chamber Actions* –
- *Further mitigation to be included in relation to the reduction in the number of visits to Public Libraries.*

## **Economic Development**

30. The Corporate Property Strategy Asset Management Plan was approved by Cabinet in July and Property Partners from Strategic Estates have worked with service areas to develop a property master schedule detailing gross internal area for all buildings, running costs, maintenance backlog and capital receipts.
31. The Council has embarked on a review of the Cardiff Business Council (CBC) in anticipation of future funding short falls and the City Deal opportunity. Membership of the CBC stands at 164 in Quarter 1 and this is significantly below the annual target of 1000 members.



32. The delivery of an office rationalisation programme to deliver £1m of revenue savings and £6m of capital receipts by December 2017 is on target at Quarter 1 and Council teams have vacated Charles Street and operational costs ceased in June.

33. *STAR Chamber Actions* –

- *Produce a Position Statement regarding the budgetary position and mitigation plan for in year spend and £3.5m of capital receipts.*

### **Education and Lifelong Learning**

34. Provisional data shows that performance in the Foundation Phase, Key Stage 2 and Key Stage 3 has improved. However, performance for the Foundation Phase and Key Stage 3 remain below the Consortium average, whilst performance for Key Stage 2 is now in line with the Consortium Average.

35. Significant progress has been made in the implementation of projects that were agreed as part of the 21<sup>st</sup> Century Schools Programme. These include Stage 1 procurement for Eastern High and the appointment of a Development Partner and procurement for the four new Primary Schools.

36. Attendance in Secondary Schools failed to meet its end of year target of 94.1% with performance sustained at 93.8%. There are three secondary schools causing concern and assistance has been provided to target non-attendance.

37. *STAR Chamber Actions* –

- *Establish a clear strategy to improve the recruitment and retention of high quality school governors.*
- *Undertake work with Children's Services to ensure a joined up approach, especially in relation to Looked After Children, with a detailed analysis of the issues coming back to Cabinet.*

### **Governance & Legal Services**

38. In relation to the development of a new Welsh Language Centre, Knox and Wells have been formally appointed to undertake the capital works programme. The

Welsh Language Partners have received their Heads of Terms and leases have been completed.

#### 39. STAR Chamber Actions –

- *Broaden the sample of members participating in the testing of alternative mobile devices as part of the IT for Members work.*
- *Present a Briefing Note setting out the details of:*
  - *rebalancing of Legal Services work in Social Services between internal legal service and external providers.*
  - *improving voter registrations.*
  - *improving PPDR compliance within the new Governance and Legal Services Directorate to reach 95%.*

#### **Resources**

40. Work has commenced on the Budget Strategy for 2016/17 and the medium term, the emphasis is on prioritising services and delivering efficiencies to ensure that a balanced budget can be set and a sustainable Medium Term Financial Plan established.

#### **Challenge Forum**

41. In July 2015 the revised terms of reference for the Forum were accepted.

42. The Forum considered the “Update on the Organisational Development Programme (ODP)” and Budget Strategy. Given that the WAO, in its Corporate Assessment, made one single recommendation that “*the Council ensures the implementation of its Organisational Development Plan and resolves the range of issues identified in [the] assessment*” the Challenge Forum were invited to assess progress and reflect on the organisation’s plan for financial resilience as well as specific plans for social services and education.

43. **Education:** The overall picture is one of improvement with performance having improved for 2014 and 2015, closing the performance gap that exists between

Cardiff and the rest of Wales. Estyn recognised this progress in the most recent monitoring letter on education services for children and young people, noting that: *“overall, there is an emerging culture of more rigorous performance management...”* (May 2015).

44. Robert Hill was invited to share his reflections, and reiterated that education in Cardiff was characterised by progress and improvement. The relationship with the Consortium is being managed well, and school leadership is being provided with support and challenge. The projections for education, if accurate, will show continued improvement, providing cause for optimism ahead of the forthcoming GCSE and A-Level results. There is a recognisable shift in culture, with schools open to working together. Future work must focus on accelerating performance improvement, supporting effective leadership and modernising the support functions for schools.
45. **Social Care:** Performance indicators for Social Services presented a complex picture. At the local level, indicators are beginning to progress, though it remains to be seen how Cardiff's position would compare with the rest of Wales. That said the basket of performance indicators Cardiff has selected locally- and set targets against- provided cause for optimism. Members of the Forum noted, however, that many of the National Strategic Indicators and Public Accountability measures (NSIs and PAMs) are likely to require concerted effort, if Cardiff's performance is to improve relative to the rest of the Wales. In terms of Delayed Transfer of Care a 25% reduction target was set by the Minister which has been achieved, however the challenge now is to maintain performance. A strengthened culture of responsibility and accountability was also seen to be emerging with the external peers commenting on the managerial stability that had been brought into children services. The merging of adult and children's services therefore provided opportunities for greater alignment.
46. In respect of managing future demand, the development of the Integrated Care Fund project would play an important role. It was recognised however, that further work was needed to better understand demand across the range of adult and children's services. Equally, budget monitoring revealed a need to refocus

efforts on financial discipline, supported by the additional controls put in place. Whilst the additional budget controls were mitigating some instances of overspend, it continues to be an area where dedicated focus needs to be provided.

47. Whilst there is progress in Social Services, much work remains to be done.

Ahead of the Corporate Assessment follow on visit it was agreed that the Council would need to demonstrate i) a thorough understanding of the challenges it faces ii) an understanding of internal deficiencies and iii) the actions it will undertake to address these deficiencies. These were all issues that would be covered by the Director of Social Services Annual Report.

48. **Financial Resilience:** There was a consensus that the Council's approach to budget control was consistent with other authorities facing similar financial challenges. That said, the prevailing challenge for the Council would be to guard against monthly slippage as it would translate into a significant financial pressure given the anticipated level of budget shortfall. The Forum also regarded the new senior management arrangements appropriate, providing sufficient but sustainable management capacity. This was considered another important factor in helping to provide reassurance that the savings target could be delivered, despite the scale of the challenge and level of risk involved.

49. **Political Engagement:** The peer advisors emphasised the importance of robust cross party political governance in the long term success of the Council. In terms of the structures and processes established in Cardiff, it was thought that the Council had responded well to the observations of the WAO. The Challenge Forum itself was identified as one such example. Cabinet Members, scrutiny representatives, opposition leaders, senior officers and external peer advisors are all brought together for an inclusive discussion about the overall form and future direction of the organisation. These are all important considerations for the Council, particularly during a period of transition. This enables important constituents within the organisation to collectively consider overarching organisational challenges whilst helping ensure alignment between the executive and non-executive arms of the Council.

**50. Organisational Development Programme:** There was a shared view that the ODP remained a critical and appropriate vehicle for addressing a range of challenges, such as the marked deterioration the Council's financial position, demand-led pressures on services, and the inadequate performance of some statutory services. However, the Forum emphasised the need for an absolute focus on accelerating the pace of change, cautioning also that major delivery components such as the CRM model, were enablers of savings and did not necessarily deliver savings directly.

### **Previous Scrutiny**

51. The Committee considered the **Quarter 4 2014-15** Performance Report at its 12 May 2015 Meeting, following which Members were encouraged that the Council was on target to secure the £3.3m Welsh Government Outcome Agreement Grant, and that ESTYN considered there was evidence of improvement.

52. The Committee also highlighted a number of concerns to the Cabinet as follows:

- a. That the Council had appointed an advisor within the Education and Lifelong Learning service area to address areas identified for improvement by Estyn. Members requested clarification of the cost implications and selection process put in place for the appointment of the advisor. Members felt that other service areas in the Council, such as Health and Social Care, were equally deserving of expert specialist assistance. The Committee therefore expressed an interest in having sight of the recommendations the Council received from such specialist advisors, and felt there was an opportunity for a value analysis / evaluation of the work they delivered.
- b. Members reiterated importance of service managers taking full responsibility for delivering effective services, and where appropriate being paid by results.
- c. Members noted that sickness absence was still a significant concern for the Council. They accepted that there was a great deal of work ongoing to hit

sickness targets and that the current level of performance had not been easily achieved, however Members considered there were still several service areas with challenging levels of sickness absence. The Committee was pleased to hear of plans for those service areas to receive direct Human Resources intervention working alongside them in tackling attendance management.

- d. Members drew attention to Council performance in respect of the backlog of properties for let. And whilst understanding that the Council has had problems with contractors, and is now dealing with properties which by their nature are increasingly difficult to let, agreed that in future it may be worthwhile inviting service specific representatives when the Committee considers Performance.
- e. Members were concerned that despite maintaining resources into schools the Council is still not making the progress it should in Education. They particularly highlighted that work was required to support school governors in their role.
- f. Members welcome the Chief Executive's commitment to circulating the minutes of the Challenge Forum and look forward to this happening.
- g. Members remained interested in agency spend, and would like to look in more detail at this, particularly the rationale for using agency staff and value for money.
- h. Members felt there was scope to further upgrade the Council's website particularly around mobile communications and smartphone technology.
- i. With regard to PPDRs, Members noted that the Council's emphasis had shifted from maximising the number of PPDR's to ensuring the quality of the process. They concurred that setting training objectives was an important part of the PPDR, and recognised the challenge funding such training presents.

- j. Overall Members felt that in some areas progress was not good enough and that there was a need to revisit how we scrutinise the Council's Performance. The Committee feel it would be useful to factor the performance concerns raised by other scrutiny committees into their own consideration of Performance.

53. In support of 2j, Members may wish to note the following concerns raised by the other four scrutiny committees following Q4 performance.

54. In his response dated 18 June 2015, Councillor Bale (Leader), who had attended Committee on behalf of Councillor Hinchey (Cabinet Member –Corporate Services and Performance), responded to the Committee's concerns stating:

- The Education Advisory role had been commissioned by the Central South Consortium, and was one of a number of elements of school improvement support specific to Cardiff local authority. It was funded from within the existing agreement between the Council and the Consortium. Mr Hill was selected on recommendation from the Welsh Government because of his strong expertise in school improvement, and his knowledge of the policy context in Wales.
- The Council had recently begun to include key recommendations from the Challenge Forum in the quarterly performance report. To assist further this will be most effectively facilitated through engagement with the individual scrutiny committees dealing with those services, and officers will ensure that an appropriate vehicle for this exchange is established.
- He considered it beneficial that the Committee invites service representatives to PRAP performance scrutiny provided there was no duplication of effort, and suggested the Scrutiny Manager and Chief Officer Change & Improvement discuss how best to implement with the Chairs' Liaison Forum.

- Agreed arrangements would be put in place to ensure that the notes of Challenge Forum meetings were circulated.

### **Way Forward**

55. Councillor Graham Hinchey, Cabinet Member (Corporate Services and Performance) has been invited to attend for this item. The Chief Executive, Paul Orders; Christine Salter (Corporate Director Resources); and Martin Hamilton (Chief Officer Change & Improvement) have also been invited to present the report and answer any questions Members may have.

### **Legal Implications**

56. The Scrutiny Committee is empowered to enquire, consider, review and recommend but not to make policy decisions. As the recommendations in this report are to consider and review matters there are no direct legal implications. However, legal implications may arise if and when the matters under review are implemented with or without any modifications. Any report with recommendations for decision that goes to Cabinet/Council will set out any legal implications arising from those recommendations. All decisions taken by or on behalf of the Council must (a) be within the legal powers of the Council; (b) comply with any procedural requirement imposed by law; (c) be within the powers of the body or person exercising powers on behalf of the Council; (d) be undertaken in accordance with the procedural requirements imposed by the Council e.g. Scrutiny Procedure Rules; (e) be fully and properly informed; (f) be properly motivated; (g) be taken having regard to the Council's fiduciary duty to its taxpayers; and (h) be reasonable and proper in all the circumstances.

### **Financial Implications**

57. The Scrutiny Committee is empowered to enquire, consider, review and recommend but not to make policy decisions. As the recommendations in this report are to consider and review matters there are no direct financial implications at this stage in relation to any of the work programme. However, financial implications may arise if and when the matters under review are implemented with or without any modifications. Any report with recommendations for decision



that goes to Cabinet/Council will set out any financial implications arising from those recommendations.

## **RECOMMENDATIONS**

Committee is recommended to:

- Note the contents of the report attached at **Appendix A**;
- Consider whether it wishes to make any comments to the Cabinet to take into consideration when it receives the Performance report.

**Martin Hamilton**  
**Chief Officer – Change & Improvement**  
**28 August 2015**

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# Q1 Delivery and Performance Report 2015/16

## Progress against actions in the Corporate Plan 2015/16

Q1 2015/16 – (395\*)

Green 82.03% (324)	Amber 16.20% (64)	Red 1.01% (4)
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\*Including 3 (0.76%) N/A

## Progress against relevant Performance Indicators

Q1 2015/16 – (110\*)

Green 56.35% (62)	Amber 30.90% (34)	Red 12.72% (14)
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\*Excluding 118 Annual indicators, 27 with no results and 8 N/A

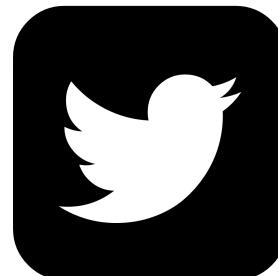
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# Q1 Customer Contact



**Twitter Media followers**  
**41,492 followers in English**  
**1,639 followers in Welsh**  
**1,396 Likes on Facebook**



<b>Complaints</b>	<b>Q1 (14/15)</b>	<b>Q2 (14/15)</b>	<b>Q3 (14/15)</b>	<b>Q4 (14/15)</b>	<b>Q1 (15/16)</b>
New Complaints Received	652	658	468	533	497
Corporate Complaints	652	656	467	532	490
Welsh Complaints	0	2	1	1	7
Acknowledgements not sent within 5 days	25	15	14	7	7
Response not sent within 20 days	54	36	33	22	39
Compliments Received	389	383	341	287	288

## Members Enquiries

<b>Directorate</b>	<b>Received</b>			<b>Responded on time</b>	
	<b>Q1</b>	<b>Q1</b>	<b>Q1 %</b>	<b>Q1</b>	<b>Q1 %</b>
<b>Childrens</b>	0	0	-		
<b>City Operations</b>	437	336	77%		
<b>Communities</b>	119	108	91%		
<b>Economic</b>	3	3	100%		
<b>Education</b>	11	11	100%		
<b>Governance &amp; Legal</b>	5	5	100%		
<b>Adult SC</b>	5	5	100%		
<b>Resources</b>	17	14	82%		
<b>Total</b>	<b>597</b>	<b>482</b>	<b>81%</b>		

603 cases were recorded on the member enquiry line, of these 86 cases were Request for Service. It is presumed that as fewer enquiries required closing down due to cases being Requests for Service, Members are using the guidance for Request for Service and reporting Member Enquiries and Request for Service appropriately.

**Total Staff Costs at Q1** **£49,696,863**

**Total Agency Costs at Q1** **£3,193,254**

**Total Overtime Costs at Q1** **£1,069,309**

The spend on agency may reflect an overspend against budget as there may be vacant posts where there is a budget but the staff are employed through an agency, so the permanent staff budget will show an underspend and the agency staff an overspend.

<b>Staff Costs to End Q1</b>	<b>% of Annual Budget</b>		<b>% Spend Agency</b>	<b>% Spend Overtime</b>
<b>£4,115,759</b>	<b>23.34%</b>	<b>Childrens</b>	<b>15.64%</b>	<b>0.43%</b>
<b>£13,559,436</b>	<b>27.42%</b>	<b>City</b>	<b>10.79%</b>	<b>3.33%</b>
<b>£6,307,790</b>	<b>27.11%</b>	<b>Operations</b>	<b>5.27%</b>	<b>1.90%</b>
<b>£785,699</b>	<b>27.77%</b>	<b>Communities</b>	<b>1.12%</b>	<b>0.14%</b>
<b>£3,102,096</b>	<b>25.48%</b>	<b>Corporate Mgmt</b>	<b>6.10%</b>	<b>2.85%</b>
<b>£6,952,297</b>	<b>28.24%</b>	<b>Economic</b>	<b>1.95%</b>	<b>0.47%</b>
<b>£1,136,302</b>	<b>30.67%</b>	<b>Education</b>	<b>3.90%</b>	<b>0.27%</b>
<b>£4,456,599</b>	<b>28.71%</b>	<b>Gov &amp; Legal</b>	<b>3.81%</b>	<b>4.70%</b>
<b>£9,280,886</b>	<b>23.61%</b>	<b>Adult SC</b>	<b>2.22%</b>	<b>1.57%</b>
		<b>Resources</b>		

**Agency**  
**6.43%**

**Overtime**  
**2.15%**

# Sickness Absence Q1

FTE days

2015/16

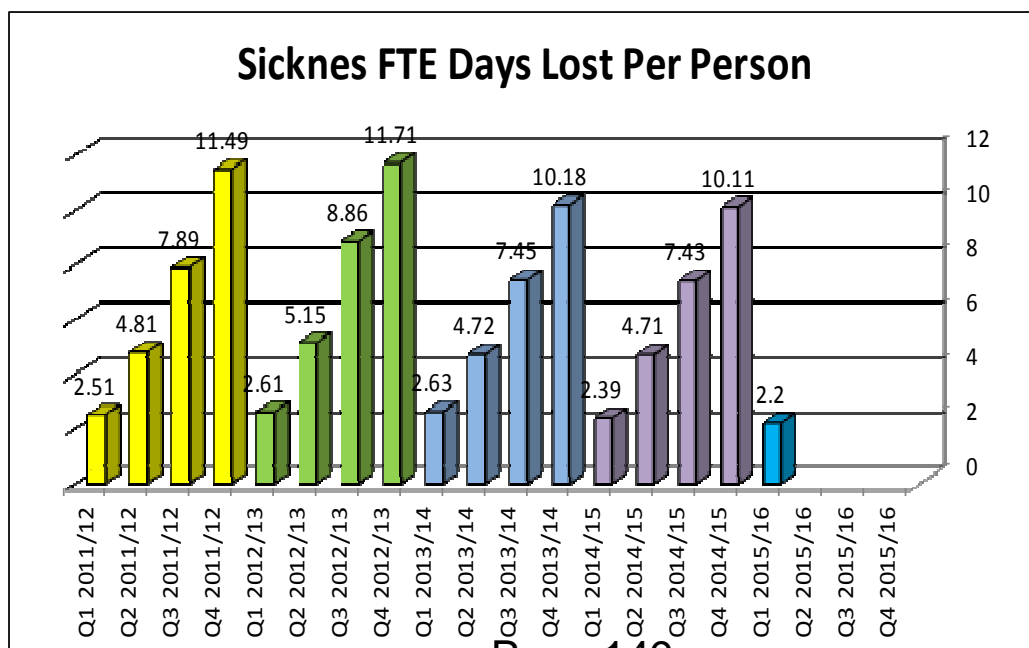
**2.2**

	Av FTE Numbers	FTE Target	Q1 Days lost	Forecast for 2015/16
Childrens	350	13.0	3.5	<b>14.5</b>
City Operations	1,375	13.0	3.0	<b>12.7</b>
Communities	960	9.0	2.0	<b>8.4</b>
Economic	245	6.0	1.4	<b>5.8</b>
Education	750	8.0	1.9	<b>8.0</b>
Education - Schools	5,400	7.8	2.1	<b>8.6</b>
Governance & Legal	85	6.0	1.7	<b>7.1</b>
Adult SC	650	13.0	2.8	<b>11.8</b>
Resources	927	8.0	1.9	<b>7.9</b>
<b>Total</b>	<b>10,746*</b>	<b>9.0</b>	<b>2.2</b>	<b>9.3</b>

\*This figure includes schools based education staff.

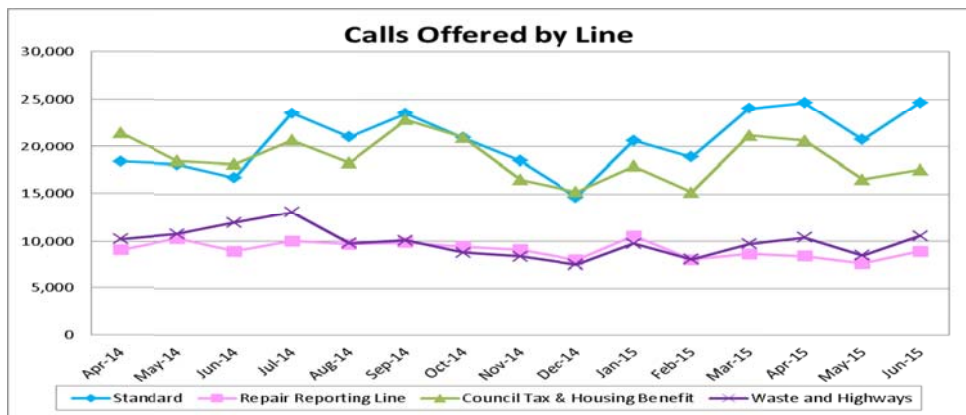
The Council's sickness figure is 9.0 FTE days lost per person, the data for Quarter 1 shows a decrease over the same period last year and was the lowest Quarter 1 figure in 5 years. The current forecast is 9.3 day lost per FTE.

The Sickness and Wellbeing Policy has been reviewed and approved and additional measures are being put in place for a number of directorates following a pilot in Environment last financial year.



# Customer Contact

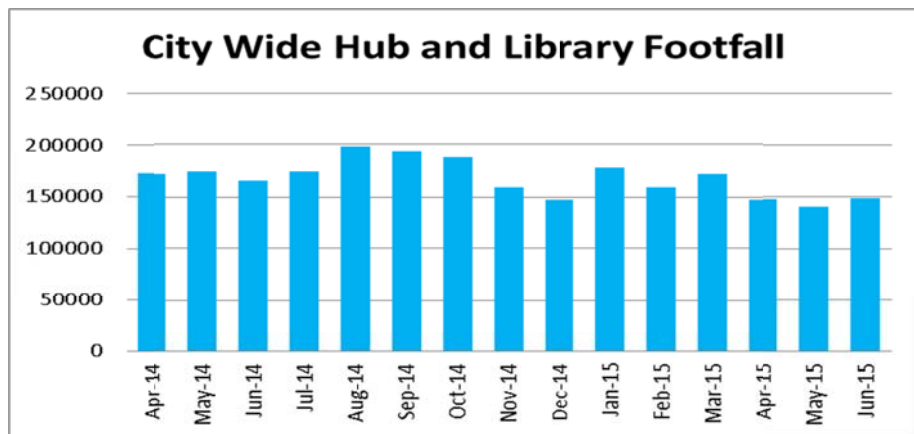
Calls offered to C2C



**Update:** Call volumes have been increasing compared to Q4 last year, although there was a notable decrease in May, the volumes have increased again during June.

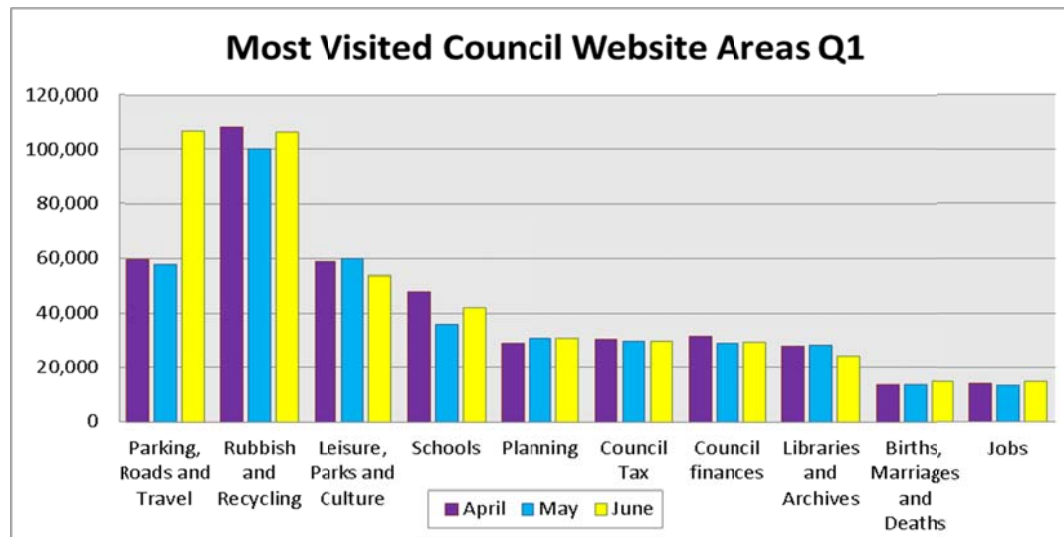
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Total Footfall in both Libraries & Hubs across the City.



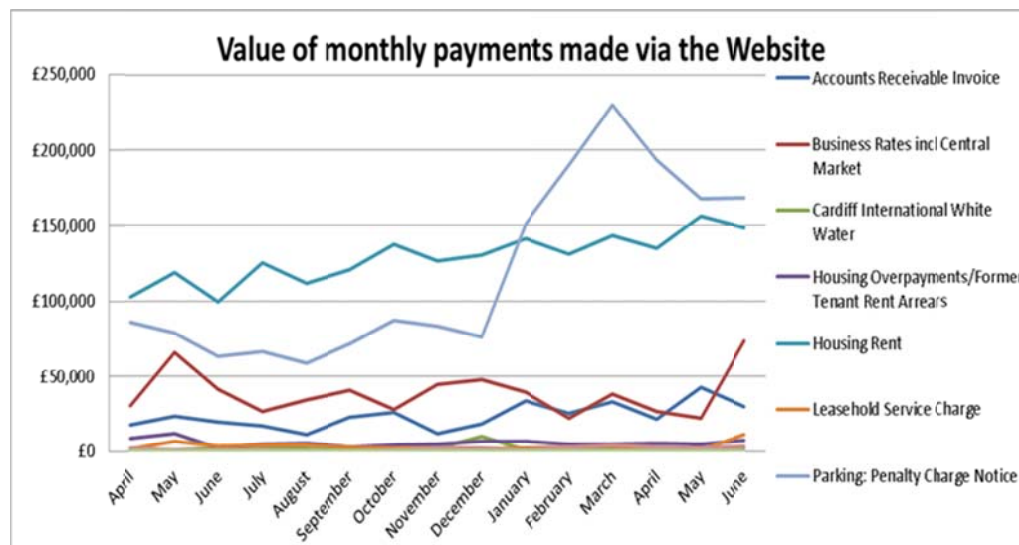
**Update:** The decrease in footfall during Quarter 1 is due to the closure of Central Library as it is transformed into Central Library Hub.

Most visited Website Areas



This chart shows (in descending order) the comparative levels of interest / page views by customers on the top 10 most viewed sections of the site each month during Quarter 1.

The value of Payments made through the Website





## Personal Performance and Development Review Compliance as at 17<sup>th</sup> July 2015

Organisation Name	PPDR Initiation		
	Total (Head Count)	Completed	Percentage (%)
City Operations	1390	1218	88%
Communities, Housing & Customer Services	1098	1042	95%
Economic Development	273	250	92%
Education & Lifelong Learning (exc schools and central teachers)	1010	827	82%
Governance & Legal Services	86	62	72%
Resources	1474	1376	93%
Social Services	1118	982	88%
<b>Total</b>	<b>6363</b>	<b>5695</b>	<b>90%</b>

## Staff Costs at Quarter 1

Directorate	Staff Budget £	Total Staff Costs to month 3 £	% Annual Budget spent	Overtime Budget £	Total Overtime spend £	Overtime Spend %	Total Agency Budget £	Total Agency Spend £	Agency Spend %	% Costs spend on overtime	% Costs spent on agencies
Children's Services	17,637,080	4,115,759	23.34%	0	17,608	0.43%	510,930	643,735	15.64%	0.10%	3.65%
City Operations	49,447,620	13,559,436	27.42%	1,979,785	451,202	3.33%	3,089,515	1,463,077	10.79%	0.91%	2.96%
Communities	23,264,810	6,307,790	27.11%	327,210	119,804	1.90%	123,910	332,588	5.27%	0.51%	1.43%
Corporate Management	2,829,250	785,699	27.77%	0	1,074	0.14%	0	8,803	1.12%	0.04%	0.31%
Economic Development	12,175,250	3,102,096	25.48%	375,560	88,346	2.85%	437,370	189,075	6.10%	0.73%	1.55%
Education	24,618,370	6,952,297	28.24%	0	32,605	0.47%	155,290	135,793	1.95%	0.13%	0.55%
Governance & Legal Services	3,704,820	1,136,302	30.67%	0	3,040	0.27%	2,550	44,339	3.90%	0.08%	1.20%
Adult Social Care	15,521,290	4,456,599	28.71%	58,720	209,468	4.70%	30,330	170,007	3.81%	1.35%	1.10%
Resources	39,315,631	9,280,886	23.61%	421,650	146,163	1.57%	414,160	205,837	2.22%	0.37%	0.52%
<b>Total</b>	<b>188,514,121</b>	<b>49,696,863</b>	<b>26.36%</b>	<b>3,162,925</b>	<b>1,069,309</b>	<b>2.15%</b>	<b>4,764,055</b>	<b>3,193,254</b>	<b>6.43%</b>	<b>0.57%</b>	<b>1.69%</b>

# Information Requests

Requests managed  
by Central Team

419

requests

81.62%

compliance

Function	FOI		DPA		Overall IR Compliance	
	Due	Compliance	Due	Compliance	Due	Compliance
Communication & Media	0	-	0	-	0	-
CTS	0	-	0	-	0	-
Democratic Services	12	75.00%	0	10	12	75.00%
Econ & Major Projects	12	75.00%	0	-	12	75.00%
Education	23	78.26%	0	-	23	78.26%
Emergency Management	0	-	1	100.00%	1	100.00%
Enterprise	0	-	0	-	0	-
Enterprise Archi	0	-	0	-	0	-
Environmental Health	23	78.26%	2	50.00%	25	76.00%
Exchequer & Dev	0	-	0	-	0	-
Facilities Management	2	0.00%	0	-	2	0.00%
Finance & Procurement	56	83.93%	0	-	56	83.93%
Health & Safety	1	100.00%	0	-	1	100.00%
Highways & Transport	62	82.26%	0	-	62	82.26%
HRPS	28	50.00%	7	28.57%	35	45.71%
ICT	10	90.00%	0	-	10	90.00%
Improvement & Info	6	83.33%	49	100.00%	55	98.18%
Legal Services	4	75.00%	0	-	4	75.00%
Planning	10	80.00%	0	-	10	80.00%
Policy, Partnership	0	-	0	-	0	-
Project, Design, Dev	0	-	0	-	0	-
Licensing	10	90.00%	0	-	10	90.00%
Regeneration Prog	0	-	0	-	0	-
Risk & Audit	0	-	0	-	0	-
Scrutiny Services	0	-	0	-	0	-
Shared Services	0	-	0	-	0	-
Strategic Estates	4	75.00%	0	-	4	75.00%
Trading Standards	5	100.00%	0	-	5	100.00%
Traffic Network Man	4	50.00%	67	95.52%	71	92.96%
Waste Management	21	66.67%	0	-	21	66.67%
<b>TOTAL</b>	<b>293</b>	<b>76.79%</b>	<b>126</b>	<b>92.86%</b>	<b>419</b>	<b>81.62%</b>

Since 1<sup>st</sup> April 2015 the Improvement & Information Team have taken over the management of information requests for specific Directorates. The report shows areas managed centrally and those that are managed by Directorates. In Quarter 1 the Council received 611 information requests under FOI & DPA I Legislation. The figures within the tables do not reflect Multi-function requests as these encompass a number of areas. The Council handled 46 Multi requests and compliance was 61%. The Improvement & Information team are currently considering how to effectively publish compliance with these requests in future reports.

## Requests managed by Directorates

78

requests

70.51%

compliance

Function	FOI		DPA		Overall IR Compliance	
	Due	Compliance	Due	Compliance	Due	Compliance
Childrens Services	10	40.00%	3	0.00%	13	30.77%
Crematoria & Cemeteries	2	100.00%	0	-	2	100.00%
Culture, Tourism	0	-	0	-	0	#DIV/0!
Customer Services	2	100.00%	0	-	2	100.00%
Harbour Authority	1	100.00%	0	-	1	100.00%
Health & Social Care	18	55.56%	5	40.00%	23	52.17%
Housing	19	89.47%	1	100.00%	20	90.00%
Infrastructure	0	-	0	-	0	#DIV/0!
Parks & Sports	11	90.91%	0	-	11	90.91%
Registration & Coroners	6	100.00%	0	-	6	100.00%
<b>TOTAL</b>	<b>69</b>	<b>75.36%</b>	<b>9</b>	<b>33.33%</b>	<b>78</b>	<b>70.51%</b>

# Directorate: Social Services - Adult Social Care

Director: Sarah McGill

Councillor: Susan Elsmore

Budget	Projected Outturn	Variance	Variance (%)
Budget Reported in Childrens Services			

Target Savings 15/16	Projected Savings	Variance	Variance (%)
Savings Reported in Childrens Services			

Number of Employees (FTE)	650
Sickness Absence YTD (Days Per Person)	2.8
PPDR Compliance Stage (Permanent Staff)	88%*

\*data for the whole of Social Services

## Q1 Progress against Corporate Plan Commitment Actions 2015/16 (Total No 7)

Green 85% (6) Amber 15% (1)

## Q1 Progress against Directorate Plan actions (Core Business Priorities) 2015/16 (Total No 10)

Green 90% (9) Red 10% (1)

### Progress on Challenges Identified Q4 (previous quarter)

- **Budget pressures** – There are challenges on the delivery of the combined 2014/15 (carried forward) and 2015/16 savings. Work is underway to address savings associated with commissioning, the commissioning of adult services to be taken forwards as a specific Organisational Development Workstream
- **Improved performance on Direct Payments against target** – There has been a 5% increase in the number of service users using Direct Payments from 550 at the end of 14/15 to 578 in Q1 15/16. As at 30<sup>th</sup> June 2015 there were 41 adults working towards receiving direct payments. There has also been a 10% increase in the number of adults with a learning disability using Direct Payments

To improve performance –

- Direct Payments are the first preference offered by Case Managers to the appropriate service user groups and Operational and Team managers are checking the relevant case management forms (Electronic Fair Access to Care Services) as a further check in the system to ensure Direct Payments are being offered.
- A review of the contract arrangements have taken place and this is due to realise £100,000 in savings during 2015/16.
- **Improve Carer Assessments completed/ offers** - . The number of carer assessment offers has increase this quarter by 46.56% compared to Q1 2014-15. Q1 2015-16 799 offers for 2740 named carers, Q1 2014-15 427 offers for 2204 named carers.

To improve performance–

- Stage 1 of cleansing the Care First client record system to improve data quality has been completed with the 2nd stage due to be completed in July
- The question regarding Carers Assessments on the Integrated Assessment forms have been made mandatory on CareFirst. The carers' question has also been placed in appropriate specialist forms including those used by the Occupational Therapy and Community Resource Teams
- **Improve Delayed Transfers of Care (DToC)** – A new leadership group has been established between the Vale of Glamorgan Council and Cardiff Council, the Chair of the University Health Board and relevant officers. On the 29th June a joint action plan was received and agreed by the Health Minister. The action plan has been compiled in response to the rise in the number of reported Delayed Transfers of Care (DToC) and will ensure that all issues are identified and addressed it is being driven forward via the recently formed Task & finish Group. Q1 2015-16 totals for social care reasons 86, Q1 2014-15 totals for social care reasons 29.
- **Improve staff sickness performance** – Implemented Housing, Customer Services and Adult Social Care monthly sickness monitoring report.

## Q1 Service Delivery

### Directorate Delivery Plan

- **Transitions** –Recruitment process has been delayed as the Operational manager post has been re-advertised. Joint work continues in this area and detailed transitions plans are in place, whereby the directorate have details of individual cases that will move from Childrens to Adult Social Care enabling a clear transition pathway for individuals and more robust budget forecasting for the directorate.
- **Increase the number of people who are able to remain at home** - The new scheduling mobile system for reablement is in the process of being and the system is due to be officially launched at the end of September 15. The Directorate is also trialling Vega Watches – designed for service users with dementia symptoms; 12 on trial at present and ‘Just Checking ‘technology an online activity monitoring system both schemes help to safeguard people, allowing them stay independent in their own home whilst providing reassurance for carers and family. **Dementia reablement training programme** - It is anticipated that the training manuals will be ready by the end of July with the Dementia Reablement scheduled to start in September 2015.
- **Social Services and Wellbeing (Wales) Act 2014** - The Regional Implementation Plan for the Act was signed off by the Integrated Adult Social Care Strategic Implementation Group and was submitted to Welsh Government at the end of March 2015. A presentation at the June Local safeguarding Board raised awareness on the Safeguarding stream (Part 7) of the Act to its members
- **Floating Support** - 2 mental health service users are already receiving floating support with 5 more identified. The service will offer a range of support to people who are experiencing mental health problems e.g managing finances, benefit applications or other complicated tasks which may cause difficulty.

### Management

**Sickness** –See progress on challenges in Section 1.

**PPDR’s** – The outturn is below expectations, however it includes 25 employees located at Cathedral View as it is scheduled to close. Weekly PPDR monitoring reports have been implemented and Operational Managers have recorded reasons for non compliance e.g maternity leave

**Health & Safety** - The Directorate Health & Safety Action Plan for 2015/16 was completed. This, together with the end of year H&S Statement and Annual Report for 2014/15 was agreed by SMT and went to Health & Safety Forum meeting on 17.6.15. During 2014/15 year end, five inspections were undertaken by the Health and Safety Advisor. Overall, there were 31 reported accidents, one of which was reported to the Health & Safety Executive.

## Directorate: Social Services - Adult Social Care

### Key Performance Indicator Data – Q1 2015/16

#### Q1 Progress against Performance Indicators (Corporate & Delivery Plans) 2015/16 (20)

Green 35% (7)

Amber 10% (2)

Red 25% (5)

Of the total number of indicators above, 10% (2) are annual results and 20% (4) are not appropriate for target setting

Performance Indicator	Result 14/15	Position Q1	Position Q2	Position Q3	Position Q4	Target 15/16	Year End 15-16	R.A.G.
Rate of delayed transfers of care for social care reasons per 1000 population aged 75 or over	10.92	3.65				5.92		R
For management actions please see Section Challenges identified & Actions being taken in Q1								
Number of delayed transfers of care for social care reasons	254	86				140		R
For management actions please see Section Challenges identified & Actions being taken in Q1								
Rate of older people (aged 65 or over) supported in the community per 1000 population aged 65 or over at 31 March	44.12	43.58				47		R
Number of service users in receipt of community based services as at Q1 is 2126 compared to Q4 2110, increase in population has resulted in an overall decrease in the rate. For management actions please see Directorate								

Delivery Plan – Number of people helped to live at home.								
The percentage of carers who had an assessment or review of their needs in their own right during the year	26.3	20.53				58%		R
Cumulative indicator. Number of completed assessments has improved during Q1 164 compared to 97 for the same period last year. Performance of this indicator is linked to the number of offers for carers assessments and will be monitored as part of the actions for carers assessment offers.								
Percentage of adults aged 65 or over who are supported with home care services out of the total with home care or care home packages	72.26	71.3				72.5		R
For management actions please see Directorate Delivery Plan – Number of people helped to live at home. Of the 3275 service users aged 65, 2335 were supported with home care services.								
Rate of older people (aged 65 or over) whom the authority supports in care homes per 1000 population aged 65 or over at 31 March	18	18.12				18		A
For management actions please see Directorate Delivery Plan – Number of people helped to live at home.								
Total number of adults using the direct payments scheme at the end of the quarter	550	578				700		A
For management actions please see Section Challenges identified & Actions being taken in Q1								
Percentage of clients with a care plan at 31 March whose care plans should have been reviewed that were reviewed during the year	82.04	37.78				90%		G
Cumulative indicator. Number of completed reviews during Q1 1583.								
The percentage of carers of adults who were offered an assessment or review of their needs in their own right during the year	64.4	29.16				90%		G
The average number of working days taken from completion of the care plan to provision and/or installation of aids/equipment	4.9	3.31				4		G
This indicator includes all ages.								

## Q1 Challenges Identified

- Budget pressures
- Improve Carer Assessments completed/ offers
- Improve Delayed Transfers of Care (DToc)
- Improve Direct Payments
- Improve staff sickness performance
- Delivery of sustainable Social Care in Cardiff

## Q1 Actions being taken

- Work is underway to address savings associated with commissioning, the commissioning of adult services to be taken forwards as a specific Organisational Development Workstream.
- Regular monitoring of performance to target any underperforming areas
- Address any gaps in the process and produce exception list at the end of Q3 to target in Q4.
- Work with the Adult Assessment Team to ensure that all carers are offered an assessment
- The Partnership Governance Board is monitoring delivery of the action plan to ensure the completion all of the actions within the timeframes necessary.
- Continue to work with the service provider to make improvements e.g. Seeking to create a pool of Personal Assistants that can be suitably matched to service users to cover 'interim' requirements whilst permanent services are put into place. Work on re-commissioning the Direct Payments Contract is to commence in August.
- Continue to monitor sickness performance and ensuring corporate guidelines are followed.
- Implement new structure and working practices within the directorate

## Directorate: Social Services - Adult Social Care

Councillor: Susan Elsmore

Director: Sarah McGill

### Q1 Risk Update

#### Corporate Risk

Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
<b>Adult Social Care</b> - The Social Services Well-being (Wales) Act 2014 places new duties and responsibilities upon already pressured services	Red	Red	The Director is the lead Director for workforce. Partners are actively engaging in the preparation of a regional workforce strategy by September 2015 to support implementation of the Act in April 2016. Responding to the 2 <sup>nd</sup> Tranche of consultation by 24 <sup>th</sup> July 15	<b>Tony Young &amp; Sarah McGill</b>
<b>Adult Care</b> -Changing demographics and increasing expectations of vulnerable people increase the risk of budget overspend	Red	Red	DTOC action plan agreed. Progress whole systems review, remodel services for disabled children and young adults.	<b>Tony Young &amp; Sarah McGill</b>
<b>Adult Care</b> -Failure to safeguard vulnerable people	Red	Red	The Regional Adults and Children's Safeguarding Board constituted for Council-wide responsibility	<b>Tony Young &amp; Sarah McGill</b>
<b>Failure to correctly align resources with demand and priorities - Sleep in Judgement – Whittlestone and Eparon</b> The Judgement will have financial implications.	Red	Red	Scoping exercise to be undertaken as Judgement impacts on a number of different providers	<b>Tony Young &amp; Sarah McGill</b>

#### Emerging Risks Identified this Quarter

Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
<b>Living Wage</b> – this will have an affect on the employee costs for social care providers	Red/Amber	Red/Amber	Impact analysis of potential additional costs and discussion with providers to take place	<b>Tony Young &amp; Sarah McGill</b>

#### Update on Previous Quarters Emerging Risks

Risk Description	Inherent Risk	Residual Risk	Progress	Risk Owner
N/A				

## Directorate: Social Services - Children's Services

Director: Tony Young

Councillor: Cllr Sue Lent

### Q1 2015/16

Budget	Projected Outturn	Variance	Variance (%)
£137,820,000	£142,780,000	£4,960,000	3.60%

Target Savings 15/16	Projected Savings	Variance	Variance (%)
£8,137,000	£5,057,000	£3,080,000	37.85%

Number of Employees (FTE)	350
Sickness Absence YTD (Days Per Person)	3.5
PPDR Initiation 2015/16 (Permanent Staff)	91%

### Q1 Progress against Corporate Plan Commitment Actions 2015/16 (7)

Green 86% (6)

Amber 14%  
(1)

### Q1 Progress against Directorate Plan actions (Core Business Priorities) 2015/16 (19)

Green 95% (18)

Amber 5% (1)

### Progress on Challenges Identified Q4 (previous quarter)

#### Managing caseload levels following departure of Managed Team:

Managed Team Exit Strategy – 43 (out of 315) cases were transferred to case management teams at the end of the 9 month period that the team were in Cardiff. Case management teams moved on 700 cases over the same period.

1. Level of unallocated work – number of unallocated cases has reduced from 115 at 31.03.15 to 65 at 30.06.15.
2. Caseload averages - the average social worker caseload at 30.06.15 was 18.9, compared with 19.7 at 31.03.15.
3. Case transfer bottlenecks – the bottlenecks are a function of the number of unallocated cases and caseload averages, both of which are currently within manageable levels overall. The volatile nature of demand is such that bottlenecks can occur very quickly and for this reason transfers continue to be monitored at weekly case allocation meetings.

### Q1 Service Delivery

**Directorate Delivery Plan** - Of the 7 actions in the Corporate Plan, 6 are rated green and 1 is rated amber/green at 30.06.15. The amber/green action relates to the effectiveness of transitional support for both disabled children and care leavers. Work has been undertaken to ensure that appropriate young people with disabilities who will need to make the transition to Adult Services are identified at an early stage. Whilst work has been undertaken to identify and establish current practice and processes in relation to care leavers and a much improved transitional process is currently in operation, this needs to be captured as part of the development of a formal protocol. The transition processes for disabled children and care leavers have the potential to be smoother as both services are now within the same Directorate. Some work on milestones relating to the implementation of recommendations from the Scrutiny Report on Transition into Adulthood was delayed due to a period of short term absence by the lead manager and will be addressed in Quarter 2, however, the care leavers grant was increased from £1,100 to £2,000 from 1st April 2015.

1 further action from the Directorate Plan has been rated as amber/green. This relates to Pathway Planning for care leavers and also refers to the recommendations from the Scrutiny Report mentioned above. Progress was affected by a period of short term absence by the lead manager and will be addressed in Quarter 2.

Progress reported during the quarter includes:

- LAC Strategy finalised - to be considered at the next Corporate Parenting Advisory Committee in September
- LAC Traineeship Scheme relaunched – 5 young people in placements
- Enhanced Fostering Scheme operational
- Regional adoption service launched and operational
- CSE Strategy subject to final revision and consideration and sign off by September LSCB
- Emergency Lodgings Scheme developed for commencement in Q2

**Management** - At the time of writing, the Directorate had achieved 74% compliance with finalisation of objectives from 2014/15 and 91% compliance with initiation of objectives for 2015/16. A small percentage cannot be initiated due to staff absence (e.g. maternity leave and long term sick leave), and a high level of recruitment activity and new intake accounts for a proportion of the outstanding PPDRs.



# Directorate: Social Services - Children's Services

## Key Performance Indicator Data – Q1 2015/16

### Q1 Progress against Performance Indicators (Corporate & Delivery Plans) 2015/16 (36)

Green 14% (1) Amber 86% (6)

Of the total number of indicators above 31% (11) are annual and 53% (18) have no or limited results as yet."

Performance Indicator	Result 14/15	Position Q1	Position Q2	Position Q3	Position Q4	Target 15/16	15-16 End Year	R.A.G.
% of referrals with decision made within 1 working day	83.1	89.8				100		A
Performance has continued to improve slightly in Quarter 1 in the context of a 16% reduction in the number of referrals. The performance report is based on electronic records, but there is evidence that the electronic capture of the information is delayed. However, management oversight confirms all referrals are subject to manager decision and prioritisation on the day of receipt.								
% of referrals that are re-referrals within a year of previous referral	25.4	25.6				24		A
There has been a marginal increase over the quarter relative to the outturn, but we recognise the need to ensure that assessment practice improves in order to reduce the rate and this will be closely monitored.								
% of initial assessments carried out within 7 working days	50.6	67.1				80		A
Concerted efforts, including daily monitoring reports, led to considerable improvement in performance against this indicator during Quarter 1 and the Directorate is confident that the 80% target will be met in Quarter 2. April = 44.7%; May = 62.4%; June = 95.7%								
% of children seen by a social worker during their initial assessment	60.9	64.4				80		A
<p>There has been a significant drive in empowering social workers and managers to undertake the most appropriate assessment at the point of referral. This has led to a range of outcomes including initial assessments:</p> <ul style="list-style-type: none"> <li>• Proceeding straight to child protection investigations / core assessment / specialist assessments.</li> <li>• Being closed with no further action after receiving managers have re-evaluated the decision to proceed to initial assessment.</li> </ul> <p>In these circumstances a full initial assessment would not have been completed - a more appropriate assessment would have been undertaken and the child seen as part of that assessment. This is commensurate with the new Social Services &amp; Wellbeing (Wales) Act 2014 wherein a proportionate assessment will be undertaken following all referrals. The target set by the ADSS, WLGA and CSSIW pre-dates this new approach which is consistent with the direction of travel across the country.</p>								
% of core assessments carried out within 35 working days	61.0	71.2				80		A
Performance against this indicator improved in Quarter 1, with the June result meeting the 80% target. April = 66.3%; May = 66.3%; June = 82.4%								
% of child protection reviews carried out within statutory timescales	99.8	100				100		G
% of social work vacancies in all teams	27.2	23.5				15		A
The vacancy position has improved very slightly during the quarter as appointed social workers have taken up post. The apparent high percentage of vacancies must be treated with caution because the % continues to be inflated by the creation of new posts as part of the realignment of Children's Services in 2014. Recruitment is ongoing - the recruitment campaign has been very successful and has directly contributed to the service's ability to retain social workers. We are now attracting numbers of applications from agency staff who have been working within the service, and social workers from other local authorities. The number of agency social workers has reduced from 55 in June 2014 to 34 in June 2015. The ambitious 15% target remains our aspiration for 31 <sup>st</sup> March 2016.								

**Q1 Challenges Identified**

The need to establish a single, integrated Social Services Directorate and align performance management arrangements coherently is an urgent priority.

**Q1 Actions being taken**

The Director is engaging with key managers in all areas of operation to resolve some fundamental issues about structure, line management responsibility and reporting arrangements with a view to resolving a clear position early in Quarter 2.

# Directorate: Social Services - Children's Services

Councillor: Sue Lent     Director: Tony Young

## Q1 Risk Update

Corporate Risk				
Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
Potential for mismatch between children's needs and capacity to meet them if current trends continue, for example in children needing to be safeguarded, looked after and/or receive other services to support families and carers to care for them.	<b>Red</b>	<b>Red</b>	The impact of the Managed Team enabled the service to reduce the overall number of cases from 2,953 at 30.06.14 to 2,376 at 30.06.15, bringing social worker caseloads in Children's Services teams down from 24.5 at 30.06.14 to 18.9 at 30.06.15. The Exit Strategy for the Managed Team was implemented and the additional team withdrew on 24 <sup>th</sup> April 2015. A draft Early Help & Preventative Strategy has been completed and consultation undertaken with partners; a draft implementation plan has been developed.	<b>Tony Young</b>
The implementation of the Social Services and Wellbeing (Wales) Act will place new duties and responsibilities upon already pressured services.	<b>Red</b>	<b>Red</b>	As per Quarter 1, senior managers are engaged in national activity to influence the development of regulatory requirements with a view to promoting proportionality of expectations. We are responding to the second tranche of consultation together with Health & Social Care by 24.07.15. The Director is the lead Director for workforce. Partners are actively engaging in the preparation of a regional workforce strategy by September 2015 to support implementation of the Act in April 2016. A regional readiness and implementation plan has been prepared and is being considered by Scrutiny at the July meeting.	<b>Tony Young</b>

## Emerging Risks Identified this Quarter

Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
N/A				

## Update on Previous Quarters Emerging Risks

Risk Description	Inherent Risk	Residual Risk	Progress	Risk Owner
N/A				

## Directorate: City Operations

Councillor: Derbyshire, Patel & Bradbury

Director: Andrew Gregory

### Q1 2015/16

Budget	Projected Outturn	Variance	Variance (%)
£52,546,000	£53,413,000	£867,000	1.65%

Number of Employees (FTE)	1,375
Sickness Absence YTD (Days Per Person)	3.0
PPDR Compliance Stage (Permanent Staff)	88%

Target Savings 15/16	Projected Savings	Variance	Variance (%)
£12,058,000	£10,378,000	£1,680,000	13.93%

#### Q1 Progress against Corporate Plan Commitment Actions 2015/16 (42)

Green 88% (37) Amber 12% (5)

#### Q1 Progress against Directorate Plan actions (Core Business Priorities) 2015/16 (45)

Green 73.3% (33) Amber 24.4% (11) Red 2.2% (1)

#### Progress on Challenges Identified Q4 (previous quarter)

**ADM: The parallel progression of the Corporate methodology for the evaluation of the infrastructure services alternative delivery model, and the associated governance arrangements, is having an impact upon progressing the outline business case analysis.**

The ADM project, consultation, and associated Cabinet report are on programme to be considered by Cabinet in July 2015.

**Project Controls: Although all key projects are being delivered on programme (either at Directorate or Corporate plan programme level) since the restructure formal directorate project board meetings have only been reformed end of March. As a result, although all projects have been challenged at senior level, OMs were not able to formally challenge each other's projects.**

Performance management, project governance and support arrangements are urgently being reviewed across the new Directorate to ensure robustness of project definition/delivery. A revised directorate programme board and programme will be established and operational by 30.07.2015.

**Budget: Issues identified with: i) achieving the financial targets for alternative delivery on Leisure Centres and Arts Venues; ii) finding suitable community organisations to take over responsibility for play centre buildings' iii)**

**Increase income across the portfolio to mitigate against future savings requirements.**

Achieving a balanced Budget is a core directorate priority. An in year mitigation strategy and action plan will be in place by 15.07.2015 to identify the actions necessary to achieve this outcome.

#### Q1 Service Delivery

##### Directorate Delivery Plan

**Deliver new Parking Strategy for Cardiff by Summer 2015 (amber):** The strategy is proposed to be taken forward to Cabinet in September.

**Establish a new strategy for highways and transport asset maintenance & renewal (amber):** The draft strategy will be developed for October for Highways and Transport. However, a view needs to be taken as to whether this work is extended to cover City Operations i.e. waste, parks & leisure.

**Invest to save schemes (amber):** The LED contract has been delayed by 3 months as a specification is developed with lower than envisaged kelvin light levels. This change has come from successful challenges at Trafford Council that stopped their contract proceeding. A trial is currently taking place to review the LED lanterns.

**Increase in Planning and Highway Fee Income (amber):** The issue of Welsh Government Planning Fee increase is being discussed with contacts within WG, it is clear that whilst new income is viable a risk exists that income may be lost if planning timeframes are breached. The planning head of service is changing working practice and developing a mitigation plan for this risk and to improve planning application determination performance. Highway income targets require further support to meet the levels set and this work is ongoing. Mitigations will be used to ensure that this saving is achieved.

**Special Educational Needs transportation for pupils (amber):** SEN transport still has significant issues with regards to control and projection of costs. A project officer is in place and working with Education to look at Processes that request SEN transport so costs are transparent and can be considered in the decision making processes. More robust targets are being established which maximise savings.

**Replacement of non-statutory primary school transport (amber):** 2 routes not formalised as existing provider did not want

to provide a service but there are ongoing discussions with other providers. There is no statutory obligation for the Council to provide a service and consultation has taken place; however, there will be parents and schools that are not happy with the changes.

**New Household Waste & Recycling Centres (amber):** Staff and TU consultation has begun on the proposed changes. Market testing has been undertaken and partners are interested in supporting and running a Re-Use facility. It should be noted that the legal operating permits required for the new site can take 6-9 month to obtain from the regulator (NRW), location is to be finalised.

**Neighbourhood Services Council Wide:** The £600k identified saving for Neighbourhood Services (Council wide) proportioned against respective departments and the restructure will be signed off in order to proceed. Whilst a proportion of the frontline savings have been realised, the remainder is being sought through a range of approaches for Cross directorate; enforcement, fleet, business administration and eland reductions, management and support. A full saving mitigation plan is being put in place.

**Waste strategy & disposal savings (Red):** The current projection assumes post sort has ceased and an alternative option to assist securing the recycling performance is sought. A mitigation plan is being put in place for month 4.

**Corporate savings linked to Directorate for leisure, parks and waste (amber):** Agency and overtime savings have been allocated but not the operational efficiency savings, this will be done at the budget meeting early July. A full saving mitigation plan is being put in place.

**Increase income at Heath Park Car Park (amber):** Changes have been implemented but may not achieve savings target due to full year affect. A full saving mitigation plan is being put in place.

**Welsh language assessment (amber):** Frontline initial assessment using the linguistic diagnostic tool has not fully taken place in relation to all receptions, hubs, centres within the Directorate.

**Benchmark service performance (amber):** Delays in Refuse Collection and Street Cleansing information and data gathering could result in submission deadlines not being met if quick progress is not made over the coming weeks.

**Retrofitting the council's building estate (amber):** The slight delay in reaching invitation to tender was related to resource difficulties in service areas supporting this process but the project is now back on track. An emerging risk is that the government are reviewing Energy Tariffs which will impact business cases for new renewable schemes.

**Ensure the private rented sector is fit for purpose (amber):** Delays in finalising on line consultation form meant original Cabinet report date has slipped from July to next available Cabinet date in September

**Achievement of financial targets for ADM on Leisure Centres (amber):** Procurement process for Leisure Centre Operator is at competitive dialogue stage, delivery of savings is dependent on procurement timetable and content of bid.

**New Bus Station:** Preparatory work and delivery of the Communication Plan regarding interim arrangements prior to the closure of the bus station [02.08.15]. Information leaflets circulated. Confirmation of interim arrangements. Briefings and presentation to key stakeholders, cabinet and councillors.

#### **Management**

**Sickness Absence** – awaited from Central Performance Team

**PP&DRs** – Results for initiation of PP&DRs for 2015/16 are 88% (1218 of 1390 completed), managers have been reminded of the importance of completing reviews and are actively working towards undertaking these.

**Health & Safety** - a significant piece of work has commenced to start drawing together the Health & Safety Policy and Action Plan for the new Directorate, as well detailing arrangements across health & safety topics, responsibilities need to be identified, as such an appendices for each operational manager have been forwarded to OMs for updating, these need to be completed before the policy and action plan can be progressed.

### **Key Performance Indicator Data – Q1 2015/16**

#### **Q1 Progress against Performance Indicators (Corporate & Delivery Plans) 2015/16 (19)**

**Green 16% (3)**

**Red 16% (3)**

11 (58%) of the indicators are annual and 2 (10%) have no result available at this stage as the data is still being collected, interrogated and verified.

<b>Performance Indicator</b>	<b>Result 14/15</b>	<b>Position Q1</b>	<b>Position Q2</b>	<b>Position Q3</b>	<b>Position Q4</b>	<b>Target 15/16</b>	<b>Year End 15-16</b>	<b>R.A.G.</b>
PSR/004 - The percentage of private sector dwellings that had been vacant for more than 6 months at 1 April which were returned to occupation during the year through direct action by the local authority	6.71%	1.03%				6.6%		<b>R</b>
This is a cumulative indicator where results are built up throughout the year where dwellings are returned to occupation, end of year target is envisaged to be met.								
PLA/004 (a) - The percentage of major planning	<b>Page 168</b>	168%				25%		<b>R</b>

applications determined during the year within 13 weeks									
PLA/004 (c) - The percentage of householder planning applications determined during the year within 8 weeks	71.1%	64.8%					80%		R
PLA/004 (a & c) - A range of measures to improve performance are currently being developed by the recently appointed Head of Planning to respond to a heavy and complex workload. Issues under consideration include assessing staffing capacity against available budget, improved joint-working across teams within and beyond the Planning Service, making improvements to the Development Management process and creating an enhanced performance-driven culture. Full details will be finalised by late summer and will build upon improvements brought about through the recent restructuring process.									

<p><b>Q1 Challenges Identified</b></p> <p>Budget Under Achievement – in key areas Budgets have been underachieved.</p> <p>New Directorate Structure / Governance/ Systems</p> <p>Ensuring Major Project Delivery: Leisure Centres. Achieving the financial targets for alternative delivery. ADM: Project Delivery / Defining adequate resourcing. Managing and reducing sickness absence</p>	<p><b>Q1 Actions being taken</b></p> <p>A rigorous approach is being adopted to identify alternative budget mitigation, establish clear saving ownership and programmes/monitoring for savings/income delivery. All plans in place by end 08.2015.</p> <p>A transition plan has been established to define roles/objectives and key areas such as performance, business support and finance function. In the medium term an appropriate service/budget review is being planned.</p> <p>Programme board is established. Management actions and mitigations being implemented and further explored.</p> <p>In order to reduce sickness absence levels a greater focus on individual cases has been adopted and through the introduction of bi-monthly performance meetings with those reporting directly to the Operational Manager. Sickness absence is a core agenda item and HR is supporting the process in tackling problem areas.</p>
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## Directorate: City Operations

Councillor: Derbyshire, Patel & Bradbury

Director: Andrew Gregory

### Q1 Risk Update

Corporate Risk				
Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
<b>Climate Change and energy security</b> - Un-preparedness to the effects of climate change due to lack of future proofing for key (social and civil) infrastructure and business development, and inability to secure consistent energy supply due to rising energy costs and insecurity of energy supply.	Red	Red	Training and 1-2-1 support has been offered by the SD Unit to all Directorates to support them addressing the Corporate PI on this issue but uptake from Directorates has been low. The SD Unit will offer further support to Directorates to provide a combined year 1 & 2 response and will investigate other ways to ensure that parties are more proactively engaged, including an analysis of how new legislation (Well-being of Future Generations Act and upcoming Environment Bill) will help to influence this agenda	Andrew Gregory
<b>Food Safety Management</b> - Ineffective food safety management systems including procurement leading to unsafe food at Cardiff Council food business	Red	Red / Amber	The e-learning HACCP module is now live and available to all relevant staff across the Council. The HACCP team liaise regularly to coordinate updates as required and updates	Andrew Gregory

outlets, events & venues			are made available via CIS. The E.coli Groups both met in this quarter. The Corporate E.coli work supported by Public Protection is not in scope for the new collaboration which we are a part of, as such discussions are ongoing as to how this moves forward.	
<b>Preparation of Local Development Plan</b> -Preparing a plan that is considered 'sound' by the Inspector, within the proposed timetable.	<b>Red</b>	<b>Red / Amber</b>	All 187 Action Points have been responded to and posted on the Council's website. Action point responses have informed proposed changes to the submitted Deposit LDP which are set out in a document called the Matters Arising Changes Schedule. Formal consultation on the proposed changes is underway and runs between 11th June and 23rd July. Project remains on course, no further mitigating actions currently required.	<b>Andrew Gregory</b>
<b>Waste Management</b> - Failure to achieve targets for Landfill allowance, specifically for Biodegradable Municipal Waste and WG statutory Recycling Targets. Ineffective delivery of recycling targets and residual waste treatment.	<b>Red</b>	<b>Red</b>	The end of year position for statutory recycling and Biodegradable Municipal Waste to landfill targets have been exceeded (full NRW validation is pending). The Project Gywrdd commissioning means that the risk of failing our Biodegradable Municipal Waste target has been virtually removed. The risks for 15/16 remain on recycling performance remains red as the target increases from 52% to 58% this year.	<b>Andrew Gregory</b>

### Emerging Risks Identified this Quarter

Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
Significant risk with financial targets in not being able to be met	<b>Red</b>	<b>Red</b>	Mitigation strategy currently being developed	<b>Andrew Gregory</b>

### Update on Previous Quarters Emerging Risks

Risk Description	Inherent Risk	Residual Risk	Progress	Risk Owner
Should timescale for procurement on Leisure Centres alternative management not be met, savings achievement would be delayed.	<b>Red</b>	<b>Red</b>	Should timescale for procurement on Leisure Centres & Arts Venues alternative management not be met, savings achievement would be delayed.	<b>Andrew Gregory</b>

# Directorate: Communities, Housing & Customer Services

Director: Sarah McGill Councillor: Graham Hinchey, Susan Elsmore, Peter Bradbury, Dan De'Ath

## Q1 2015/16

Budget	Projected Outturn	Variance	Variance (%)
£46,680,000	£46,680,000	-	-

Number of Employees (FTE)	960
Sickness Absence YTD (Days Per Person)	2.0
PPDR Compliance Stage (Permanent Staff)	95%

Target Savings 15/16	Projected Savings	Variance	Variance (%)
£1,643,000	£1,439,000	£204,000	12.42%

### Q1 Progress against Corporate Plan Commitment Actions 2015/16 (Total No.14)

Green 92.85% (13)

Red  
7.14%  
(1)

### Q1 Progress against Directorate Plan actions (Core Business Priorities) 2015/16 (Total No.46)

Green 96% (44)

Amber 4% (2)

### Progress on Challenges Identified Q4 (previous quarter)

#### Central Library Hub

Project operating to schedule – construction will conclude on the 17/7. Furniture and technical installs will be in place by the end of July and official launch will take place on the 30th July. 150k Welsh Government grant secured to partially fund the library enhancements. Work is underway to maximise digital offer for citizens.

#### Waste Restriction Programme

All temporary project staff have been recruited, trained and are live dealing with customers. The leaflet drop outlining the WR changes have taken place with bespoke bag deliveries in the delivery stage at present. Customer contact are increasing with all channels seeing an increase in demand. Formal complaints remain a low volume at this time with most customers expressing dissatisfaction through social media, which is being addressed separately. Changing information and clarity of some decisions remain a challenge.

#### Improving the speed of homelessness decision making

The measures put in place are working and there has been a significant improvement in the time taken to make a homelessness decision. As at 3<sup>rd</sup> July 2015 there were 73 open cases, this is down from 135 at 1<sup>st</sup> May 2015.

### Q1 Service Delivery

#### Budget

There are some budget implications due to the implementation of the Rumney Partnership Hub, Central Library Hub and the Alarm Receiving Centre. Part year effect of the saving will be realised in 2015/16, however additional savings and additional income is being identified to ensure the directorate achieves a balanced position.

#### Directorate Delivery Plan

**Alarm Receiving Centre** – Go live date is planned for 18<sup>th</sup> August 2015, and we have implemented a managed 1 month delay into the project to allow more time for the robust testing of technology and detailed process and procedures to be written.

**Customer Contact** – During Q1 C2C received 33,000 additional calls. The answer rate for calls into C2C has improved for the 3<sup>rd</sup> consecutive quarter to 91.59%. This is as a result of the return of the 37 hour working week, an increase in the centres opening times and review of working practices. Email contact has also increased with the average monthly figure rising from 6,000 to over 17,500 customer emails. The average response rate has decreased to 19 hours 37 minutes.

**Housing Allocation Policy** - The new policy has been in place for 6 months and a review of the policy is being carried out in conjunction with the housing associations and proposals will be put forward to resolve any issues that have been identified. Any changes from this review will be taken to Cabinet in November for decision.

**Into Work** - New outreach provision for help to get on line and job clubs are now held in Plasnewydd Community Centre twice a week (recently community asset transfer to YMCA). The service also successfully bid for funding from Communities 2.0 to provide laptops and tablets at the sessions.



**Hubs** - Community consultation on Rumney Partnership Hub was completed and agreement reached with C3SC for the ECLP Communities First team to lease part of the premises. Plans for Llandaff North and Fairwater Hubs finalised following consultation with stakeholders and the community.

**Housing Repairs** – Performance Management Software (Infosuite) is being installed on 15th July 2015 with training currently being undertaken. Performance monitoring of the separate trades and individual contractors are now in place and includes information on first time fixes and appointments kept. A new Performance and Operations Manager has been appointed to improve monitoring and contract management.

**Housing Partnership Programme** – Report to Cabinet 16<sup>th</sup> July 2015 to set out the final list of sites and approve the process to appropriate land for planning purposes. Developer to be appointed in September.

**Management**

**Health & Safety** - Plan has been created, approved at SAJC and circulated to SMT. The H&S Action Plan is available on the Council CIS system.

**PPDR Status** – Directorate reporting a 95% completion rate for completion rate for setting of PPDR objectives for 2015/16. A sampling exercise into the quality of PPDRs is taking place.

**Sickness** – Regular monitoring takes place within the directorate with: ·monthly directorate performance report ·weekly manager updates on sickness, open RTW and any missed stages · Case management to any Long-term sickness and Assistant Director Management Team meetings.

**Directorate: Directorate: Communities, Housing and Customer Services**

**Key Performance Indicator Data – Q1 2015/16**

**Q1 Progress against Performance Indicators (Corporate & Delivery Plans) 2015/16 (Total No.45\*)**

**Green 55% (18)** **Amber 39% (13)** **Red 6% (2)**

\*6 annual, 3 are not targeting and 3 no data

Performance Indicator	Result 14/15	Position Q1	Position Q2	Position Q3	Position Q4	Target 15/16	End 15-16	Year	R.A.G.
The average number of calendar days taken to deliver a Disabled Facilities Grant	193	214				200			R
Work on site is delayed due to the capacity of the contractor being unable to meet the demand. Meeting with contractor has taken place; they have taken on additional staff and have given an undertaking that timescales required can be met. New monthly performance monitoring is being developed to better understand all the issues involved.									
The number of library materials issued, during the year, per 1,000 population	4,727	967				5000			R
These figures represent a 75,838 drop in performance against 2014 -15 figures. Some impact has been felt as a result of the closure of Central Library for 5 weeks during this period, to enable the refurbishment work for the Central Library Hub. There is also the continued closure of Roath Library and the closure of Grangetown Library for the refurbishment. Anticipating improved performance in Quarter 2 as a result of focused approach to the delivery of the Summer Reading Challenge									
The number of visits to Public Libraries during the year, per 1,000 population	8,376	1,217				6,000			A
These figures represent a decrease of 52,233 in performance against 14/15 figures. Impact has been felt as a result of the closure of Central Library for 5 weeks during this period for the refurbishment work for the Central Library Hub. There is also a continued closure of Roath Library for Health and Safety reasons and the closure of Grangetown Library for the refurbishment.									
The percentage of all potentially homeless households for whom homelessness was prevented for at least 6 months	51.7%	33.6%				55%			A
This indicator has been withdrawn following the introduction of the Housing (Wales) Act 2014, and the WAG has not replaced it. The WHO12 return now requires us to report on the number of households for whom homelessness was prevented or relieved, the criteria for each being that the solution should be one that is likely to last for 6 months or more. This particular quarter saw a shortfall in instances of prevention reported to us by partner organisations; a fall in the number of hostel rooms becoming vacant; and a higher-than-normal number of decisions that substantiated homelessness									
Percentage of C2C Calls Answered	86.9%	91.6%				93%			A

Performance Indicator	Result 14/15	Q1 Position	Q2 Position	Q3 Position	Q4 Position	Target 15/16	15-16 End Year	R.A.G.
For the third consecutive quarter, C2C have improved its overall Answer Rate percentage. Despite handling an additional 33,000 calls, which can largely be attributed to the council tax annual billing period when which saw 65,000 calls being offered in the month of April, C2 achieved an increase of 1.88%. This comes in conjunction with staff returning to a 37 hour working week and an increase to the centres operational hours allowing for greater flexibility in the scheduling of break and lunch patterns and the ability to further front-load rotas and concentrate greater levels of resource at the start of the day when needed.								
BNF/002 (a)CTR : Speed of processing: Average time for processing new Council Tax Reduction claims	18.9	19.94				21		G
BNF/002 (a)HB : Speed of processing: Average time for processing new Housing Benefit claims	21.3	22.95				21		A
While the target was met for Council Tax Reduction claims, the time taken to process Housing Benefit claims was above target. This was due to high staff turnover within the section, posts have now been filled and planned training programme is underway.								
The average number of days that all homeless households spent in Other forms of temporary accommodation	206	195				200		G
This is a good performance and an improvement from 214 in Q4. The implications of the section 73 duty under the Housing (Wales) Act may have an impact on the typical length of stay and this PI will be monitored to understand the impact of this change.								
Vacant Local Authority stock as percentage of overall stock (as at the end of the period)	1.55%	1.53%				1.5%		G
The total amount of rent lost due to lettable units of permanent accommodation being empty as a percentage of the total rent debit for the financial year.	2.12%	1.8%				2%		G
The number of vacant properties remains within target. The rent loss in the first quarter is £285,227.95, this compares favourably with the same period last year when the rent loss was £375,612.66.								
HLS/014 : The average number of calendar days taken to let lettable units of permanent accommodation during the financial year	112.7	103				Q1-90 Q2-80 Q3-70 Q4-60		A
Quick turnaround project pilot has had a positive impact and April (85 days) and June (83 days) showed significant improvement in the turnaround times for voids. The quarterly outturn was impacted by June's result (121) where some properties that had undergone significant improvement were let after being void for a significant amount of time. Some issues remain however with the time taken by contractors to carry out works and with letting some properties and further work is needed to resolve these issues.								

### Q1 Challenges Identified

### Q1 Actions being taken

Successful Launch of the Central Library Hub

Full launch programme has been put in place on 30<sup>th</sup> July.

Implementation of the Waste Restriction Changes

Actions implemented already covered in this report, calls will be closely monitored. Aim to utilise of social media and the web to reduce call demands.

Reducing the time taken to let vacant properties remains a key challenge

The action plan already in place to improve vacant turn around times will be reviewed and other actions identified. Contractor performance will continue to be monitored carefully and appropriate action taken.

## Directorate: Communities, Housing and Customer Services

Councillor: Graham Hinchey, Susan Elsmore, Peter Bradbury, Dan De’Ath

Director: Sarah McGill

### Q1 Risk Update

Corporate Risk				
Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
<b>Welfare Reform</b> - That the Council cannot meet its statutory obligations with the increased demands and reduced budgets placed upon it by the Welfare Reform Bill 2011,	<b>Red</b>	<b>Red</b>	<ul style="list-style-type: none"> <li>- Welfare Reform Group is working well in coordinating multi-agency activity</li> <li>- Discretionary Housing payments are being used to top up the benefit claims of those most affected</li> <li>- Tenants adversely affected are being supported to exchange properties , given tenant greater choice on new properties and reducing void rent loss</li> </ul>	<b>Sarah McGill</b>

Emerging Risks Identified this Quarter				
Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
<b>UKs Budget Announcement</b> <ul style="list-style-type: none"> <li>- Benefit Cap reduced to £20,000 (previous risk profiled on £23,000)</li> <li>- Freeze on benefits</li> <li>- Tax credit changes</li> <li>- Budget settlements on areas where there is devolved powers is Wales is currently not known</li> </ul>	<b>Red</b>	<b>Amber/ Green</b>	Assessed the potential impact for Cardiff <ul style="list-style-type: none"> <li>- benefit cap may affect as many as 1,161 households (of which 485 are council tenants)</li> </ul> This risk to be managed as part of the wider Welfare Reform Corporate Risk.	<b>Sarah McGill</b>

Update on Previous Quarters Emerging Risks				
Risk Description	Inherent Risk	Residual Risk	Progress	Risk Owner
<b>Central Library Closure for refurbishment</b> – Negative impact for service users and reputational damage from the building being closed if not properly managed.	<b>Red</b>	<b>Amber/ Green</b>	Risk was correctly managed with closures kept to minimum and contingency plans successful. Minimal public reaction or complaints	<b>Isabelle Bignall</b>

## Directorate: Economic Development

Director: Neil Hanratty

Councillor: Phil Bale, Peter Bradbury, Graham Hinchey

### Q1 2015/16

Budget	Projected Outturn	Variance	Variance (%)
£2,314,000	£2,614,000	£300,000	12.96%

Target Savings 15/16	Projected Savings	Variance	Variance (%)
£1,653,000	£1,653,000	-	-

Number of Employees (FTE)	245
Sickness Absence YTD (Days Per Person)	1.37
PPDR Compliance Stage (Permanent Staff)	92%

### Q1 Progress against Corporate Plan Commitment Actions 2015/16 (Total No.19)

Green 100% (19)

### Q1 Progress against Directorate Plan actions (Core Business Priorities) 2015/16 (Total No.14)

Green 86% (12)

Amber 14% (2)

### Progress on Challenges Identified Q4 (previous quarter)

- City Deal** – All local authorities have committed to participate in City Deal. 9 have Cabinet approval final one is currently being processed.
- Cardiff Business Council** - The Council has embarked upon a review of the organisation in anticipation of future funding shortfalls and the City Deal opportunity.
- Central Square** - Planning permission has been granted. Preparations have been made to undertake a detailed public engagement exercise before the closure of the bus station. The public can view the model for the proposed transport interchange and give their feedback before the planning application is submitted in the autumn.
- Arena** – A business case setting out a plan for delivery is being developed. The intention is to report to Cabinet in the autumn.
- Civic Centre** – A Commissioning Brief and shortlist of architects has been agreed with Cardiff University and the procurement process is underway. Selection will slip into Q2.
- Property Strategy** – Advice provided to Neighbourhood Management Teams to determine their current and future property requirements. Once the requirements are agreed Neighbourhood Area Asset Plans will be developed, outlining proposals for community buildings and partnership assets.
- BID** - Advisors appointed to prepare a BID ballot. Task Group established to develop a baseline analysis of service delivery.
- ADM review** – Project group established to explore the merits of a heritage trust. ADM for cultural venues is progressing.

### Q1 Service Delivery

#### Directorate Delivery Plan

**Deliver, with partners, 200,000 square feet of Grade A office as part of a new business district in the vicinity of central station between March 2014 and March 2016** - Planning permission has been granted for the masterplan. Construction of 135 sqft of grade A office accommodation is progressing at building 1. Planning permission is in place for a HQ building (phase 2) and building 2 (phase 3). Central Square design works are on programme.

**Deliver with partners a proposal to Central Government for a City Deal for Cardiff by March 2017, along with a subsequent programme for delivery** - Partners have agreed to bring together a fund to appoint advisors to undertake business planning and feasibility studies. Formal agreement to participate achieved in 9 Councils.

**Implement a delivery strategy to progress a Multi-Purpose Arena by March 2016** - masterplan completed.

**Establish a new Tourism Development Strategy by June 2015 with a view to doubling the value of overnight tourism in the city-region by 2020** – The Council's Cabinet approved the new Tourism Strategy and Action Plan 2015 – 2020. Outcomes will be led by the private sector, supported by the Council and embrace close working with stakeholders.

**Deliver the approved Property Strategy** –the Corporate Asset Management Plan (CAMP) will be presented to the Council's Cabinet in July. Once approved the CAMP will become the key property management tool for the authority providing a corporate view of all property related activities. Property Partners from Strategic Estates have worked with service areas and developed a property master schedule detailing gross internal area for all buildings, running cost, maintenance backlog and capital receipts.

**Delivery of an Office Rationalisation programme to deliver £1m of revenue savings and £6m of capital receipts by December 2017** – Quarter 1 targets achieved, Council teams have vacated Charles Street and operational costs ceased

in June.

**Community Regeneration** – Community shopping centre improvement schemes progressing at Clare Road and Penarth Road. The Council are consulting communities on draft neighbourhood renewal schemes at Trenchard Drive and Birchgrove.

**Social Enterprise Funding** – A Social Innovation Fund (SIF) has been set up by the Council to help promote social enterprises. Three successful applicants have gone through for SIF approval and received an offer letter.

**Management**

**Health and Safety** – No accidents reported during the period.

**PPDRs** – completed 91% of end of year performance reviews.

**Welsh Bilingual Service** – Cardiff Castle linguistic assessments completed. Managers of other front line teams will need to complete their forms.

## Directorate: Economic Development

### Key Performance Indicator Data – Q1 2015/16

#### Q1 Progress against Performance Indicators (Corporate & Delivery Plans) 2015/16 (Total No. 32)

Green 78% (14)

Amber 22% (4)

14 PI's have annual results / 18 PI's have quarterly results

Performance Indicator	Result 14/15	Position Q1	Position Q2	Position Q3	Position Q4	Target 15/16	End 15.16	Year	R.A.G.
<b>Grade A office space</b>	30,000 sqft	180,000				100,000			G
Approval of a HQ in Central Square.									
<b>Grow membership of the Cardiff Business Council to 1,000 members (by 2016) (cumulative figure)</b>	120	164				1,000			A
The Council has embarked upon a review of the organisation in anticipation of future funding shortfalls and the City Deal opportunity.									
<b>Retained Income For St David's Hall and New Theatre</b>	£1,269,492	£403,782				£1,337, 500			A
In Q1 we failed to achieve the target of £409,618 by 1.4%%. It is anticipated that retained income targets will be satisfied at year end.									
<b>Number of Attendances At Cardiff Castle</b>	274,285	76,636				285,000			A
Q1 performance is below the challenging target set due to last years over performance. It is worth noting however that we achieved income of £994,751 against a target of £969,017– indicating some success in increasing the yield per customer. Part of the reason for the reduced performance in Q1 is the early Easter in 2015 which saw some of the holiday visitor numbers leak into Q4 of 2014/15. Another minor factor is the reduced number of Welsh banquet tours undertaken due to the removal of a number of Welsh banquets from the Castle to re-focus on higher yielding functions. Income stream targets across the Castle have been re-adjusted to take account of this change.									
<b>Customer Satisfaction Level For Cardiff Castle</b>	NPS+53	NPS+25				NPS+50			A
The NPS (Net Promoter Score) score used at Cardiff Castle only takes account of those who would score 9 or 10 out of 10 in recommending a visit to the site as opposed to those who score the site particularly poorly. Mild favourable scores 6, 7, or 8 out of 10 are ignored. Initial investigation of customer feedback does not reveal any particular areas of concern but all areas for improvement will be addressed.									
<b>Investment Portfolio Income</b>	£4.023m	£1,073m				£4.3m			G
At quarter 1 we received £1.073m of the £4.3 income target.									

## Q1 Challenges Identified

1. Addressing in-year projected over-spend
2. Ensuring delivery of 15/16 savings targets
3. Delivering Property Strategy outputs including capital receipts.
4. Explore the Heritage Trust approach to the Castle and other heritage assets.
5. Progress the Cultural Venues ADM procurement.
6. Progressing the City Deal
7. Develop detailed costings and scheme for a new bus station

## Q1 Actions being taken

1. Develop a detailed plan with managers of in-year cost reduction and reduced spend to off-set anticipated over-spends in regard to St David's Hall and New Theatre.
2. Implement regular monitoring of progress to ensure substantial in-year delivery of targets.
3. Publish Corporate Asset Management Plan and consolidate the Asset Management Board approach to monitoring property activities.
4. Investigate the merits of a heritage trust including learning from the experiences of other cities.
5. Review timescales associated with the procurement process to ensure benefits are realised as early as possible in 16/17.
6. Establish new governance arrangements and a project team
7. Develop a detailed scheme with costings and report to Cabinet in Q3.

## Directorate: Economic Development

Councillor: Phil Bale, Peter Bradbury & Graham Hinchey

Director: Neil Hanratty

### Q1 Risk Update

### Corporate Risk

Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
<b>Asset Management</b> - Ensure effective operation of the Council's Asset Management Board to achieve effective strategic oversight and identified savings.	<b>Red</b>	<b>Red / Amber</b>	<ul style="list-style-type: none"> <li>•Cabinet formally approved a new Property Strategy.</li> <li>•Corporate Asset Management Board and supporting Working Group set up.</li> <li>•Established rolling programme of 'Fitness for Purpose' reviews of all council properties providing high level assessment of the current performance and value of buildings.</li> <li>•Established Implementation Plan for the new Property Strategy.</li> <li>•Draft Asset Management Plan prepared for consideration by Cabinet in July.</li> </ul>	<b>Neil Hanratty</b>

### Emerging Risks Identified this Quarter

Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
N/A				

## Update on Previous Quarters Emerging Risks

Risk Description	Inherent Risk	Residual Risk	Progress	Risk Owner
<p><b>Arts Venues</b> (Q4) Should timescale for procurement on Arts Venues alternative management not be met, savings achievement would be delayed.</p>	<b>Red</b>	<b>Red</b>	<p>(Q4) Sound control by project board and team to drive procurement but ultimately dependent on procurement timetable and content of bids. (Q1) Progressing the procurement process, completed invitation to submit outline solutions.</p>	<b>Kathryn Richards</b>
<p><b>BID</b> (Q4) - Restructuring of the City Centre Management team and delay with the implementation of BID.</p>	<b>Red / Amber</b>	<b>Green</b>	<p>(Q4) Agreed viable business model to take the BID process forward. Funding secured internally to progress a BID approach to City Centre Management. Advisors appointed to undertake BID application process (Q1) Task Group established to develop a baseline analysis of service delivery.</p>	<b>Ken Poole</b>
<p><b>Economic Vision</b> (Q4) - Possible reputational damage caused by delay to the launch of a new economic vision for Cardiff.</p>	<b>Red / Amber</b>	<b>Green</b>	<p>(Q4) CC14 report circulated. Draft vision to be reported to Cabinet for consultation with a view to formal launch in the autumn. (Q1)</p>	<b>Ken Poole</b>
<p><b>Advertising Strategy</b> (Q4) - Local Member/Planning/Highways/Safety approvals not achieved leading to delay in generating income through the advertising strategy to offset savings</p>	<b>Red / Amber</b>	<b>Green</b>	<p>(Q4) Planning applications submitted. Income expected to be realised in time for next financial year. (Q1) Terms agreed for 1st site, which is awaiting planning approval.</p>	<b>Ken Poole</b>

# Directorate: Education and Lifelong Learning

Director: Nick Batchelar

Councillor: Cllr Sarah Merry, Cllr Dan De'Ath

## Q1 2015/16

Budget	Projected Outturn	Variance	Variance (%)
£234,664,000	£234,664,000	-	-
Target Savings 15/16	Projected Savings	Variance	Variance (%)
£2,621,000	£2,357,000	£264,000	10.07%

Number of Employees (FTE)	750
Sickness Absence YTD (Days Per Person)	1.9
PPDR Compliance Stage (Permanent Staff)	82%

### Q1 Progress against Corporate Plan Commitment Actions 2015/16 (Total No. 23)

Green 70% (16)

Amber 30% (7)

### Q1 Progress against Directorate Plan actions (Core Business Priorities) 2015/16 (Total No. 50)

Green 66% (33)

Amber 32% (16)

Red 2% (1)

### Progress on Challenges Identified Q4 (previous quarter)

1. Training and support has been provided to challenge advisers in order to improve the consistency and quality of challenge and support to schools.
2. Specific action has been taken to support all governors to ensure that they meet the mandatory training requirements; to revise the governor training programme for 15/16; to identify mentor governors; to ensure challenge advisers attend governing body meeting of red schools.
3. Youth provision is currently being maintained at reduced levels in all delivery locations used prior to the £850k reduction. This is manageable until July 2015. Youth services are being commissioned in neighbourhoods from September 2015; retained council delivered provision will be focused in areas of greatest need. A grant commissioning process, Youth Innovation Grants has been undertaken as part of securing Open Access Youth provision across the city alongside Council run Youth Activity Centres as part of a redesign of the Youth Service. The grants were advertised and a panel convened to consider bids. Grants are being awarded in 10 of the 15 proposed communities. In these communities, it was felt applications and presentations were strong. Where an award has not been agreed statutory provision will continue while the Youth Innovation Grant opportunities are re-advertised.
4. There are good examples of partnership working to help young people secure a positive destination. Arrangements are under review to improve the co-ordination of activity. Partnership working will be further enhanced by agreeing an Information Sharing Protocol.

### Q1 Service Delivery

#### Directorate Delivery Plan

#### An Initial View of School Performance – Academic Year 2014/15

Provisional performance data for Foundation Phase, Key Stage 2 and Key Stage 3 illustrates improvement.

- The Foundation Phase Indicator has improved from 83.7% to 86.7%, an increase of 3 percentage points. Cardiff's performance in this indicator remains below that of the consortium (87.6%).
- Performance in the Key Stage 2 Core Subject Indicator has increased by 2.7 percentage points from 85.1% to 87.8%. Cardiff's performance is now in line with the overall figure for the consortium. (87.8%)
- Performance in the Key Stage 3 Core Subject Indicator has increased from 81.5% to 83.4%. Cardiff's performance is now slightly below that for the consortium as a whole (83.6%).
- In Cardiff, at each key stage, the performance of FSM pupils is improving:
  - The FSM gap at Foundation Phase (FPOI) has reduced from 15.3% to 13.3%. (Consortium 15%)
  - The FSM gap at KS2 (CSI) has reduced from 17.5% to 14.3%. (Consortium 16.8%)
  - The FSM gap at KS3 (CSI) has reduced from 22.4% to 21.6%. (Consortium 20.7%)

**School Organisation Programme:** Significant progress has been made in the implementation of Projects that were agreed as part of the 21st Century Schools Programme. These include the completion of Stage 1 of the procurement for the new Eastern High and the appointment of our Development Partner. Procurement has also commenced for the 4 new primary schools and also the Statutory Consultations on the primary school schemes, including Four Wards, Splott and the new Howardian Primary School.

**Schools Causing Concern, Intervention, Challenge Cymru:** From the 10 primary schools categorised as requiring red level of support in 2014/15:

- at least 4 will require a reduced level of support in the next academic year.



- 3 are in ESTYN's significant improvement category and three continue to require intensive support.
- 1 further school will move into the red support category.

From the 6 secondary schools categorised as requiring red level of support in 2014/15

- 1 has been taken out of special measures and 2 are expecting significant improvements when the GCSE results are reported in August 2015. The remaining 3 schools are expecting more modest improvements.

Leadership has been strengthened in these schools and partnerships with high performing schools have been established. These actions will not have had sufficient time to impact significantly on the 2015 pupil outcomes.

One school will move into the red category as it has been judged by ESTYN to require significant improvement.

**Self Improving School System:** Nearly all Cardiff schools are now part of a regional school improvement group. Cardiff has 4 hub schools and 4 specialist schools, selected to lead on sharing best practice across the region. High performing schools continue to be encouraged by their challenge adviser to take a lead role.

**School Governance:** As at July 2015, the % of all governor vacancies is 9.14% which represents 175 governors. The % of LA governor vacancies is 7.95% - which represents 31 governors. Priorities for action are launching the communications campaign to promote the recruitment of governors, agreeing the formal training and support programme for Autumn 2015 (to include training on school-to-school improvement strategies), strengthening self evaluation approaches and ensuring compliance with mandatory training requirements.

**Youth Guarantee:** The proposed implementation strategy and timeline for introducing the Youth Guarantee has been shared with key stakeholders and progress is being made to deliver the necessary components. The Common Area Prospectus has been created and training provided. Some delays encountered in accessing the necessary Labour Market Intelligence reports required to inform the youth guarantee offer to Year 11 in Autumn 2015. Next steps include the completion of the Common Application System and the Post-16 tracking tool.

**NEETS and the Vulnerability Assessment Profile (VAP):** Action is being taken to improve data quality, to enable improved tracking and monitoring of NEETs and matching to appropriate provision. The Consortium has also been asked to strengthen the challenge to schools regarding the numbers of young people leaving education without qualifications and/or a secure destination. The VAP has now been embedded in all secondary schools. The impact of the tool in supporting vulnerable young people to make a successful transition to further education, employment or training will be assessed during quarters 2 and 3, informed to some extent by the annual Careers Wales year 11 NEET count in October 2015. The tool will then be adjusted and improved as appropriate. Currently, **343** young people in Year 11, at risk of becoming NEET, are being followed up as part of the youth service summer programme. This number represents 10.25% of the 2015 year 11 cohort in Cardiff.

**Looked After Children (LAC) Delivery Plan:** Joint Education and Children's Services LAC Education Delivery Plan – meetings to address preparation and launch of delivery plan have commenced, building upon content within existing individual directorate plans. Work is underway to create a 'virtual school' for LAC children. Slight delay in progressing appointments to the LAC Education team due to changes in regional funding allocations. Now resolved.

**Leadership and Governance:** There is a need to improve succession planning and the recruitment and retention of school leaders whilst ensuring diversity in the workforce, representative of the city population.

**Partnerships: Attendance** – Assistance has been provided to 3 Secondary Schools causing concern to appropriately align resources to target non attendance. The performance of these schools has negatively affected the Secondary School attendance KPI this year, which has failed to meet the year end target of 94.1%. Performance has been sustained at 93.8%. Primary school attendance has improved from 94.9% to 95.32% as at May 2015, exceeding the target of 94.1% this academic year. The scale of Fixed penalty notices (FPNs) has far exceeded original projections. 59 schools of 122 have requested 1070 FPNs and warnings to date. Further work is underway to ensure consistency in the use of FPNs across all schools.

**Exclusions** – Fixed term exclusions data as at May 2015 indicates an ongoing fall in the number of exclusions in primary schools (for 5 and 6 days or more) and in secondaries for 5 days or more. There is a risk that year end targets will not be met due to a small number of schools. A 'Hard to Place/Managed Admissions Protocol' has been agreed and commenced in June 2015 which enabled the placement of 7 pupils.

**Partnerships between schools, communities, business, culture and enterprise** - The Council is actively pursuing a strategy to strengthen Business and School links to encourage businesses to become more engaged in delivering work readiness programmes and encouraging key personnel from the businesses to invest time in governance. A number of governors have been secured recently via this approach. Further work is underway to scope and deliver the Cardiff 'Pupil Offer'. Steps are also being taken to develop stronger links between schools and universities. The Education Development Board will be reconstituted, with a newly focused work programme in September 2015, which will accelerate and focus progress in this area.

**Core Support Services:** Options to deliver the new Welsh Government Digital Competence Framework next year are being explored. Improvements to performance management arrangements will be enhanced over the course of the year, to include improved systems and processes to capture and report information across the directorate.

**Management (PPDR, Sickness and Health & Safety)**

PPDR compliance figures for initiation at quarter 1 are being reviewed, to ensure that the % compliance figures produced appropriately disaggregate those staff that are on teaching terms and conditions, hence not subject to performance management via the PPDR process.

**Directorate: Education and Lifelong Learning****Key Performance Indicator Data – Q1 2015/16****Q1 Progress against Performance Indicators (Corporate & Delivery Plans) 2015/16**

(Total No 10 (reportable in Quarter 1), (CP) = Corporate Plan KPI)

**Green 30% (3)**

**Amber  
10% (1)**

**Red 60% (6)**

Note: Quarter 2 position for attendance and exclusions PI's will be the reported academic year end figure (2014/15) for financial year 2015/16

Performance Indicator	Result 14/15	Position Q1	Position Q2	Position Q3	Position Q4	Target 15/16	Year End 15-16	R.A.G.
Percentage of School Governor Vacancies	9%	9.14%				5%		R
Work is ongoing to reduce the number of vacancies, in partnership with many stakeholders.								
(CP)Attendance at Primary School	94.9%	95.3%				94.6%		G
(CP)Attendance at Secondary School	93.8%	93.9%				94.1%		R
Figures affected by 3 schools in particular.								
Permanent Exclusions per 1000 pupils (secondary)	0.18%	0.12%				0.06%		R
Ambitious target which equates to 1 permanent exclusion in total- currently this stands at 2, so the target will not be met but needs to be seen in context of single figures exclusions for extreme behaviours.								
Average Number of days lost from school per fixed term exclusion	1.8	1.9				1.6		A
Majority of schools applying appropriate length of exclusion. Primary phase is lower than last year but secondary phase up due to 1 school in particular. This rate may fall towards the target with continued support/challenge.								
Number of fixed term exclusions in Secondary schools for 5 days or fewer (per 1000 pupils)	95.9	83.02				55		R
In year data indicates an overall fall in short fixed term exclusions but there is a risk that the target is not met due to 2 schools with extreme exclusion rates.								
Number of fixed term exclusions in Secondary schools for 6 days or more (per 1000 pupils)	3.7	5.13				3.3		R
This target will not be achieved due to performance at 2 schools.								
Number of fixed term exclusions in Primary schools for 5 days or fewer (per 1000 pupils)	12.9	9.6				8.5		R
In year data indicates an overall fall in short fixed term exclusions but there is a risk that the target will not be met due to the actions of a small number of schools.								
Number of fixed term exclusions in Primary schools for 6 days or more (per 1000 pupils)	0.3	0.3				0.25		G
Number of pupils with more than 10 days fixed term exclusions	104	74				90		G

**Q1 Challenges Identified****Q1 Actions being taken**

There will be some changes to the challenge adviser team in September and this presents both opportunities and risks in relation to improving the quality and consistency of challenge and support to schools.

Close liaison with the Consortium and schools, where challenge advisers are changing to ensure effective management of transition arrangements.

Appointing additional governors to Schools causing concern that the Council has intervened in.

Proactive sourcing of governors by the Director of Education.

## Directorate: Education and Lifelong Learning

Councillor: Cllr Sarah Merry, Cllr Dan De’Ath      Director: Nick Batchelar

### Q1 Risk Update

<b>Corporate Risk</b>				
<b>Risk Description</b>	<b>Inherent Risk</b>	<b>Residual Risk</b>	<b>Mitigating Actions</b>	<b>Risk Owner</b>
The Central South Consortium does not challenge Cardiff schools consistently to ensure that they improve.	<b>Red/Amber</b>	<b>Amber</b>	Ensure the agreed commissioning arrangements are delivered and make a positive impact on the performance of schools.	<b>Angela Kent</b>
SOP. Ambitious timescales for project delivery, within agreed capital allocations to support reorganisation, improvement and expansion of school provision to meet growing pupil population	<b>Red</b>	<b>Red/Amber</b>	Established consistent monitoring and reporting of all risks to Schools Programme Board.	<b>Janine Nightingale</b>
Schools Delegated Budgets. Some Secondary Schools have significant deficits and failure to adhere to recovery plans will impact on the overall budgets for all schools	<b>Red</b>	<b>Red/Amber</b>	Review the match of pupil numbers to school places as part of the 21Century plan refresh Revised Protocol for responding to schools in deficit, including exercising statutory powers of intervention. Finance Officers now link with Challenge Advisers to discuss schools. Each school in deficit now has a monitoring officer (additional to the LFM) to provide independent challenge	<b>Neil Hardee</b>

<b>Emerging Risks Identified this Quarter</b>				
<b>Risk Description</b>	<b>Inherent Risk</b>	<b>Residual Risk</b>	<b>Mitigating Actions</b>	<b>Risk Owner</b>
School budget reductions leads to challenges in raising standards and improving the quality of provision	<b>Red</b>	<b>Amber</b>	Strengthen scrutiny of school budget plans. Promote collaboration between schools in use of resources.	<b>Angela Kent</b>

<b>Update on Previous Quarters Emerging Risks</b>				
<b>Risk Description</b>	<b>Inherent Risk</b>	<b>Residual Risk</b>	<b>Progress</b>	<b>Risk Owner</b>
Weaknesses in mathematics in a number of secondary schools	<b>Red</b>	<b>Red/Amber</b>	Continued active recruitment for staffing vacancies and training for non-specialists in maths teaching. Ongoing targeted interventions for identified pupils.	<b>Angela Kent</b>

# Directorate: Governance & Legal Services

Director: Marie Rosenthal

Councillor: Daniel De'Ath

## Q1 2015/16

Budget	Projected Outturn	Variance	Variance (%)
£4,501,000	£4,501,000	-	-

Number of Employees (FTE)	85
Sickness Absence YTD (Days Per Person)	1.7
PPDR Compliance Stage (Permanent Staff)	72%

Target Savings 15/16	Projected Savings	Variance	Variance (%)
£315,000	£315,000	-	-

### Q1 Progress against Directorate Plan actions (Core Business Priorities) 2015/16 (Total No.14)

Green 86% (12)

Amber 14% (2)

#### Progress on Challenges Identified Q4 (previous quarter)

- General Election**– Cardiff prepared and delivered a successful Parliamentary Election in May 2015. Cardiff Central saw the biggest increase in turnout, up from 59.1% of registered voters casting their votes in 2010 to 67.3%. Cardiff North had the highest percentage turnout with 76.1% of those registered voting, up from 72.7% in 2010.
- Prepare for induction of new Lord Mayor and Lord Mayor Elect** – Successfully completed for new Lord Mayor and Deputy Lord Mayor.
- Improving Scrutiny project** - Member Workshop delivered in June to assess Member views on a range of issues relating to Scrutiny. Three meetings of Chairs' task and finish group now held to develop Task and Finish Report, and framework for providing key findings agreed by Chairs. Project on course to report in September 2015.
- Welsh Language Standards** – All Local Authorities have now received their compliance notice listing their required draft Welsh Language Standards. Managers have been engaged in the preparation of a corporate consultation response to the Welsh Language Commissioner.
- Bilingual Cardiff Centre** – Cabinet has approved the proposal to support the development of a Welsh Language Cultural Centre.

#### Q1 Service Delivery

##### Directorate Delivery Plan

- Improve the number of eligible electors registering following the introduction of IER through targeted use of social media and marketing campaigns:** Detailed Analysis has been prepared in discussion with Cabinet Member and Assistant cabinet members in run up to parliamentary election in May 2015. Action Plan in place which include adapting council tax registration, new canvass campaign across the City and engaging 'Bite The Ballot' to ensure university student registrations are maintained and campaign in place before freshers arrive . Detailed evaluation of registration campaign being analysed.
- Complete the Community Boundary Review as agreed with Local Government Boundary Commission for Wales:** Boundary Review agreed at Council in March 2015 and successfully placed on deposit. Since expiry of Deposit Period on 1 June, the Council has been supporting the Local Democracy and Boundary Commission for Wales with queries to enable them to implement actions from the Review.
- Implement recommendations of Improving Scrutiny project including a review of the structural model for delivering scrutiny:** Timescale for delivery of Project rescheduled with support and agreement of five Scrutiny Committee chairs and Cabinet Member for Safety, Engagement and Democracy. Project on course to deliver to revised timescale, as explained above.
- Deliver the Council's second Strategic Equality Plan:** Arrangements on course to deliver the four quarterly milestones set out in the Directorate Delivery Plan
- Benchmark service performance with core cities, or relevant benchmark organisations, in order to drive better outcomes for citizens, businesses and visitors:** Benchmarking undertaken on scrutiny arrangements in Core Cities and in Welsh local authorities. 90 page report produced and circulated to Scrutiny Chairs to inform their current *Improving Scrutiny* task and finish inquiry.
- Demonstrate GAO commitment to the joint service across authorities through attendance at heritage events in all funding authorities:** We've achieved our target of attending heritage events in all 6 authorities in our first quarter, reported to the Joint Committee on 26 June, and consulted with GAJC on the annual plan in March.

7. **Implement revised Welsh Language Skills Strategy in conjunction with HR and evaluate Welsh Language Awareness training module:** There has been a slight delay in completing the on line Welsh Language Awareness module due to recent legislative changes (Welsh Language [Wales] Measure 2011). (Amber)
8. **Raise awareness of and implement the new Welsh Language Standards across all Council Directorates and prepare the Annual Monitoring Report to the Welsh Language Commissioner:** The compliance notice and list of draft standards were forwarded to SMT, All OMs and the Welsh language coordinators & champions in June. The responses will inform the corporate consultation response to the Welsh Language Commissioner (WLC).
9. **Progress the development of a new Welsh Language Centre:** Tender documents have been prepared and a total of 6 tenders received. Knox and Wells have been formally appointed as the contractor to undertake the capital works programme commencing their schedule of works in August. The Welsh Language partners have received their Heads of Terms and leases have been completed.
10. **Assess your team's capacity to deliver a Welsh bilingual service:** Linguistic Assessments completed for front line services provided in Legal Services, Member Support and Electoral Services. Linguistic Assessment requirements yet to be completed in Scrutiny Services and GAO. (Amber)
11. **Establish Phase 2 development of Modern.Gov:** Populated the Members' on-line library. Will complete a Modern.gov guide for Members in Q2. Networked Councillor - Democratic Service Committee agreed scope for an evaluation of the Members IT investments (Tablets) to include Member satisfaction and costs.
12. **Deliver improvements to scrutiny, decision making and Member development and engagement through the Improving Governance:** Corporate Safeguarding Group reinvigorated. Revised Improving Governance milestones. The Member Development plan for 2015/16 is being progressed through the Democratic Services Steering Group.
13. **Implementation of Legal Service Review action plan deliver process efficiencies and achieve savings:** Legal Services Review action plan modified by the new director for Governance & Legal Service and will be presented to the OD Programme Board for consideration in Q2.

#### **Management**

**H&S** – Action plan to be updated to reflect new teams in the directorate.

**PPDR** –All reviews completed with the exception of maternity leave or long term sickness.

**Employee Survey**- Governance and Legal Services had the highest staff response rate than any other directorate.

## **Directorate: Governance & Legal Services**

### **Key Performance Indicator Data – Q1 2015/16**

#### **Q1 Progress against Performance Indicators (Corporate & Delivery Plans) 2015/16 (Total No.22)**

**Green 33% (3)**

**Amber 67% (6)**

**9 PI's have quarterly results / 13 PI's have annual results.**

Performance Indicator	Result 14/15	Position Q1	Position Q2	Position Q3	Position Q4	Target 15/16	End 15.16	Year	R.A.G.
<b>Printing and Publishing of Council and Committee papers total expenditure</b>	Reduced by 50.14% (£21,697)	46%				10% reduction			<b>G</b>
2013/14 printing costs were £43,517 and in 2014/15 costs were 21,820. In April and May this year costs were 2,255 compared to £4,904 last year.									
<b>Publication of draft minutes within 10 working days of the Committee (quarterly)</b>	New	59%				80%			<b>A</b>
<b>The percentage of eligible electorate with the introduction of Individual Electoral Registration compared to the Register of Elector published on 1 March 2014.</b>	NEW	3.91%				2014 baseline -9.19%			<b>G</b>
Percentage of voter turnout by seats: Cardiff Central 67.3%, Cardiff North 76.1%, Cardiff South & Penarth 61.1% and Cardiff West 65.6%.									
<b>Percentage of Scrutiny recommendations accepted by the Cabinet</b>	77% agreed	65% agreed				88% agreed			<b>A</b>

	18% partially 5% not agreed	29% partially 6% not agreed						
	During Q1, 17 Scrutiny recommendations were made, 11 accepted, 5 partially accepted and 1 not accepted.							
<b>Number of Public Questions at Council</b>	12	1				12		<b>A</b>
	During Q1 there was only one business meeting held where public questions could be taken.							
<b>Number of Petitions at Council</b>	50	5				10%		<b>A</b>
	During Q1 there was only one business meeting held where public questions could be taken.							
<b>Glamorgan Archives Income</b>	£65,000	35%				£68,000		<b>G</b>
	The increase in measure has been reconfigured from conservation to all income generated. Currently on target for the year; difficult to disaggregate into quarters as invoices cover different periods but we are at about 35% of our total already.							
<b>Percentage of Accessioning completed within 15 days</b>	NEW	60%				80%		<b>A</b>
	Accessioning met the 15 day target only 60% of the time in the first quarter. Public access was suspended for a week to catch up on accessioning and another week is planned for the autumn. This should improve the overall target for the year; we'll be clearer by Q2.							
<b>Percentage growth in take up of volunteering opportunities (hours)</b>	7,541	1,670				7,541		<b>A</b>
	Less than a quarter of the target but we have a lot of work experience placements booked over the summer which increases the hours.							

### Q1 Challenges Identified

1. Progress the development of a Welsh Language Centre with language partners and review options to minimise the cost of translation facilities.
2. Establish new directorate and new management arrangements.
3. Preparations to meet Wales Audit Office corporate assessment in the autumn.
4. Improve voter registration through IER
5. Review the Member Development Programme and Member's satisfaction with the support available to them.
6. Limited resources to manage the 57%% increase in schools appeals from September 2014 to September 2015 (199 appeals in 2014 and 312 in 2015).

### Q1 Actions being taken

1. Prepare an operational agreement and management plan with the Cardiff Story Museum and Welsh language partners. Develop a business case for a full simultaneous translation package.
2. Review arrangements for the new directorate and implement modified Legal Services review.
3. Additional resources being put in place to support Committee Manager.
4. Progress IER Action Plan including adapting council tax registration and canvass campaign across the City.
5. Prepare the Member Development Programme for 2015/16.
6. Review establishment and utilise vacant posts to meet customer demand.

## Directorate: Governance & Legal Services

Director: Marie Rosenthal      Councillor: Daniel De'Ath

### Q1 Risk Update

#### Corporate Risk

Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
N/A				

#### Emerging Risks Identified this Quarter

Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
Failure to meet increasing customer demands on Legal Services.	Red / Amber	Amber / Green	Review establishment and utilise vacant posts to meet customer demand.	Marie Rosenthal
Failure to meet income targets.	Red	Red / Amber	Lobbying Welsh Government to explore options to reduce reduction in NNDR on cultural institutions.	Marie Rosenthal
Failure to meet the significant translation costs associated with the recent legislative changes (Welsh Language [Wales] Measure 2011).	Red	Red / Amber	Preparation of a corporate consultation response to the Welsh Language Commissioner (WLC). Exploring options to develop in house simultaneous translation services.	Ffion Gruffudd

#### Update on Previous Quarters Emerging Risks

Risk Description	Inherent Risk	Residual Risk	Progress	Risk Owner
Reduction in the numbers of eligible electors registering following introduction of IER reported	Red	Amber	(Q4) Agree new communication and engagement strategy with universities to target students. Establish IER Task and Finish Group to address issue and claw back position. (Q1) Action Plan in place to ensure university student registrations are maintained and campaign in place before freshers arrive.	Ann Philpott
Delay completing the Community Boundary Review	Red	Green	(Q4) New timeline agreed with the Local Government Boundary Commission for Wales and full Council in March 2015. Implementation Plan reaching conclusion within prescribed timescale and Statutory Guidance. (Q1) Close. Boundary Review agreed at Council in March 2015 and successfully placed on deposit.	Paul Keeping

## Directorate: Resources

Councillor: Graham Hinchey

Director: Christine Salter

### Q1 2015/16

Budget	Projected Outturn	Variance	Variance (%)
£16,703,000	£16,557,000	(£146,000)	(0.87%)

Number of Employees (FTE)	927
Sickness Absence YTD (Days Per Person)	1.9
PPDR Compliance Stage (Permanent Staff)	93%

Target Savings 15/16	Projected Savings	Variance	Variance (%)
£3,052,000	£2,858,000	£194,000	6.36%

### Q1 Progress against Corporate Plan Commitment Actions 2015/16 (Total No 11)

Green 10.34% (9)

Amber  
2.29% (2)

### Q1 Progress against Directorate Plan actions (Core Business Priorities) 2015/16 (Total No 76)

Green 67.81% (59)

Amber 16.09% (14)

\*3 (3.44%) Actions are N/A

### Progress on Challenges Identified Q4 (previous quarter)

1. A review has been undertaken of Chipside as well as other external enforcement systems. An alternative system to Chipside has been identified which will allow the Council to recycle parking warrants. A Business Case has been developed for this and implementation will be approximately 8-12 weeks.
2. The Budget Report for 2015/16 went to Council in February and a balanced budget was set for revenue & capital and a medium term financial plan established. The Budget Report included a number of key statements in respect of the financial resilience of the Council over the medium term. Work has commenced on the Budget Strategy for 2016/17 and the medium term, with the emphasis being on prioritising services and delivering efficiencies to ensure that a balanced budget can be set and a financially sustainable Medium Term Financial Plan established.
3. Work progressed with the closure of accounts during Q4 and all directorate positions were finalised and transferred to the balance sheet by the beginning of May. Outturn reports were provided to directorates in May with the overall position for the Council was reported to Cabinet on 2<sup>nd</sup> July.

### Q1 Service Delivery

#### Directorate Delivery Plan

1. Sickness absence management has been included as a PPDR objective for all managers in the 2015/16 PPDR process, alongside this review of the Attendance & Wellbeing Policy has been undertaken to support managers with managing sickness absence. Sickness is regularly reviewed at Directorate Management Team meetings and Directors and Managers are provided with sickness data. From the end June a dashboard including Occupational Health Service data will be available to Managers. **(CP)**
2. There were delays in finalising the grades through job evaluation as there were some queries on the content of the job evaluation questionnaires which delayed the grades being confirmed. This therefore impacted on the implementation of the restructure within CTS. Consultation with staff & trade unions has taken place in terms of the slotting & matching and the recruitment process. The restructure is now scheduled to be completed by the Autumn.
3. The Construction Excellence Wales Report has been received. The recommendations made within the report have been submitted to the Director and an action plan has been developed, this will be monitored through the Asset Management Programme Board.
4. The strategic Business Case for an online Workforce Planning solution is being progressed. Ongoing Support to Directorates continues in translating their people priorities from Directorate Delivery Plans into a Directorate Workforce Plan aligned to the Council's Workforce Strategy and in supporting the delivery of key activities to address people priorities e.g. Employee engagement activity, Embedding the Employee Charter.

#### Management

Health & Safety – 3 accidents occurred during in Quarter 1, 2 within CTS/FM and 1 within Finance.

PPDR – 94% of staff within Resources had a PPDR completed in 2014/15 & 93% have had a their PPDR initiated for 2015/16

Sickness – Three accidents were recorded for Q1, this occurred within Finance and CTS & FM.



## Directorate: Resources

### Key Performance Indicator Data – Q1 2015/16

#### Q1 Progress against Performance Indicators (Corporate & Delivery Plans) 2015/16 (Total No 30.)

Green 23.3% (7)

Amber 16.6% (5)

\*including 12 (40%) annual performance indicators and 6(20%) with results to follow

Performance Indicator	Result 14/15	Position Q1	Position Q2	Position Q3	Position Q4	Target 15/16	15-16 End	Year	R.A.G.
Council Tax Collection - The % of council tax due for the financial year which was received by the Authority	97.03%	28.44%				96.7%			G
Council Tax collection is marginally up on the same period last year by 0.21%									
NNDR Collections - The amount of non-domestic rates received during the year, net of refunds	95.63%	32.21%				95.7%			A
NNDR collection remains Amber due to significant outstanding debts in respect of Business Rates									
Reduce the levels of sickness absence (Council Wide)	10.11	2.2				9			A
Quarter 1 shows a decrease over the same period last year and was the lowest Quarter 1 figure in 5 years. The current forecast is 9.3 day lost per FTE.									
Reliability of top 10 applications	99.99%	99.99%				99.90%			G
Internal Customer Satisfaction of ICT services									
Internal Customer Satisfaction of ICT services	88.97%	88.32%				90%			A
ICT has seen a significant increase in calls raised along with an increase in demand for IT support from Directorates, these factors along with the decrease of staff in ICT has impacted on the level of customer satisfaction. However, the standard of customer satisfaction remains high and in Quarter 1 was only 1.68% short of the target.									
Increase the % of personal performance & development reviews completed for permanent staff to (Resources)	94%	93%				90%			G
Reduce the levels of sickness (Resources)									
Reduce the levels of sickness (Resources)	7.29	1.9				8.0			G
Customer Satisfaction through the service desk (Facilities Management)									
Customer Satisfaction through the service desk (Facilities Management)	85.5%	88.62%				95%			A
Building Cleaning - Income generation (£150k increase on 2014/15 result)									
Building Cleaning - Income generation (£150k increase on 2014/15 result)	£5.8m	£1.5m				£5.95m			G
CTS –Income generation (£30k increase on 2014/15 result)									
CTS –Income generation (£30k increase on 2014/15 result)	£206,197	£36,000				£236,197			A
% of information requests meeting the statutory deadline (FOI)									
% of information requests meeting the statutory deadline (FOI)	74.5%	76.79%				75%			G
% completion of Personal Performance & Development Reviews for permanent staff (Council Wide)									
% completion of Personal Performance & Development Reviews for permanent staff (Council Wide)	88%	90%				90%			G

#### Q1 Challenges Identified

1. Due to the delays in the CTS restructure two Cardiff Works placements have secured posts elsewhere and one permanent employee has secured promotion which has had an impact on the operation of CTS due to some technical expertise being lost as a result of the staff movements.

2. Despite the authority decreasing in size due to diminishing budgets, the demand on the support services with the Resources Directorate remains at the same high level despite the workforce in areas of Resources decreasing. There is a demand for additional resource from

#### Q1 Actions being taken

1. This is being mitigated by support being provided from the Business Support team from Exchequer & Development. The Business Support team will be providing support, process review, training and mentoring to agency staff whilst they fill vacant posts until the restructure is complete.

2. Resources are undertaking reviews of Council Wide Policies/processes to improve back office processes.

Directorates to provide them with support as a result of losing expertise in specific Directorate owned software/systems and processes; in some cases there is a requirement to comply with statutory requirements.

3. Continue to provide monitoring service to schools causing financial concern. Spending Plans suggest that there will be a reduction in surplus balances but the total of school deficit balances will reduce. Further work will be required to review formula funding mechanism but also to test sustainability of school spending plans as 2016/17 budget strategy becomes clearer.

4. Any delay in establishing a Procurement Local Authority Trading Company (LATC) is putting at risk the achievement of identified income generation targets within the Budget, missing out of potential private sector work and the uncertainty could increase the risk of losing key staff

5. There is no budget in place for the procurement of the technology or the training that is required for the Cardiff Newsroom website or the training associated with it.

3. Work will continue to support schools with additional support provided to schools in financial difficulty. A Quarterly Monitoring Report will be submitted to Education Management Team in mid July for the first quarter.

4. Continuing to work with Senior Management Team to progress and looking to schedule LATC within the Council's Forward Plan. The Team are bidding to undertake work for a neighbouring Council at cost and undertake other public sector work to generate income.

5. Funding is being provided through the Communications & Media budget, however this creates a potential risk of an overspend.

## Directorate: Resources

Councillor: Graham Hinchey      Director: Christine Salter

### Q1 Risk Update

Corporate Risk				
Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
<b>Budget Prioritisation</b>	Red	Red	The Medium Term Financial Plan includes a budget reduction requirement of £47.4m for 2016/17 as per the Budget Strategy Report and £117m across the MTFP. This is in the context of savings to be achieved in 2015/16 of £32.467m and a further £3.487m in respect of capitalisation.	<b>Christine Salter (Marcia Sinfield)</b>
<b>Financial Resilience</b>	Red	Red	A Finance Snapshot has been developed and updated for the position as at July 2015. This was sent out with the Budget Strategy Report. Work is ongoing with WAO to review the Council's financial resilience prior to the further Corporate Assessment review in the Autumn	<b>Christine Salter (Marcia Sinfield)</b>
<b>Performance Management</b>	Red	Red	Improved alignment of financial monitoring and performance reporting in the quarterly Performance and Delivery Reports is in place. A regular programme of meetings of the Performance Leads is in place to ensure key staff work to deliver in line with the Council's requirements. Balance Scorecards for the end of year were drafted and a programme put in place for	<b>Christine Salter (Martin Hamilton)</b>

			Quarterly Scorecards in line with the Performance Report.	
<b>Organisation Development</b>	<b>Red</b>	<b>Red</b>	Implementation of the ODP Workplan, as described in the Cabinet Report dated 16 <sup>th</sup> July 2015 A OM1 Programme Manager for the OD Programme & Enabling & Commissioning Programme has been appointed and due to commence in role in August 2015 An improved programme definition for Reshaping Services programmes due August 2015, including revised Programme Briefs	<b>Christine Salter (Martin Hamilton)</b>
<b>Fraud</b>	<b>Red</b>	<b>Red/Amber</b>	Adopting a proactive approach to investigating suspected fraud and overseeing all investigations to ensure professional standards are consistently applied. Updated the Fraud, Corruption & Bribery Policy and the Money Laundering Policy. Developing an eLearning module to raise fraud awareness. Input to Cardiff Manager Programme on controls and compliance, raising awareness.	<b>Christine Salter (Derek King)</b>

### Emerging Risks Identified this Quarter

Risk Description	Inherent Risk	Residual Risk	Mitigating Actions	Risk Owner
Capacity of Enterprise Architecture to meet the demands of the council due to diminishing resources as a result of external bodies creating Enterprise Architecture teams	<b>Amber</b>	<b>Amber</b>	2 new posts are being created at lower grades to increase the teams capacity and enable EA to meet demand	Ross Maude
PROACTIS and Sell2Wales are not presently integrated, meaning that when we start advertising procurement opportunities over £25,000 in 2016 they will have to be double entered and this is likely to result in resistance from directorate staff.	<b>Red/Amber</b>	<b>Amber</b>	Continuing to lobby Welsh Government to address this issue as they want all opportunities over £25,000 advertised on Sell2Wales.	Steve Robinson
Non compliance with statutory cyclical maintenance inspections.	<b>Red</b>	<b>Red</b>	Decision to be made regarding whether an additional module can be used in SAP or whether an "off the shelf" system can be procured	Lesley Ironfield

### Update on Previous Quarters Emerging Risks

Risk Description	Inherent Risk	Residual Risk	Progress	Risk Owner
N/A				

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**CITY AND COUNTY OF CARDIFF  
DINAS A SIR CAERDYDD**

**POLICY REVIEW & PERFORMANCE  
SCRUTINY COMMITTEE**

**8 September 2015**

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***IMPROVING SCRUTINY – CONSIDERATION OF THE DRAFT JOINT TASK AND  
FINISH INQUIRY REPORT***

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**Purpose of the Report**

1. To seek Members' consideration and adoption of the report from a task and finish inquiry report (attached at **Appendix A**) which has been led by the Council's Scrutiny Committee Chairs as part of the current *Improving Scrutiny* Project.

**Background**

2. Cardiff is proud of its scrutiny arrangements and the important part scrutiny plays in Council improvement, and in representing citizens in holding to account the Cabinet for the decisions it makes. However, the Council is going through significant change in many ways, and will look very different in five years' time. The Chairs therefore initiated a Project in partnership with the Centre for Public Scrutiny to ensure that Cardiff's Scrutiny Function remains agile and able to play its role as a critical friend, in a future environment that will see greater emphasis on partnership, collaboration, commissioning and other alternative models of delivery.
3. The Project was adopted by the Centre for Public Scrutiny as one of nine case studies illustrating how non-Executive governance can best support organisations undergoing profound transformational change. It is being written up as part of the national study in a report titled "The Change Game<sup>1</sup>". The specific aims for this Project are:

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<sup>1</sup> [http://www.cfps.org.uk/domains/cfps.org.uk/local/media/downloads/CfPS\\_Change\\_Game\\_WEB.pdf](http://www.cfps.org.uk/domains/cfps.org.uk/local/media/downloads/CfPS_Change_Game_WEB.pdf)

- To equip Cardiff's Scrutiny function to meet the current needs and anticipated future challenges facing the Council's Executive and non-Executive Members.
  - To ensure that the Council's scrutiny structure enables Members to provide robust and effective overview and scrutiny that is relevant to the priorities of the organisation's Corporate Plan and operational challenges.
  - To seek evidence to support recommendations for Members to agree any potential changes to current governance arrangements, as part of a wider major transformation of the City of Cardiff Council's services and structures.
4. Recognising the connections the Project makes between the organisational and the political, it has benefited from a hybrid governance structure:
- It is as a joint scrutiny task and finish inquiry comprising the Council's five scrutiny chairs, reporting through the Policy Review & Performance Scrutiny Committee.
  - It serves as a Project within the *Improved Governance* Programme of the Council's *Programme of Organisational Change*. Paul Keeping (Operational Manager, Scrutiny Services) is Project Executive, and Marie Rosenthal (Director of Governance and Legal Services) is the Programme's Senior Responsible Officer.

## Issues

5. This Committee considered a report on the Project at its 31 March 2015 meeting, and agreed to a revised project plan which saw the Chairs initiate a task and finish report in May 2015, and report on its findings in September 2015. The Chairs have delivered on this project plan, and summarised their findings in the draft report at **Appendix A**.

6. Members will see from the report that the Chairs have considered a wide body of evidence sources during the Inquiry, outlined in summary at pages six and seven of **Appendix A**.
7. In the report the Chairs have directly addressed concerns about governance issues raised by the Wales Audit Office in their September 2014 *Annual Cardiff Improvement Report on Cardiff Council*<sup>2</sup> following their Corporate Assessment visit. Members will find in pages eight to 10 of **Appendix A** the Chairs' proposed actions to meet the regulator's four areas of concern.
8. The Chairs have also identified six "quick wins" for the eight months from October 2015 to May 2016, set out on page 11 of **Appendix A**, containing 20 actions listed the following four pages which they believe will address the key findings emerging from the evidence presented.
9. Following this period the Chairs will consider a medium term review of scrutiny arrangements outlined on pages 16 – 17 of **Appendix A**, in the anticipation that a number of factors currently awaiting resolution will be clearer and provide a better basis to make strategic decisions for the future.
10. Throughout the report there are a number of issues that will be of interest to Members of this Committee. Two specific "quick wins", however, which will directly impact the Committee are:
  - The proposal to adjust the Committee's terms of reference to include responsibility for the overview of the Cardiff Partnership Board, currently vested in the Community & Adult Services Scrutiny Committee;
  - Plans to clarify and streamline the respective roles of this Committee and the Council's Audit Committee, to ensure good working relations and avoid unnecessary duplication of functions between the two Committees.

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<sup>2</sup> [http://www.audit.wales/system/files/publications/Cardiff\\_Corp\\_Assess\\_English\\_2014.pdf](http://www.audit.wales/system/files/publications/Cardiff_Corp_Assess_English_2014.pdf)

## **Way Forward**

11. Councillor Nigel Howells, Chair of this Committee, will present the draft report on behalf of the Council's Scrutiny Committee Chairs. Members will be invited to comment on the contents of the report, and to agree and adopt the report for publication.
12. Advice has been received from the Council's Monitoring Officer that this Committee is empowered to adopt this report on behalf of the Council's five scrutiny committees, given its lead role in scrutinising matters of local democracy.
13. As, however, the topic is of close interest to all five of the Council's scrutiny committees, this draft report has been circulated to all Scrutiny Councillors for their comment, and Operational Manager (Scrutiny Services) Paul Keeping will be in attendance at the meeting to outline the comments received, and answer questions that Members may have.

## **Legal Implications**

14. The Scrutiny Committee is empowered to enquire, consider, review and recommend but not to make policy decisions. As the recommendations in this report are to consider and review matters there are no direct legal implications. However, legal implications may arise if and when the matters under review are implemented with or without any modifications. Any report with recommendations for decision that goes to Cabinet/Council will set out any legal implications arising from those recommendations. All decisions taken by or on behalf of the Council must (a) be within the legal powers of the Council; (b) comply with any procedural requirement imposed by law; (c) be within the powers of the body or person exercising powers on behalf of the Council; (d) be undertaken in accordance with the procedural requirements imposed by the Council e.g. Scrutiny Procedure Rules; (e) be fully and properly informed; (f) be properly motivated; (g) be taken having regard to the Council's fiduciary duty to its taxpayers; and (h) be reasonable and proper in all the circumstances.



## **Financial Implications**

15. The Scrutiny Committee is empowered to enquire, consider, review and recommend but not to make policy decisions. As the recommendations in this report are to consider and review matters there are no direct financial implications at this stage in relation to any of the work programme. However, financial implications may arise if and when the matters under review are implemented with or without any modifications. Any report with recommendations for decision that goes to Cabinet/Council will set out any financial implications arising from those recommendations.

## **RECOMMENDATIONS**

The Committee is recommended to discuss and agree the draft report attached at **Appendix A**, and to task officers to make arrangements to deliver the improvement actions set out in the report.

### **MARIE ROSENTHAL**

Director of Governance & Legal Services  
2 September 2015

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# scrutiny



**A joint report of the:**

- **Children & Young People**
- **Community & Adult Services**
- **Economy & Culture**
- **Environmental and**
- **Policy Review & Performance**

**Scrutiny Committees**

# Improving Scrutiny in Cardiff

**September 2015**



**City and County of Cardiff**

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# 1 Foreword from Scrutiny Committee Chairs

This is the report of a task and finish inquiry we coordinated during the Spring and Summer of 2015 to assess options for maintaining and improving the effectiveness of Cardiff's Scrutiny Function in what can be described as a 'changing landscape'.

Indeed, the Council is undergoing profound change in which public and regulatory expectations of local authority performance, governance and improvement are rising sharply, just as the Council is weathering a set of financial challenges unprecedented in the past thirty or more years. The organisational structure is changing, and the complexity of governance arrangements is growing as we seek partnership with professional, community and other groups to collaboratively shoulder the challenge of managing public services better with less.

Recognising that change is constant, and that with proposed local government re-organisation not too far away further unpredictable changes will be on us before long, we have tried to focus on what will work best in the immediate period ahead, while remaining agile to the possibilities on the medium term horizon.

We have also tried in this report to remain concise and clear. There is a vast body of evidence behind the priorities we have set, which is available to view on request.

We would like to thank the people and organisations who have assisted our deliberations, including the Centre for Public Scrutiny; regulatory and inspection bodies; Scrutiny Committee Councillors and the wider Membership and officers of Cardiff Council.



**Cllr Richard Cook**

Chair, Children & Young People Scrutiny Committee



**Cllr Nigel Howells**

Chair, Policy Review & Performance Scrutiny Committee



**Cllr Mary McGarry**

Chair, Community & Adult Services Scrutiny Committee



**Cllr Rod McKerlich**

Chair, Economy & Culture Scrutiny Committee

(At time of publication the Chair of the Environmental Scrutiny Committee was vacant)

## 2 Executive Summary

Cardiff is proud of its scrutiny arrangements and the important part scrutiny plays in Council improvement, and in representing citizens in holding to account the Cabinet for the decisions it makes. However, the Council is going through significant change in many ways, and will look very different in five years' time. To remain relevant, Scrutiny needs to be aware of and reflect those changes.

As a function intrinsically concerned with performance review, Cardiff's Scrutiny function regularly undertakes self-review, most recently through the 2010 "*Citizen Focused Scrutiny*" Green Paper<sup>1</sup> and 2012 "*Scrutiny Listening Exercise*"<sup>2</sup>.

Given the profound current and future changes taking place in the local and regional environment, Cardiff had planned to undertake its next self-review on completing its participation in the 2013/14 Wales Audit Office (WAO) nationwide Improving Scrutiny Study. The comments made by WAO in its September 2014 *Corporate Assessment of Cardiff* report gave an added relevance and an important framework for the authority to progress a piece it had already been considering,

The Committee Chairs set about engaging the support of the Centre for Public Scrutiny (CfPS) in designing a Project that could deliver equally effectively across the Council's political and organisational structures. It was agreed as one of nine themed studies being undertaken by the CfPS, which have been recently described in the CfPS' national study "*The Change Game*"<sup>3</sup>, illustrating the role of non-executive local scrutiny governance in safeguarding Councils across the UK which were going through profound and radical change.

A hybrid governance structure emerged, in which the Project both operated as a joint scrutiny task and finish inquiry (comprising the Council's five scrutiny chairs, reporting through the Policy Review and Performance Committee), and serving as a PQA Project within the *Improved Governance* strand of the Council's *Programme of Organisational Change*.

Effective local governance relies on a cohesive web of accountability, of which internal scrutiny is an essential part. The purpose of the Project was to ensure that scrutiny remains agile and able to play its role as a critical friend, in an environment that will see greater emphasis on partnership, collaboration, commissioning and other alternative models of delivery.

The Chairs sought to identify a robust evidence base for the Inquiry, to ensure its findings were inclusive. This is described in the "Project Journey" section of this report on pages six and seven below. In brief, the evidence included internal and external literature review of a range of sources commenting on scrutiny in Cardiff and further afield; face to face interviews conducted by the CfPS; Head of Research Ed Hammond with Council Members, managers and professional partners; desk

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<sup>1</sup> [http://cardiff.moderngov.co.uk/Data/Council/20110127/Agenda/Green%20Paper%20-%20Citizen%20Focussed%20Scrutiny%20for%20Cardiff%20\(220k\).pdf](http://cardiff.moderngov.co.uk/Data/Council/20110127/Agenda/Green%20Paper%20-%20Citizen%20Focussed%20Scrutiny%20for%20Cardiff%20(220k).pdf)

<sup>2</sup> <http://cardiff.moderngov.co.uk/documents/s6039/02ListeningExerciseReport0512.doc.pdf>

<sup>3</sup> [http://www.cfps.org.uk/domains/cfps.org.uk/local/media/downloads/CfPS\\_Change\\_Game\\_WEB.pdf](http://www.cfps.org.uk/domains/cfps.org.uk/local/media/downloads/CfPS_Change_Game_WEB.pdf)

research and benchmarking led by Cardiff's Scrutiny Research Team; and a well attended Member workshop and evidence gathering event arranged by Scrutiny Officers.

A significant body of evidence has been gathered from these various sources, which is available on request. Over 400 individual improvement suggestions emerged, many of which were variations on a smaller number of core themes, some of which were very specific and some very general. Some were possible to immediately implement with few or no resources, while others would take significant time and effort to achieve.

Each suggestion is linked to one or more driver for the Project, and to one of the following eight key themes which boiled down from all of the evidence presented:

1. Committee Structure and Terms of Reference
2. Work Programming
3. Meeting and Agenda Management
4. Communications and Public Engagement
5. Measuring Scrutiny's Impact
6. Member Development
7. Governance and Relationships
8. Resourcing Scrutiny.

With so much evidence to consider, and potentially competing and contradictory demands, the Chairs recognised that to secure any improvement at all they needed to ruthlessly prioritise. The priority would apply both to the level of resource invested in each theme, and the timeframe for this resource to be deployed.

<b>Theme</b>	<b>Urgency</b>	<b>Achievability</b>	<b>Task Size</b>
Committee Structure and Terms of Reference	High	High	Small
Work Programming	High	Medium	Large
Meeting and Agenda Management	High	High	Medium
Communications and Public Engagement	High	Medium	Large
Measuring Scrutiny's Impact	High	Medium	Medium
Member Development	Medium	Low	Medium
Improving Governance and Relationships	Medium	Low	Large
Resourcing Scrutiny	Low	Low	Large

### 3 THE PROJECT JOURNEY

#### WAO Corporate Assessment / Programme of Organisational Change (April 2014)

Need to address comments made by WAO and other bodies in local and national scrutiny studies, and provide highest standards of Governance.

#### 3 Project Aims set out in bid to CfPS, September 2014:

Transform Cardiff's Scrutiny function to meet current needs and future challenges.

Ensure scrutiny structure clearly links with priorities of the Corporate Plan and operational priorities.

Seek evidence to update current governance arrangements as part of wider transformation of Cardiff's services and structures.

#### 4 Project Objectives set out in CfPS bid:

Develop recommended options for Scrutiny's future Committee structure.

Consult Members and managers, and take forward for inclusion in Cabinet's 2016/17 Budget proposals.

Address recommendations in LG Measure and Williams Review on collaborative scrutiny arrangements with partner organisations.

Use learning from 2013 WAO *Improving Scrutiny* Study, as a mechanism for self evaluation of scrutiny in Cardiff, and planning future Work Programmes.

#### 7 Proposals set out in Member Briefing document, January 2015:

Examine the purpose of Scrutiny as part of a holistic and effective governance framework.

Explore what is the appropriate balance between holding to account, policy devt / review, performance and improvement monitoring, budget scrutiny etc.

Maximise and measure impact of Scrutiny in to target resources most effectively

Set in place effective and appropriate Scrutiny arrangements to deliver agreed priorities.

Optimise interfaces between scrutiny and AIRs, citizens, Cabinet, senior management, key stakeholders.

Optimise the scrutiny of partnerships

Maximise Scrutiny Member and officer skills and competency.

#### 5 Discussion Groups for Member Workshop 18 June 2015:

Scrutiny in a Changing Landscape

Building Commitment to Scrutiny

Expectations and Resources

Building Public Engagement

Delivering Scrutiny

#### 8 Themes from Member Workshop:

Committee Structure & Terms of Ref  
Work Programming

Meeting and Agenda Management

Member Preparation and Development

Communications and Public Engagement

Governance and Relationships

Measuring Scrutiny's Impact

Resourcing Scrutiny



## SOURCES OF EVIDENCE

Literature Review of comments made by Cardiff Council about Scrutiny in Cardiff between 2010 and 2015.

- Cardiff “Citizen Focused Scrutiny” Inquiry and Green Paper 2010.
- Cardiff Scrutiny Listening Exercise 2012.
- Learning from Cardiff’s WAO Improving Scrutiny Study 2013.
- *Public Engagement with Scrutiny* report, PRAP Scrutiny Committee, 2013
- Scrutiny and AIRs Research Project, 2010 and 2014.
- Cardiff Scrutiny Member Training Needs Analysis, Nov 2013.
- Scrutiny Committee feedback on *Improving Scrutiny Project, 2015*

Interviews with Council members and managers conducted by Ed Hammond of CfPS, February 2015

Desk Research undertaken during the Project

- Benchmarking Scrutiny Arrangements
- Measuring the Impact of Scrutiny
- Exemplar Practice
- Potential Process Improvements

**Evidence Base for Scrutiny Chairs’ Task and Finish Inquiry Report**

Member views and priorities emerging from 18 June 2015 Member Workshop – “Scrutiny in a Changing Landscape”

Analysis of key regional government policy documents and regulatory feedback impacting on Scrutiny in Wales and Cardiff within past 2 years.

- Wales Audit Office *Corporate Assessment of Cardiff*, September 2014
- “National Characteristics of Effective Scrutiny in Wales 2013-14”.
- Cardiff Scrutiny response to *WG Power To Local People* Consultation, 2015
- Welsh Government *Wellbeing of Future Generations* Bill 2015
- WLGA *Peer Assessment of Cardiff* 2013.
- Estyn *Improving Schools Through Regional Education Consortia* report, 2015
- Estyn *Inspection of Cardiff’s Education Service* report, 2012

## 4 Addressing Wales Audit Office's Concerns

Wales Audit Office produced an Improvement Report for Cardiff on 3 September 2014, containing its Corporate Assessment of the authority. The Assessment identified from their recent observation the following key strengths in the authority's Scrutiny function, which were detailed in the report:

- *The Council's executive and scrutiny framework is clear.*
- *The scrutiny committee meetings we observed were well run.*
- *There is a high level of dedicated officer support for scrutiny.*
- *Committee chairs ensured appropriate discussion and challenge by members.*
- *Scrutiny committee members considered their work to have value and our observation identified appropriate challenge.*
- *Members believed that scrutiny was playing a useful role in identifying potential improvement.*
- *Scrutiny committee members generally displayed an understanding of their roles and a willingness to challenge in scrutiny.*
- *Attendance of Cabinet members at scrutiny committee meetings and appropriate 'challenge' of Cabinet members by scrutiny members reinforce the accountability and roles of non-executive and executive members, senior officers and scrutiny officers.*
- *Scrutiny meetings are also well attended by senior officers (including the Chief Executive).*
- *Around 57 per cent of managers felt that the scrutiny process helped improve outcomes, although 27 per cent disagreed.*

Alongside these complimentary comments the regulator identified a number of opportunities for improvement for a range of Council committees, including scrutiny committees. These have been grouped into four areas below, and on each occasion the report identifies what improvement actions have been introduced to address the area of concern:

### AREA OF CONCERN 1: CLARITY AND LENGTH OF AGENDAS

- *Overlong meetings and agendas with too many items for the time available; the same reports presented to different committees; and detailed reports being presented for information only.*

### IMPROVEMENT ACTIONS

Scrutiny Chairs will ensure the following four actions are completed through regular review at their bi-monthly Chairs' Liaison Forum:

- Meetings are kept to an appropriate time, with a three hour meeting length target.

- Agendas are kept to an appropriate length, with a target of two substantial items and one smaller item per meeting.
- There is no unnecessary duplication of reporting between Committees. When two or more Committees need to consider an item, this will be done for appropriate reasons, which will be clearly set out in cover reports.
- If information or briefing reports are occasionally required, they will as far as possible be provided outside public meetings to reduce pressure on agendas and meeting time. If reports are requested to come to a public meeting, the reason for this will be clearly stated on cover reports.

## AREA OF CONCERN 2: RECORD KEEPING

- *Minutes of Scrutiny Committee meetings were not routinely posted on the Council website in a timely manner.*
- *Scrutiny committee forward work plans for the full year not kept up to date via the website, and the scrutiny 'forward plan' document is not always updated.*
- *Scrutiny committee annual reports for 2012-13 had not been added to the website.*

## IMPROVEMENT ACTIONS

- Minutes are now targeted for publication on the Council website within 10 working days of a Committee meeting.
- Correspondence between Committees, Cabinet Members and officers following Committee meetings is posted on the Council website within five working days of that correspondence being sent.
- Scrutiny reports, including Annual Reports, are routinely published as soon as possible following their adoption and agreement, with a target of no longer than one month.

## AREA OF CONCERN 3: PURPOSE OF SCRUTINY CONSIDERATION, AND EVALUATION OF OUTPUTS / OUTCOMES

- *Half of the members who responded did not feel the Council was using the scrutiny process effectively.*
- *20 out of 28 members felt arrangements for them to challenge key issues were not effective, and 18 did not think that members were effective in assisting the Cabinet to develop policies.*
- *Examples of lengthy reports that were not always clear about the purpose for presentation to the particular meeting;*

## IMPROVEMENT ACTIONS

- Scrutiny Chairs will work with their respective Cabinet Members and with officers to ensure that when items are being planned for scrutiny, they are scoped in a manner to optimise as far as possible the impact of Scrutiny.

- The purpose of all reports presented to scrutiny will be clearly described in cover reports, and Members will be prepared so that they can clearly understand the purpose of the scrutiny.
- Measures will be introduced to measure the effectiveness and impact of key pieces of scrutiny undertaken during the year, including qualitative comments from Scrutiny Chairs, Cabinet Members and key officers.
- As part of an annual satisfaction survey of Members and officers, Scrutiny Services will gather views about the effectiveness and impact of scrutiny work undertaken during the year.

#### **AREA OF CONCERN 4: CABINET RESPONSE TO SCRUTINY**

- *11 of the 28 councillors said that they did not find it easy to find out what key decisions have been taken.*
- *At the time of this assessment, there were 15 scrutiny reports awaiting a response from Cabinet.*
- *Scrutiny members we spoke to told of their frustration at the length of time taken before Cabinet considered their reports.*

#### **IMPROVEMENT ACTIONS**

- Measures have been introduced to improve reporting to elected Members of decisions recently made.
- Cabinet's monthly agenda conference tracks the timely response to Scrutiny reports and correspondence, with a target of one month for correspondence, and three months for reports.

## 5 Quick Wins planned - Overview

During the first eight months after publication of this report (October 2015 – May 2016) the Scrutiny Chairs will aim to ensure the following improvements in six areas which they can deliver within existing resources.

The critical priorities can be expressed in the following mission statement:

*“We will work hard to ensure that:*

- *the right topics are chosen to be scrutinised;*
- *the scrutiny is effective in securing improvement;*
  - *its impact is clearly measured;*
  - *citizens are as closely involved as they wish to be;*
  - *and that their views and concerns are championed.”*

**The six key areas for focus are:**

1. Swiftly make necessary changes to Committee structures & terms of reference.
2. Improve some current meeting and agenda management processes.
3. Refine current Scrutiny work programme arrangements.
4. Increase the level of communication with citizens and their engagement in Scrutiny.
5. Set some new steps in place to measure the impact of Scrutiny work delivered.
6. Refine and improve a number of miscellaneous Scrutiny processes.

The actions planned to deliver these six improvements are listed on the following four pages, arranged by each of the eight themes described on page five.

## 6 Quick Wins in Detail

### Committee Structure and Terms of Reference:

- **ACTION ONE:** The Council will for the remainder of this Municipal Year maintain the existing structure of five Cardiff scrutiny committees, but arrangements to resolve any unnecessary or unproductive duplication or imbalance between committee terms of reference will be agreed.
- **ACTION TWO:** While specific partnership workstreams will still report as appropriate through the terms of reference of the relevant scrutiny committee, the general overview of Cardiff Partnership Board and general matters relating to collaboration will be vested in the terms of reference of the Policy Review & Performance Committee, relieving the Community & Adult Services Scrutiny Committee of this responsibility.
- **ACTION THREE:** The Monitoring Officer will report to Constitution Committee with proposals to amend the Scrutiny Procedure Rules to improve the co-ordination and efficiency of scrutiny administration. This will avoid duplication of reporting the same matter to multiple scrutiny committees, and of streamlining the business administration of setting up task and finish inquiries.
- **ACTION FOUR:** Chairs will undertake joint and collaborative scrutiny as and when needed, on a case by case basis. While there is a clear potential benefit and mandate to Cardiff to collaborate with neighbouring authorities in making arrangements for scrutiny of regional service delivery (eg for the regional Education Consortium and the South Wales Regulatory Services collaboration), this needs to be balanced with the availability of officer and Member resources to manage these new arrangements, and the impact that this might have on resources to deliver other scrutiny matters.

## Meeting and Agenda Management:

- **ACTION FIVE:** Chairs will agree and regularly review achievement of a target of a maximum Scrutiny Committee meeting length of three hours, and a target of two substantial items and one smaller item per meeting.
- **ACTION SIX:** Chairs will introduce arrangements (**listed in full in Appendix Two below**) to reduce the current length of Scrutiny Committee meetings and meeting agendas by managing as much scrutiny business as appropriate and possible outside formal Committee meetings. This will see more co-ordination of business at the bimonthly Scrutiny Chairs' Liaison Forum, more pre-meeting briefings and forum meetings to agree lines of inquiry, and routine scrutiny business being arranged via informal task and finish meetings and briefings. Chairs will, however, always take account of scrutiny's role in safeguarding transparency and public accountability and avoid compromising standards of governance.
- **ACTION SEVEN:** Chairs will agree and enforce a number of protocols regarding the way Committee will gather evidence at formal meetings. These protocols (**listed in full in Appendix Three below**) will range from the ordering of items on agendas, the number of officers attending meetings and the length of officer presentations, the arrangement of questions, the length of Committee minutes and the content of cover reports.

## Work Programming:

- **ACTION EIGHT:** Scrutiny Committee Chairs will work with senior managers and Cabinet Members to ensure that topics chosen for Scrutiny are carefully planned to make best use of the time and effort taken to scrutinise them. This will involve regular planning meetings with robust negotiation, prioritisation and consideration of business intelligence to ensure that the very best scrutiny outcomes can be achieved within available resources. It may involve the agreement of a "triage tool" based on the function's current "PICK" methodology to adjudicate on matters where opinion is divided. The anticipated role for Scrutiny and options available will be clearly set out in cover reports.
- **ACTION NINE:** Chairs will work with their Committee Members to ensure that decisions on allocation of time to in-depth task and finish inquiries are carefully considered to optimise the benefit of the resource agreed. It is likely that – while circumstances may occasionally require longer inquiries – the recent move towards undertaking a larger number of shorter inquiries will continue.

## Public Engagement and Communications:

- **ACTION TWELVE:** Chairs will introduce a number of measures to increase the communication and promotion of scrutiny meetings and business. These measures (**listed in full in Appendix Four below**) will involve working more closely with the Council's Corporate Communications team to improve the representation of scrutiny in Council publications and the wider local media, increasing the profiling of scrutiny business in social and electronic media. The webcasting of selected Scrutiny meetings could be considered during the 2015/16 Municipal Year, subject to the successful evaluation of its current pilot.
- **ACTION THIRTEEN:** Scrutiny will continue to provide opportunities for third sector and professional partners and stakeholders to provide evidence to scrutiny committee, either directly or through their local Ward Councillor. Scrutiny Committees will in particular pilot a programme of Public Questions to Scrutiny in October and November, allowing citizens to raise a question of concern at a scrutiny committee meeting.

## Evaluating Scrutiny's Impact:

- **ACTION FOURTEEN:** Scrutiny Services will introduce an annual survey of Members and senior managers, starting in Quarter Four of 2015/16, to gauge views on the effectiveness of scrutiny arrangements for the preceding 12 months.
- **ACTION FIFTEEN:** Scrutiny Chairs will publish their own annual self-assessment at the end of the Municipal Year, using the published "Characteristics of Effective Scrutiny in Wales" as their guide to how effective they consider the environment, practice and impact of scrutiny to have been during the year.
- **ACTION SIXTEEN:** Scrutiny Chairs will arrange on an achievable sampling basis a review of certain "high profile" scrutiny items to identify and communicate the impact of that scrutiny activity, and any lessons learnt for future scrutiny. This will give Cabinet Members, senior managers and (where appropriate) external witnesses the chance to briefly identify what they felt were the strengths and limitations of the scrutiny.



## Improving Governance and relationships:

- **ACTION SEVENTEEN:** In Quarter Three of 2015/16 Scrutiny Chairs will contribute an updated *Guide to Scrutiny* to the Council's *Decision Making Guide* publication, setting out Scrutiny's expectations of how the function will act in its dealings with others, and how it would like for Cabinet Members, officers and external witnesses and partners to interact with it.
- **ACTION EIGHTEEN:** Scrutiny Chairs will seek to meet more regularly with their Cabinet Member counterparts, and promote cordial relations between Scrutiny and the Cabinet.

## Increasing Scrutiny Resources

- **ACTION NINETEEN:** Scrutiny Services will engage positively with internal functions such as the Council's Communications Team, Cardiff Debate, Performance Management team, Internal Audit Team and Cabinet Policy Team to share resources where possible and appropriate, to optimise the limited resources available across the Council to develop and sustain effective Council policy.
- **ACTION TWENTY:** Scrutiny Services will continue to work effectively with external bodies like Welsh Local Government Association, neighbouring local authorities, the Centre for Public Scrutiny, Cardiff Business School, University of South Wales, Cardiff Third Sector Council and individual third sector and professional bodies to optimise the resources available to provide good scrutiny of Council services.

## 7 Medium Term Improvements planned from the Inquiry

While the 20 actions listed above represent a significant undertaking, some readers may feel that the Scrutiny Chairs could have gone further in reviewing the scrutiny function. The full body of evidence presented to the Inquiry offers a vast range of suggestions and drivers for change.

The Chairs' view, supported by the Centre for Public Scrutiny, is that rather than seeking to achieve everything in one go and potentially achieve very little at all, it would be preferable to improve areas that could be more easily achieved in the short term, and then – at the end of the current Municipal Year in May 2016 – consider how much progress has been made before seeking more fundamental reform.

Another key factor that has influenced the Chairs' priorities was the likely level of resource available to scrutiny in the 2016/17 and successive Council budgets, which was not clear at the time of publishing this report.

Finally, but perhaps most importantly, the Chairs were mindful that in terms of the Council's governance needs, the Council is at a significant series of crossroads, with major changes planned:

- Significant sectors of Council service delivery like waste, highways, leisure and culture are considering alternative models of management which might see any of a number of different future models of governance that would require its own bespoke scrutiny arrangements, and these models are still to be determined.
- Regulators are suggesting that they want to see collaborative scrutiny of shared regional service delivery. While initial conversations with neighbouring authorities about this have begun, there will be a long journey towards any such collaborative ventures, and the likely outcomes are not yet clear.
- Other very significant issues including local government re-organisation are similarly unclear in terms of their likely impact on scrutiny arrangements.

Once the resource base for delivering scrutiny from the 2016/17 Municipal Year are known (perhaps from the time of publishing the Council's agreed budget at February 2016's Full Council meeting), the Chairs will seek to identify their next wave of improvements, so that the function remains sharp and useful in delivering effective scrutiny for the Council and its citizens.

## Potential Mid Term Priorities considered during the Inquiry:

### Committee Structure and Terms of Reference

- Consider more extensive changes to existing five committee structures.
- Optimise scrutiny of alternative delivery models / commissioned services (within resources).
- Enable optimised focus on regional collaborative scrutiny (within resources).

### Work Programming

- Budget forum/panel for 2016/17?
- Consider CfPS suggestion of looking at smaller subject areas in greater depth? Or at broader subject areas, with a specific policy focus area.

### Communications and Public Engagement

- Develop a Communications Toolkit and Strategy.
- Dedicated Facebook page.
- Further align work programme to what the public are passionate about.
- Outreach programme – more meetings in community settings.
- One item chosen by the public per quarter.
- More petitions heard at scrutiny.
- Significantly more citizens, community groups, s/users to present evidence.
- Service user reference panel?

### Measuring Scrutiny's Impact

- Review effectiveness of Chairs' letters – is there a better way?
- For larger pieces of scrutiny task and finish work – track the delivery of recommendations at annual intervals – focusing on **OUTCOMES**.
- Satisfaction report on internal and public experience of Scrutiny, March 16.
- Statistical data in 2015/16 Scrutiny Annual Reports, June 2016:
  - Meeting stats / inclusiveness of Work Programmes / Number of Recs made, agreed, implemented etc / Qualitative judgements on outcomes for Council and citizens.
- Longer Term (four/five year?) review, eg Improving Scrutiny Project, to gauge internal and public perception of value of scrutiny.

### Member Development

- Respond to proposals of Democratic Services Committee from May 2016 to optimise Member Development as part of overall Member Devt Programme.

### Governance and Relationships

- Review June 2016 as part of Chairs' self-assessment, and considering the overall climate of governance and relationships within the Council.

### Resourcing Scrutiny

- Consider how joint working with Health, Police, neighbouring local authorities etc can be improved.

**Appendix 1**  
**Inquiry Evidence Grid (available electronically)**

DRAFT

## Appendix 2

### Suggested arrangements to limit length of scrutiny meetings and agendas

#### Once formalised, these arrangements will be lodged in the Scrutiny Procedure Rules in the Council Constitution

##### Assumptions on meeting and agenda length:

- Target of three hours meeting length.
- Target of two substantial items and one smaller item per meeting.

##### Managing business outside Committee meeting:

- More co-ordination at Chairs' Forum of Scrutiny business.
- More private forum meetings to discuss issues, triage what should go to Committee, go to T&F, be managed by Chair, or just sent out for info.
- Pre-meetings as frequently as required.
- Meetings between scrutiny Chairs, scrutiny officer, Cabinet Member and service officers as frequently as required.

##### Prioritisation / Triage of Committee Items

- 'Less is more'.
- Triage items for priority consideration:
  - Trial Performance and Budget Panels for pre-Committee consideration.
  - Develop Triage Tool for Performance, Budget and Pre-Decision items (will decide whether to go to Committee, T&F, Chair and PSO, or just for info).

##### Pre Decision Scrutiny

- Prioritise carefully through risk analysis and likelihood of useful scrutiny impact to ensure that the most important topics are chosen for pre-decision, and that some items can be chosen not to be pre-scrutinised.
- Work with Cabinet colleagues to try to avoid items planned for scrutiny being deferred at last minute, which has previously compromised the integrity of scrutiny agendas.
- Discuss with Cabinet how to ensure information is available to enable pre-decision scrutiny at an earlier stage.

## Appendix 3 Protocol on Evidence to Scrutiny Meetings

### Once formalised, these arrangements will be lodged in the Scrutiny Procedure Rules in the Council Constitution

#### General Assumptions:

- Unless it will present serious impediment to witness availability, order agendas with larger or more challenging items first.
- Cabinet Member and most senior officer will generally be invited to attend, but Director can delegate on occasions to specialist Assistant Directors and OMs.
- To avoid repetitive witness answering of questions – Cabinet Member will be invited to provide “political” answers, and officer to provide “technical” answers.
- Officers will be asked to keep presentations to 10 mins and 10 slides max (unless unavoidable) and send presentations to scrutiny officer before end of working day before Committee for circulation to Members.
- Questions will wherever possible be arranged into lines of scrutiny inquiry, but not formally agreed or scripted beforehand.
- Cover reports will be jointly crafted by scrutiny officer and service areas, to ensure that earlier scrutiny consideration and observations of the subject are included and that the service areas’ proposals are clear.

## Appendix 4

### Short-term Proposals to Increase Promotion of Scrutiny Activity

#### **COMMS PLAN**

- Agree with Corporate Communications Team an overall Comms plan for autumn/winter/spring, with clear roles and responsibilities set out.

#### **SOCIAL MEDIA**

- Establish Cardiff Scrutiny Twitter Feed.
- Increase presence on Council FaceBook page.

#### **WEBSITE**

- Improve and migrate existing scrutiny website to Modern Gov.
- Use Scrutiny Members' community and online presence to promote scrutiny.

#### **WEBCASTING**

- Consider the piloting of webcasting of a small number of scrutiny meetings, subject to evaluation of current pilot.

#### **PUBLIC QUESTIONS TO SCRUTINY**

- Pilot Public Questions to Scrutiny in October and November.

#### **TRADITIONAL MEDIA**

- Issue press releases on publication of task and finish Inquiry reports
- Issue press releases for larger scrutiny activity, or activity that is inviting public participation.

## Appendix 6 Proposed Improvements to Scrutiny Processes

<b>Process</b>	<b>Timescale</b>
Scrutiny Committee structures and terms of reference	Sept 15 & May 16
Scrutiny Cover Reports	Sept 15 – May 16
Scrutiny Meeting and Agenda Management	Sept 15 – May 16
Scrutiny Work Programming	Sept 15 – May 16
Evaluating the Impact of Scrutiny	Sept 15 – May 16
Scrutiny Correspondence and Chairs' letters	Sept 15 – May 16
Public Engagement with Scrutiny	Sept 15 – May 16
Scrutiny and Audit relationship & work programming	Sept 15 – May 16
Performance Monitoring	Sept 15 – May 16
Pre-Decision scrutiny	Sept 15 – May 16
Communications Plan	Sept 15 – May 16
Pre-Decision scrutiny	Sept 15 – May 16
Public Questions to Scrutiny	Oct 15
Budget and Financial Scrutiny	May 16
Witness Feedback	May 16
Internal Communications	May 16
Member Development	May 16
Research Commissioning	May 16

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**CITY AND COUNTY OF CARDIFF**  
**DINAS A SIR CAERDYDD**

**POLICY REVIEW & PERFORMANCE**  
**SCRUTINY COMMITTEE**

**8 September 2015**

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**WORK PROGRAMME 2015/16**

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**Purpose of the Report**

1. To seek Members' approval for the Committee's 2015/16 draft work programme.

**Context**

2. The Council's Constitution states that each Scrutiny Committee will set its own work programme for the forthcoming year (*Scrutiny Procedure Rule 7*). The Committee is tasked with constructing a work programme for the year ahead that ensures the time available to the Committee is used most effectively by considering items in a timely fashion that maximise the impact of scrutiny.
3. This Committee's terms of reference are founded on a corporate policy and performance overview responsibility, giving the Committee responsibility for scrutinising, measuring and actively promoting improvement in the Council's overall performance, as well as responsibility for scrutinising a number of specific service areas.
4. The Committee's terms of reference determine that its responsibilities fall within four Directorates of the current organisational structure as follows:
  - Resources:** (Finance; Commissioning & Procurement; Change & Improvement; ICT; HR)
  - Democratic Services:** (Legal; Scrutiny; Governance & Member Support)
  - Economic Development:** (Strategic Property & Estates)
  - Communities, Housing & Customer Services.** (Customer Services; Partnerships & Community Engagement).

The Committee's Terms of Reference are:

- To scrutinise, monitor and review the overall operation of the Cardiff Programme for Improvement and the effectiveness of the general implementation of the Council's policies, aims and objectives, including:

Council Business Management and Constitutional Issues	Equalities
Council Corporate Plan	Finance and Corporate Grants
Strategic Policy Development	Organisational Development
Strategic Programmes	E-Government
Community Planning & Vision Forum	Information Communication Technology
Voluntary Sector Relations	Council Property
Citizen Engagement & Consultation	Commissioning & Procurement
Corporate Communications	Legal Services
Contact Centre Services and Service Access	Carbon Management
International Policy	Cardiff Local Development Plan

- To scrutinise, monitor and review the effectiveness of the Council's systems of financial control and administration and use of human resources.
- To report to an appropriate Cabinet or Council meeting on its findings and to make recommendations on measures, which may enhance Council performance and service delivery in this area.

5. Full Council, on 21 May 2015, approved the following meeting dates for this Committee, which all fall on a Tuesday, starting at 4.30pm.

8 September 2015	8 March 2016
6 October 2015	12 April 2016
3 November 2015	10 May 2016
1 December 2015	7 June 2016
12 January 2016	5 July 2016.
3 February 2016 ( <i>budget</i> )	

## Work Programming

6. The work programme is constructed at the beginning of the municipal year but is updated and amended during the year in order to respond to urgent priorities or policy developments. Given the range of service areas and subjects covered by the Committee, the work programme needs to be carefully constructed to ensure that the time available to the Committee is most effectively used, and to balance time invested against the potential impact of Committee's work. It also has to remain flexible in order to cover any urgent issues occurring throughout the year.
7. At its 7 July 2015 meeting the Committee agreed to hold a work programming forum on 28 July 2015, Member availability having been requested prior to the meeting. Members asked that Directors with responsibility for delivering services that fell within the Committees terms of reference be invited to address the work programming forum highlighting areas that the Committee might potentially make an impact.
8. On 28 July 2015, Committee Members met to discuss potential work programme items and issues. The forum was addressed by Christine Salter, Corporate Director Resources, and Marie Rosenthal, Director of Governance & Legal Services.
9. At the meeting, Members considered a wide range of possible items, including suggestions from Members and senior officers, performance reports, pre-decision reports, policy review & development work, monitoring reports, briefing reports and scrutiny inquiries which could be included in the Committee's 2015-16 work programme. A list of possible items (**Appendix A**) was circulated to Members prior to the work programming forum, drafted by the Committee's Principal Scrutiny Officer following discussions with senior managers, and reference to key Council plans, strategies, and programmes, directorate delivery plans, and the Council's Risk Register.
10. In prioritising the possible items for inclusion in the draft work programme, at the forum Members were invited to collectively determine each item 'Red' 'Amber' or 'Green', where Red items *would* be programmed for scrutiny; Amber items the

Committee would *aim to* programme for scrutiny; and Green items the Committee was *unlikely* to programme time for formal scrutiny. When determining priorities Members considered factors such as:

- a. the potential impact of scrutiny;
- b. the importance for Cardiff Council
- c. the importance to the citizens of Cardiff; and
- d. whether the possible item would be more appropriately considered by other Council Committees, such as Audit, Democratic Services, or other Scrutiny Committees.

11. At the work programming forum Committee Members considered the WAO Corporate Assessment (September 2014), and the subsequent advice to scrutiny committees to aim to achieve committee meetings that last no longer than three hours, whilst maintaining robust and appropriate levels of scrutiny across the terms of reference, by ensuring agendas are of a manageable size and that work occurs outside committee meetings.

12. Addressing this, Members agreed how best to ensure the Committee remains fully informed in undertaking its duties whilst simultaneously managing agendas effectively, and therefore determined to deal with items in one of the following ways:

- FC: for consideration by Full Committee;
- BF: Briefing Formal - for information circulated with formal Committee papers;
- BI: Briefing Informal – for information circulated/verbally briefed outside of formal Committee papers / meetings;
- T&F/panel – a time limited in-depth inquiry by 3-4 Members of the Committee

13. A full listing of the determinations made at the forum can be found at **Appendix A**, the highlights of which are as follows:

- a. Corporate Plan and Budgetary Proposals – scrutiny scheduled for 3 February 2016.
- b. Quarterly performance reports – to consider at this committee how best to approach the scrutiny of corporate-wide performance, and performance scrutiny of the directorate functions that fall within its terms of reference. Members in attendance at the Forum agreed there may be merit in creating a performance panel of the Committee to scrutinise performance reports ahead of Committee Meetings, with the aim of reporting back to the full Committee.
- c. Budget monitoring – consider at this committee whether there is merit in a sub-group/panel approach as above, or agree that the full Committee will monitor the budget at Month 6 and Month 9.
- d. Organisational Development Programme – progress will be monitored in December 2015 and June/July 2016. The Committee will take a *fluid but responsive* approach to scrutiny of programme projects causing concern.
- e. Partnerships - that the Committee accept responsibility for scrutiny of Partnerships, and will programme scrutiny of the Cardiff Partnership Board (CPB) for the November meeting. Members have requested support in preparing for this additional responsibility, and wish to factor in a pre meeting and briefing paper on the CPB prior to 3 November.2015. Members agreed that the Chair and Principal Scrutiny Officer would request an opportunity to observe a meeting of the CPB.
- f. To refer *Developing the Cardiff Brand, Welsh Language Matters, and International Links/ City networks* to the Economy & Culture Scrutiny Committee.
- g. To refer *Corporate Complaints and Fraud* matters (highlighted in the Corporate Risk Register) to the Audit Committee.
- h. To scope opportunities for the Committee to add value to the Council's commercialism work with an inquiry on commercialisation of Council services.
- i. To pause scoping suggestions of inquiries on demand management, collaborative delivery lessons, and promoting community benefits through Council contracts until Member and officer resource to support the potential inquiries is clearer.

- j. To review Committee's previous work on information governance.
- k. CIL (Community Infrastructure Levy). The Council is approaching a point of placing its CIL proposals on inspection. Members may wish to engage with Members of other Scrutiny committees in assessing and informing the draft CIL proposals prior to Cabinet sign off.
- l. Community Hubs. During 2014-15 the Committee was involved in joint scrutiny of Community Hubs with other scrutiny committees, and may be called upon to consider the draft proposals for community hubs coming forward during 2015/16.

14. As a result of the forum a draft work programme has been developed and is attached at **Appendix B**. Members are reminded of the need to retain some flexibility in the work programme to enable new items to be added to the work programme during the year as necessary.

15. Given the need to consider the resources available to scrutiny services and the capacity of Members to undertake scrutiny inquiry and sub-group/panel work, Members will need to confirm whether they are willing and able to sit on a task and finish group, performance or budget panel, if agreed at this committee. The usual number of Members on a task and finish group is three or four, with the aim of ensuring political balance.

16. Committee Members who express an interest in sitting on a task group will be invited to shape the terms of reference and scope for the Inquiry; including proposals for the structure of the Inquiry, the number of meetings, site visits and witnesses.

### **Way Forward**

17. Committee Members will have the opportunity to discuss the information provided in this report and appendices, namely the proposals made by the work programming forum, and whether or not to re-prioritise any items listed in **Appendix A**. Members will then need to agree to the amendments required.

## **Legal Implications**

18. The Scrutiny Committee is empowered to enquire, consider, review and recommend but not to make policy decisions. As the recommendations in this report are to consider and review matters there are no direct legal implications. However, legal implications may arise if and when the matters under review are implemented with or without any modifications. Any report with recommendations for decision that goes to Cabinet/Council will set out any legal implications arising from those recommendations. All decisions taken by or on behalf of the Council must (a) be within the legal powers of the Council; (b) comply with any procedural requirement imposed by law; (c) be within the powers of the body or person exercising powers on behalf of the Council; (d) be undertaken in accordance with the procedural requirements imposed by the Council e.g. Scrutiny Procedure Rules; (e) be fully and properly informed; (f) be properly motivated; (g) be taken having regard to the Council's fiduciary duty to its taxpayers; and (h) be reasonable and proper in all the circumstances.

## **Financial Implications**

19. The Scrutiny Committee is empowered to enquire, consider, review and recommend but not to make policy decisions. As the recommendations in this report are to consider and review matters there are no direct financial implications at this stage in relation to any of the work programme. However, financial implications may arise if and when the matters under review are implemented with or without any modifications. Any report with recommendations for decision that goes to Cabinet/Council will set out any financial implications arising from those recommendations.

## **RECOMMENDATIONS**

The Committee is recommended to discuss and agree its work programme for 2014/15, including:

- i. Agree the approach to scrutinising budget monitoring;
- ii. Agree the approach to scrutinising performance;
- iii. Agree the approach to scrutinising the Organisational Development Programme.

- iv. Agree any amendments to the proposed work programme in terms of scheduled committee items;
- v. Agree to scoping an inquiry on commercialisation;
- vi. Agree nominations for the task group/panels, including a potential CIL joint task group and potential community hub joint scrutiny;
- vii. Approve the work programme as amended by the decisions above.

**MARIE ROSENTHAL**

Director of Governance & Legal Services  
2 September 2015



Work Programming Prioritisation							
Item	FC	B-F	B-I	T&F/ Panel	Defer	Timing	Priority (RAG)
Corporate Plan	X					Feb	R
Budgetary Proposals 2016/17	X					Feb	R
Budget Monitoring – M4 September, M6 November, M9 February.	?			?			tba
Quarterly Performance Reports – Corporate overview; – Q1 September, Q2 November, Q3 Feb/March, Q4 May.	X			?		Sept Nov Feb	R tba tba
Cabinet Response to ADM Inquiry	x					Received	R
Implementation of ADM recommendations - monitoring	X					?	R
Work Programme reports	X					Quarterly	R
Annual Report 2015/16	x					May	R
Correspondence updates	X					Monthly	R
Audit Committee minutes	X						R
Review of Non Operational Investment Property Estate.	X					Sept	R
Developing the Cardiff Brand – report on consultation results					E&C		G
County Hall – review of options for location of office staff	x					Sept	R
Review of Disciplinary Policy and Procedures		x				Sept	G
Review of Special Leave		x				Sept	G
Corporate Risk Register –mid year review 2015/16		x				Dec	A – monitor
Health & Wellbeing strategy		x				Oct	G
Cardiff & Vale of Glamorgan LSB							G
Cardiff Debate – Chairs Letter to Cabinet Member							G
Local Development Plan -adopt						Oct	G
Commercialism Strategic framework	x					Oct	R
Delivery of Outcome Agreement		X				March	A - monitor
Organisational Development Programme progress monitoring – 6 monthly, followed by in depth scrutiny of programme projects causing concern. Note Committee will take a 'fluid but responsive' approach in 2015/16	X						Dec June/July
Sickness Absence –. Q4 – light touch 6 month review of revised policy dependent on Q3 results	x						A – monitor May/June
Workforce Strategy – Directorate Workforce Plans – Q2 Design integrated corporate approach to Workforce Planning. Business case for software system for Business Planning, Performance Management, Finance & Workforce planning.)		x					A – monitor April /May
Corporate Apprenticeship & traineeship programme –			x				G

**FC:** Full Committee; **BF:** Briefing Formal/for information with committee papers; **BI:** Briefing Informal/ circulated/held outside of formal committee papers /meetings; **T&F/panel:** inquiry panel of the Committee

**RAG:** Red – programme; Amber – aim to programme; Green: unlikely to programme.

Develop Graduate Scheme proposals & seek Cabinet agreement Q4.							
Employee Survey Results (anchor for workforce strategy)	X					Oct	A
Corporate Resources service- wide review of action plans.			x				G May/ June
Development of ADM models						watch	R
Define risk appetite of Cardiff Council					X		G
Develop business case for credit card surcharging					X		G
Further automation of forms and access to council tax information					X		G
Establish L A Trading Company (employee mutual?)	x					Nov/Dec	A
Update Commissioning & Procurement Strategy to include e-procurement strategy.	X						R
Develop strategic direction for CTS to improve effectiveness and reduce costs					X		G
Develop strategic direction to Improve effectiveness and reduce costs of Building Services. CMS framework contract & action plan.					X		G
Health & Safety service – define Council’s collaborative appetite.		X					G
Develop collaborative working between cleaning and security.					x		G
Refresh and update service property plans					X		
Initiate a two year programme of fitness for purpose assessments					X		
Programme of radical property rationalisation between public sector property owning organisations to commence					x		
Establishment of a Core Cities property group to facilitate peer benchmarking of key property comparators					x		
Implement new income generating schemes and opportunities				X			R
Ensure that facility management procurement process delivers the best financial and operational outcomes for Cardiff Council					X		
Community Boundary Review - (first report to council expected Sept; further report Dec. Monitor outcome for potential Electoral ward review).					X		
Improving Scrutiny – Final report September 2015	X					Sept	R
Second Strategic Equality Plan -2016-20 (including ref to Annual Review) – consultation <i>Sept/Oct , Pre decision Dec/Jan 2015</i>	x					Oct Jan	R
Directorate Benchmarking quarterly progress reports ( <i>expand to corporate progress report</i> )					X		G

**FC:** Full Committee; **BF:** Briefing Formal/for information with committee papers; **BI:** Briefing Informal/ circulated/held outside of formal committee papers /meetings; **T&F/panel:** inquiry panel of the Committee

**RAG:** Red – programme; Amber – aim to programme; Green: unlikely to programme.

Welsh language Standards					E&C		
Welsh Language Centre					E&C		
Legal Services Review action plan					X		G
Legal Toolkit					X		G
Review of legal process with Directorates					X		G
Corporate Complaints support /policy					Audit		
Manage and develop the Council's web presence.					x		G
C2C -Customer Services – focus to include customer management strategy & relationship model. Single Customer View through the use of new technologies (e.g. SAP CRM).	X					Dec	R
ICT platforms					x		G
Fraud					Audit		
International links/City networks					E&C		
Corporate Assessment Review	X					Jan	R
Annual Improvement Plan	X					Sept	R
<b>Partnership Scrutiny</b>							
CPB briefing report			x				G
What Matters refresh & alignment with the ODP	x					Nov	R
What Matters Annual Review	x					Nov	R
<b>Potential Inquiries/areas of research</b>							
<b>Commercialism/ Income Generation</b> The combination of falling budgets and rising demand means many councils are thinking more entrepreneurially/commercially and undertaking revenue generating approaches to service provision. Where is the Council in comparison to others? Are there further opportunities? How have others tackled factoring in 'retention of service for the public good'				?		Oct-	tba
<b>Demand Management</b> - examination of shifting relationships between the public, the state and public services, focussing policy and practice on the root causes of social demand, and the role citizens and communities can play in helping us manage demand.				?		?	tba
<b>Collaborative Delivery</b> – Evaluation of collaborative/consortium delivery approach, post creation of regional Regulatory Services and Adoption Services. What lessons can we learn?	?			?			tba
<b>Administrative functions</b> -KPMG research report published June 2015 suggesting there is significant opportunity to improve the performance of administrative functions with Welsh Local Authorities both in the immediate and the longer term.			x				PSO to Circulate for info.
<b>Promoting community benefits through Council contracts.</b> Under the Welsh Government Public				?			tba

**FC:** Full Committee; **BF:** Briefing Formal/for information with committee papers; **BI:** Briefing Informal/ circulated/held outside of formal committee papers /meetings; **T&F/panel:** inquiry panel of the Committee

**RAG:** Red – programme; Amber – aim to programme; Green: unlikely to programme.

Procurement Policy the Council is expected to deliver social, economic and environmental benefit through an effective Community Benefits policy that is an integral consideration in procurement. There is scope to improve the Councils approach.							
<b>Information Governance</b> (Review Committees previous incomplete inquiry work)	x						<b>R</b>
<b>Budget monitoring sub group</b> – explore option of monthly monitoring through confidential briefings and/or quarterly examination of budget monitoring reports for exception referral of concerns to full Committee.				?			tba
<b>Performance Monitoring sub group</b> – meet quarterly to inform on going work programming of all committees, and report exceptions to the main committee of functions within its own Terms of Reference.				?			tba
<b>Joint Inquiries</b>							
LDP - Community Infrastructure Levy (CIL) – joint task group of 5 scrutiny committees. Chair plus one nomination. Potentially one and a half day meeting October <b>2015 LDP</b> – to inform Cabinet report planning in December/January.				x		Oct	
Community Hubs, various proposals to cabinet, St Mellons (October), Llanedeyrn (November) and Llanishen (November), 3 Members required.					x		G – unnecessary, approach is good.
Audit Committee protocol - Work with Internal Audit to address feedback from the WAO Corporate Assessment suggesting greater co-ordination between this Committee and the Council’s Audit Committee.	x					Ongoing protocol	<b>R</b>

**FC:** Full Committee; **BF:** Briefing Formal/for information with committee papers; **BI:** Briefing Informal/ circulated/held outside of formal committee papers /meetings; **T&F/panel:** inquiry panel of the Committee

**RAG:** Red – programme; Amber – aim to programme; Green: unlikely to programme.

Policy Review & Performance Scrutiny Committee: Work Programme					2015-16								
	Sep-08	Oct-06	Nov-03	Dec-01	Jan-12	Feb-03	Mar-08	Apr-12	May-10	Jun-07	Jul-05		
<b>Corporate</b>													
						Budget Proposals 2016-17							
						Corporate Plan							
<b>Policy Review</b>													
	Non Operational Investment Property Review	Commercialism Strategic Framework	Local Authority Trading Company	Customer Services -C2C, CRM, SAP etc	Draft Strategic Equality Plan				Sickness Absence - Light Review				
		Strategic Equality Plan. Consultation	What Matters refresh & align with ODP		Corporate Assessment Review WAO								
	Annual Improvement Plan	Office Accommodation	What Matters Annual Review										
<b>Monitoring</b>													
	Performance Q1	Employee Survey Results	Performance Q2	OD progress report			Performance Q3		Performance Q4	OD progress report			
			Budget M6 tba			Budget M9 tba							
<b>Committee Business</b>													
	Correspondence	Correspondence	Correspondence	Correspondence	Correspondence	Correspondence	Correspondence	Correspondence	Correspondence	Correspondence	Correspondence		
	Work Programme			Work Programme			Work Programme		Annual Report	Work Programme			
	Improving Scrutiny												
<b>Briefing/ for information</b>													
	Review of Special Leave	Health & Wellbeing Strategy		Corporate Risk Register mid yr			Outcome Agreement	Workforce Strategy	Service areas action plans review				
	Disciplinary Procedures Review	Cardiff Partnership Board											
	KPMG Admin functions - for info												
<b>Inquiries</b>													
	Commercialism												
	Information Governance												
<b>Joint Scrutiny</b>													
		Community Infrastructure											

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**CITY AND COUNTY OF CARDIFF  
DINAS A SIR CAERDYDD**

**POLICY REVIEW & PERFORMANCE  
SCRUTINY COMMITTEE**

**8 September 2015**

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**CORRESPONDENCE – INFORMATION REPORT**

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**Background**

1. Following Scrutiny Committee meetings, the Chair writes a letter to the relevant Cabinet Member or senior officer, summing up the Committee's comments, concerns and recommendations regarding the issues considered during that meeting. The Committee are offered an opportunity to comment on a draft of the letter before it is forwarded to the Cabinet Member. The letter usually asks for a response from the Cabinet Member to any recommendations made, and sometimes requests further information.

**Issues**

2. A copy of the ***Correspondence Monitoring Sheet*** detailing the Committee's correspondence, and analysing responses received since the July meeting, is attached at **Appendix 1**. Also attached to this report are copies of all relevant correspondence.

**7 July 2015 Meeting Correspondence**

**Organisational Development Programme**

3. The Committee received a presentation and report on the progress of the Organisational Development Programme, including specific updates on the Assets & Property; Commercial Development & New Income Streams; Reshaping Customer Focus & Enabling Technology; and Reshaping Services for Vulnerable Children work streams. A copy of the Chair's letter to the Cabinet Member Corporate Service & Performance following the scrutiny is attached at

**Appendix 2a.** A response was received on 11 August and is attached at **Appendix 2b.**

### **Alternative Delivery Model Evaluation Methodology**

4. The Committee was offered an opportunity to comment on the Council's agreed methodology for evaluating Alternative Delivery Models. The Committee agreed that the Chair would write to the Cabinet Member on its behalf welcoming the methodology. A copy of the Chair's letter is attached at **Appendix 2c.**

### **12 May 2015 Meeting Correspondence**

#### **Financial Resilience**

5. The Committee received a briefing on the Financial Resilience of the Council. A copy of the Chairs letter following Committee is attached at **Appendix 3a**, and a response was received on 16 July, attached at **Appendix 3b.**

### **9 July 2015 Meeting Correspondence**

#### **Alternative Delivery Model**

6. In addition the Committee held two call-ins, jointly with the Environmental Committee, in respect of the ADM proposals to Cabinet. The letter that followed to the Cabinet Member for the Environment is attached at **Appendix 4a.** A rapid response was received on 16 July, attached at **Appendix 4b.**

#### **Legal Implications**

7. The Scrutiny Committee is empowered to enquire, consider, review and recommend but not to make policy decisions. As the recommendations in this report are to consider and review matters there are no direct legal implications. However, legal implications may arise if and when the matters under review are implemented with or without any modifications. Any report with recommendations for decision that goes to Cabinet/Council will set out



any legal implications arising from those recommendations. All decisions taken by or on behalf of the Council must (a) be within the legal powers of the Council; (b) comply with any procedural requirement imposed by law; (c) be within the powers of the body or person exercising powers on behalf of the Council; (d) be undertaken in accordance with the procedural requirements imposed by the Council e.g. Scrutiny Procedure Rules; (e) be fully and properly informed; (f) be properly motivated; (g) be taken having regard to the Council's fiduciary duty to its taxpayers; and (h) be reasonable and proper in all the circumstances.

### **Financial Implications**

8. The Scrutiny Committee is empowered to enquire, consider, review and recommend but not to make policy decisions. As the recommendations in this report are to consider and review matters there are no direct financial implications at this stage in relation to any of the work programme. However, financial implications may arise if and when the matters under review are implemented with or without any modifications. Any report with recommendations for decision that goes to Cabinet/Council will set out any financial implications arising from those recommendations.

### **Recommendation**

The Committee is recommended to note the content of this report and appendices, and decide whether it wishes to take any further actions, or request any further information.

**MARIE ROSENTHAL**

Director of Governance and Legal Services

1 September 2015

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## Policy Review and Performance Scrutiny Committee

Correspondence update 2015 - 16

Committee date& topic	Recipient	Comments/Information requested	Response received	Response	Future Action
12 May  <b>Financial Resilience</b>	Cllr Bale	<ul style="list-style-type: none"> <li>Members suggest the Council asks its customers what services they need free of charge, and what they are prepared to pay for, with a view to increasing the Council's income from services.</li> <li>Members ask that you place on record that libraries will be protected in the 2016/17 budget round, as agreed at the 2015/16 budget meeting.</li> <li>Should there be a proposal to close Roath Library; Members ask that the proposal be presented to Full Council.</li> </ul>	16 July	<p>As part of the Budget Strategy 2016/17 a fourth savings driver of income generation has been introduced. Current Ask Cardiff Survey 2015 asks Would you support the Council charging more for some services if it means they could be continued. And Do you support the Council in the greater implementation of fines for non-compliance? Answers will be used as evidence in the Cardiff Debate analysis.</p> <p>Confirmed that 2015 budget decision to fund library services remains in place, and reaffirmed in a motion passed at Council on 23 July 2015.</p> <p>On 16 July Cabinet agreed: the condition of Roath Library means alternative temporary provision needs to be delivered in the area; the existing building be advertised for Community Asset Transfer; alternative permanent options be explored; if no CAT solution is found, a future Cabinet Report be</p>	

		<ul style="list-style-type: none"> <li>In light of the ongoing work around Alternative Delivery Models, Members urge that you build in realistic timescales for budgeting purposes</li> <li>Members would be interested to hear of an example where a co-operative solution has resulted in financial savings in service delivery.</li> <li>Members request that you bring a draft of any proposed Council support for the City Deal to Committee for pre-decision scrutiny.</li> </ul>		<p>required for long term library provision.</p> <p>Agree that delivery timescales need to be robustly challenged. The magnitude of ongoing cuts and timing of the Comprehensive Spending Review are causes for concern and will delay confirmation of devolved funding and the local government settlement for 2016/17. Confirmation of the Councils financial settlement might be later than usual. Work will proceed to ensure the Councils MTFP is as robust as possible by late autumn 2015.</p> <p>It is difficult to quantify savings from the investigatory work into Co-operative Councils as this approach does not always lead to financial savings</p> <p>Agree it would be useful to engage with the relevant scrutiny committee(s) at appropriate stages in the development of this initiative.</p>	
<p>7 July 2015</p> <p><b>Organisational Development</b></p>	<p>Cllr Hinchey</p>	<ul style="list-style-type: none"> <li>Members were keen to establish whether any of the nine OD programmes were a cause for</li> </ul>	<p>11 Aug</p>	<p>Committees input on critical challenges in deteriorating financial position welcomed.</p>	

<p>Programme</p>		<p>concern and whether managerial capacity was an issue. The Chief Executive offered to share the Action Plan for dealing with the risk surrounding Adult Social Services commissioning and demand pressures;</p> <ul style="list-style-type: none"> <li>• The Committee will ensure monitoring of progress on specific OD work streams into the work planning of appropriate scrutiny committees;</li> <li>• The Committee has programmed pre-decision scrutiny of the non-operational property review for September 2015;</li> <li>• The Committee concur that the Council's priority must be service provision and that commercial revenue should be ploughed back into service delivery.</li> <li>• Welcomed the planned App and Twitter option for service requests in the future.</li> <li>• The Committee wishes to</li> </ul>		<p>Welcome Committee's offer to monitor progress of specific OD work streams.</p> <p>Consider alignment between cabinet and scrutiny priorities important to the effective governance and long term success of the Council.</p> <p>Will share the Action Plan for dealing with risk surrounding strategic commissioning process with Committee at the earliest opportunity.</p> <p>Look forward to pre-decision scrutiny of the non-operational property review.</p> <p>Will continue Cardiff Debate commitment to open dialogue and engagement with staff on important issues such as the introduction of multifunctional roles and mobile</p>	
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		<p>highlight the importance of good staff engagement on plans for the introduction of multifunctional roles and mobile working, noting that mobile working will be rolled out in social services in April 2016.</p> <ul style="list-style-type: none"> <li>• The Committee would welcome a report following the staff survey 2015 outlining how opinion has changed since the 2014 staff survey;</li> <li>• The Committee wishes to undertake pre-decision scrutiny of proposals for County Hall, which it understands will be brought to Cabinet in October;</li> <li>• The Committee wishes to consider scrutiny of the draft Wales Audit Office Improvement Report.</li> </ul>	<p>working.</p> <p>Critical that we are responsive to staff views. Have recently completed year one of a 3 year programme of engagement with staff.</p> <p>Results of the staff survey 2015 will provide a useful pointer to the outlook of the workforce which is central to successful delivery of the ODP. Staff survey data is being analysed but early indications are that response levels are improved on previous years. The results will be shared with the Committee. Fair to say there is a much higher level of staff engagement than previously.</p> <p>Proposals for County Hall scheduled for Cabinet in November.</p> <p>Officers instructed to share with scrutiny team and an appropriate opportunity for the Committee to consider to be identified.</p>	
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**Correspondence Monitoring Sheet**

**Appendix 1**

<b>Alternative Delivery Model Evaluation Methodology</b>	Cllr Hinchey	<ul style="list-style-type: none"> <li>Members recognised that building the Council’s own model has enabled wide engagement with stakeholders, and they have specifically asked me to relay that they welcome the model as a most useful corporate tool. They feel the Council could usefully apply the Methodology to other services, such as libraries and arts facilities.</li> </ul>	<b>No response required</b>		
9 July 2015 <b>Joint meeting of PRAP &amp; Environmental Scrutiny Committees</b>	Cllr Bob Derbyshire	See attached Appendix 4a		See attached Appendix 4b	

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My Ref: T: Scrutiny/PRAP/Comm Papers/Correspondence

Date: 16 July 2015

Councillor Graham Hinchey,  
Cabinet Member, Corporate Service & Performance,  
Cardiff Council,  
County Hall  
Cardiff  
CF10 4UW



County Hall  
Cardiff,  
CF10 4UW  
Tel: (029) 2087 2087

Neuadd y Sir  
Caerdydd,  
CF10 4UW  
Ffôn: (029) 2087 2088

Dear Councillor Hinchey,

**Policy Review & Performance Scrutiny Committee: 7 July 2015  
Organisational Development Programme**

On behalf of the Policy Review & Performance Scrutiny Committee please accept our thanks for attending Committee on 7 July to report on progress of the Organisational Development Programme (ODP). It was particularly useful to hear from the Chief Executive and a range of Corporate Directors involved in delivering a refresh of the Programme. The Members have asked that I pass on the following comments and observations from their discussion at the Way Forward.

The Committee welcomes the refresh of the ODP to maintain momentum under the Council's '*Make the Difference*' Brand. Members noted that your update centred more on those OD programmes progressing well, and, in advance of Committee's work programming for 2015/16, they were keen to establish whether you felt any of the nine OD programmes were a cause for concern. They take on board the Chief Executive's concern about progress of the Reshaping Services for Vulnerable Adults Programme, and the risk surrounding Adult Social Services commissioning and demand pressures. In respect of that risk the Committee was particularly concerned as to whether managerial capacity would be an issue. They therefore look forward to the Chief Executive sharing the Action Plan currently under development with this Committee.

The Committee looks forward to hearing of progress in relation to the programmes not covered in the presentation. Members wish to ensure all OD programmes are

appropriately factored into the work planning of appropriate scrutiny committees, and confirm this Committee has programmed pre-decision scrutiny of the non-operational property review for September 2015.

Several Members wish to place on record that they fully recognise the value and excellence of the Telecare service for vulnerable people. The Committee was interested to hear that increasing numbers of vulnerable people were purchasing the Telecare service. This service, and the Alarm Receiving Centre (ARC), they consider to have potential for commercial expansion. Therefore they wish to endorse the Chief Executive's statement that the Council's priority must be service provision, and that commercial revenue should be ploughed back into service delivery.

The Committee accepted the logic for introducing a Customer Relationship Management system (CRM) in September 2015, to refine the Council's understanding of its customers; noted that the new system will allow better analysis of failure demand, and therefore assist in avoiding large numbers of complaints from identifiable areas. They took on board your suggestion that less money does not necessarily mean worse services, and in fact there may be less staff delivering improved services. They particularly welcomed news of a planned App and a Twitter option for service requests in the future.

Members are keen to understand the implications for staff numbers of introducing multi-functional roles in some services, and particularly wish to highlight the importance of good staff engagement on such plans. The Chief Executive was clear that there is an appetite amongst the staff for rolling out mobile working, but whilst the technology for such working is currently being tested, we note there is some way to go before social services roll out mobile working in April 2016.

Members wish to highlight the importance of staff satisfaction and were pleased that you consider there are signs of a good staff response to the Council's 2015 staff survey. The Committee would be interested in a report outlining how opinion has changed since the 2014 staff survey, particularly as to whether staff recommending the Council as an employer had increased from its 2014 level of 6/10.

The Committee was particularly interested to hear about the Multi Agency Safeguarding Hub (MASH) to enable information sharing between core partners, and note the sign up of South Wales Police, the Local Safeguarding Children Board, Probation and Health. However, Members wish to stress that, in the current tough financial climate, it is important that the financial burden of successful implementation is shared fairly by all agencies.

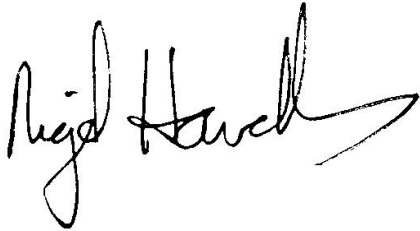
Finally, in terms the Committee's Forward Work planning discussions, Members were very interested to hear that a proposal for County Hall will be brought to Cabinet in October and will factor in pre-decision scrutiny. Similarly, the Committee wishes to thank you for offering the draft Wales Audit Office Improvement Report for Scrutiny.

To recap, actions required as a result of the scrutiny:

- The Chief Executive offered to share the Action Plan for dealing with the risk surrounding Adult Social Services commissioning and demand pressures;
- The Committee will ensure monitoring of progress on specific OD work streams into the work planning of appropriate scrutiny committees;
- The Committee has programmed pre-decision scrutiny of the non-operational property review for September 2015;
- The Committee wishes to highlight the importance of good staff engagement on plans for the introduction of multifunctional roles and mobile working;
- The Committee would welcome a report following the staff survey 2015 outlining how opinion has changed since the 2014 staff survey;
- The Committee wishes to undertake pre-decision scrutiny of proposals for County Hall, which it understands will be brought to Cabinet in October;
- The Committee wishes to consider scrutiny of the draft Wales Audit Office Improvement Report.

Once again on behalf of the Committee, I would be most grateful if you would pass on my thanks to all who attended PRAP Scrutiny Committee to brief Members on the Organisational Development Project.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Nigel Howells', with a stylized flourish at the end.

**COUNCILLOR NIGEL HOWELLS**  
**CHAIR, POLICY REVIEW AND PERFORMANCE SCRUTINY COMMITTEE**

cc Members of the Policy Review & Performance Scrutiny Committee;  
Paul Orders, Chief Executive;  
Christine Salter, Corporate Director Resources;  
Sarah McGill, Director of Communities, Housing and Customer Services;  
Tony Young, Director Childrens Services;  
Neil Hanratty, Director Economic Development;  
Martin Hamilton, Chief Officer Change & Improvement;  
Gareth Newell, Operational Manager, Business & Investment;  
Joanne Watkins, Cabinet Business Manager;  
Matt Swindell, Principal Administrative Officer.

**CABINET SUPPORT OFFICE  
SWYDDFA CYMORTH Y CABINET**



My Ref / Fy Ref: CM31619  
Your Ref / Eich Ref: T: Scrutiny/PRAP/  
Comm Papers/  
Correspondence

Date / Dyddiad: 11 August 2015

Councillor Nigel Howells  
Chair, Policy Review & Performance Scrutiny Committee  
Scrutiny Services  
Room 263  
County Hall  
Cardiff  
CF10 4UW

Annwyl / Dear Councillor Howells

**Policy Review & Performance Scrutiny Committee: 7 July 2015  
Organisational Development Programme**

Thank you for your letter dated 16 July 2015 regarding the Organisational Development Programme (ODP).

Because the ODP represents the Council's response to a range of critical challenges, including the marked deterioration of the Council's financial position, demand-led pressures on services and inadequate performance of some statutory services, the Committee's input is welcomed. I also very much welcome the committee's offer to monitor the progress on specific OD work streams. This represents an important alignment between cabinet and scrutiny priorities.

This alignment is important for the effective corporate governance and long term success of the Council. I therefore look forward to the committee undertaking a pre-decision scrutiny on the non-operational property review programmed for September as well as the proposals for County Hall. I would advise however that the proposals for County Hall are scheduled to be brought to Cabinet in November, rather than October as you note in your letter. I will also instruct the relevant officers to liaise with the scrutiny team to identify an appropriate opportunity for the Committee to consider the Wales Audit Office Improvement Report.

The Chief Executive rightly emphasised that adult service commissioning will have significant impact on the Council's financial resilience, given the size and scale of services in scope. As requested, the Action Plan for dealing with the risk surrounding the strategic commissioning process is currently being worked on by Officers and will be shared with the Committee at the earliest opportunity.


**PLEASE REPLY TO / ATEBWCH I:** Cabinet Support Office / Swyddfa Cymorth Y Cabinet,  
Room / Ystafell 514, County Hall / Neuadd y Sir,  
Atlantic Wharf / Glanfa'r Iwerydd, Cardiff / Caerdydd,  
CF10 4UW Tel / Ffon (029) 2087 2479

On the issue of staff engagement, I recognise the importance of open and informed dialogue. As you will be aware, the Cardiff Debate represents a significant commitment to ongoing engagement with staff, communities, partners and other stakeholders across the city. We will therefore continue with our commitment to open dialogue and engagement, particularly with staff on such important issues as the introduction of multifunctional roles and mobile working.

Finally, the results of the staff survey for 2015 will provide a useful pointer to the outlook of the workforce, who will be central to the successful delivery of the ODP. Despite the challenges, we must ensure that working in public service remains a valued career for talented and dedicated individuals. Giving staff a voice is an important part of this and it is therefore crucial that we are responsive to their views. It is therefore important to note that we have only recently completed the first year, of a three year programme of engagement, with staff. This has involved a marked increase in the level and quality of engagement activity and already progress has been made. At the time of writing, the staff survey data is being collated and analysed. Early indications are that the number of people responding to the survey is much improved on previous years, suggesting that the engagement work undertaken in recent months is having a positive impact. Once finalised, a full analysis of the survey will be shared with the Committee.

Whilst, inevitably, there are concerns among staff about the scale of the financial challenges and some uncertainty regarding the nature of the change projects being undertaken to ensure the long term sustainability of the Council, it is fair to say there is a much higher level of staff engagement than previously.

Yn gwyir,  
Yours sincerely,



**Councillor / Y Cynghorydd Graham Hinchey**  
**Cabinet Member for Corporate Services & Performance**  
**Aelod Cabinet dros Wasanaethau Corfforaethol a Perfformiad**

cc Members of the Policy Review & Performance Scrutiny Committee ;  
Paul Orders, Chief Executive;  
Christine Salter, Corporate Director Resources;  
Sarah McGill, Director of Communities, Housing and Customer Services;  
Tony Young, Director Childrens Services;  
Neil Hanratty, Director Economic Development;  
Martin Hamilton, Chief Officer Change & Improvement;  
Gareth Newell, Operational Manager, Business & Investment;  
Joanne Watkins, Cabinet Business Manager.

My Ref: T: Scrutiny/PRAP/Comm Papers/Correspondence

Date: 15 July 2015

Councillor Graham Hinchey,  
Cabinet Member, Corporate Service & Performance,  
Cardiff Council,  
County Hall  
Cardiff  
CF10 4UW



County Hall  
Cardiff,  
CF10 4UW  
Tel: (029) 2087 2087  
  
Neuadd y Sir  
Caerdydd,  
CF10 4UW  
Ffôn: (029) 2087 2088

Dear Councillor Hinchey,

**Policy Review & Performance Scrutiny Committee: 7 July 2015  
Alternative Delivery Model Evaluation Methodology**

As Chair of the Policy Review & Performance Scrutiny Committee, thank you for your attendance at Committee on 7 July, to brief us on the Alternative Delivery Model Evaluation Methodology.

The Members recognise that building our own model has enabled wide engagement with stakeholders, and they have specifically asked me to relay that they welcome the model as a most useful corporate tool. They feel the Council could usefully apply the Methodology to other services, such as libraries and arts facilities.

Yours sincerely,

**COUNCILLOR NIGEL HOWELLS  
CHAIR, POLICY REVIEW AND PERFORMANCE SCRUTINY COMMITTEE**

cc Members of the Policy Review & Performance Scrutiny Committee;  
Christine Salter, Corporate Director Resources;  
Steve Robinson, Operational Manager, Commissioning & Procurement  
John Paxton, Strategy & Development Manager  
Gareth Newell, Operational Manager, Business & Investment;  
Joanne Watkins, Cabinet Business Manager;  
Matt Swindell, Principal Administrative Officer.

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Date: 27 May 2015

Councillor Phil Bale  
Cabinet Member, Corporate Resources and Performance  
City of Cardiff Council  
County Hall  
Cardiff  
CF10 4UW

Dear Councillor Bale,

**Policy Review & Performance Scrutiny Committee: Financial Resilience.**

Thank you for attending this month's Policy Review and Performance Scrutiny Committee meeting to present Members with an opportunity to discuss the Council's current and projected financial position and resilience. The Committee is grateful that you stood in for Councillor Graham Hinchey who was unable to attend the meeting on this occasion.

The Committee recognises that the Council is facing a large funding gap as it develops the budget strategy for setting its 2016/17 budget. Members note that the scale of this gap, in quantum terms, presents the greatest budget challenge yet, and will mean a decrease in service delivery levels.

Members feel it is time to focus more on customer preferences rather than savings alone, and suggest the Council ask customers what services they need free of charge and what are they prepared to pay for, with a view to increasing the Council's income from services. Members note that target income levels will be revealed by Directors following the budget exercise currently underway in preparation for the budget strategy. The Committee considers this approach to delivering Council services will require strong leadership.

In respect of Cardiff's libraries, Members have asked me to reiterate their request at the meeting that you place on record that libraries will be protected in the 2016/17 budget round, as agreed at the 2015/16 budget meeting. Members highlighted the case of Roath library and would like reassurance that, should there be a proposal to close the Library, that proposal will be presented to Full Council. The Committee note current proposals have been withdrawn pending a more in depth review and it will monitor the Council's findings on this matter with interest.

Members are concerned that the Council may not be reporting overspending in some service areas. If this is the case they consider the Council is at risk of external

intervention and are particularly concerned about the reputational risk such intervention would create for the Council. They were interested to hear that you are currently in the process of a procurement operation to source a management operator for St Davids Hall. Whilst there is ongoing work around Alternative Delivery Models the committee urged that you build in realistic timescales for budgeting purposes. They note that Service Area Directors have been asked to consider the impact of reducing services to a statutory minimum, and consider options for the delivery of non-statutory services.

The Committee note that investigatory work into co-operative councils continues, and that it is difficult to quantify savings as this is a value based approach and visioning exercise. Members would therefore be interested to hear of an example where a co-operative solution has resulted in savings in service delivery, and wish to express their concern that this is not an evidence based approach to financial security.

Members are interested in the likelihood of further slippage within the Capital Programme. They note that the Schools Programme remains at biggest risk of slippage, and are pleased to hear that Central Square is currently forecast to be delivered on time, subject to the decision making process facilitating progress.

Members particularly wish to highlight their concern that the Council cannot afford the potential commitment of £8-10million to secure a City Deal. They note dialogue continues with Welsh Government and therefore the business case is still in preparation. They endorse your view that *all* Cabinet decision making must take particular notice of financial resilience, particularly around capital. Members request that you bring a draft of any proposed Council support for the City Deal to Committee for pre-decision scrutiny.

To recap for ease of reference, this letter requests several actions and pieces of information, as follows, which require a response:

- Members suggest the Council asks its customers what services they need free of charge, and what they are prepared to pay for, with a view to increasing the Council's income from services.
- Members ask that you place on record that libraries will be protected in the 2016/17 budget round, as agreed at the 2015/16 budget meeting.
- Should there be a proposal to close Roath Library; Members ask that the proposal be presented to Full Council.
- In light of the ongoing work around Alternative Delivery Models, Members urge that you build in realistic timescales for budgeting purposes

- Members would be interested to hear of an example where a co-operative solution has resulted in financial savings in service delivery.
- Members request that you bring a draft of any proposed Council support for the City Deal to Committee for pre-decision scrutiny.

Once again, my sincere thanks for your continued support of the Policy Review and Performance Scrutiny Committee, I look forward to your response.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'Nigel Howells', with a stylized flourish at the end.

**COUNCILLOR NIGEL HOWELLS  
CHAIR, POLICY REVIEW AND PERFORMANCE SCRUTINY COMMITTEE**

cc Councillor Graham Hinchey, Cabinet Member, Corporate Services & Resources  
Paul Orders, Chief Executive  
Christine Salter, Corporate Director Resources  
Members of the Policy Review & Performance Scrutiny Committee

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Fy Nghyf / My Ref: CM31073

Eich Cyf / Your Ref:

Dyddiad / Date: 16th July 2015

Councillor Nigel Howells  
Chair of Policy Review & Performance Committee  
Cardiff County Council  
Atlantic Wharf  
Cardiff  
CF10 4UW

Annwyl / Dear Nigel

### Prap - Financial Resilience

Thank you for your letter in respect of the Financial Resilience item considered by the Policy Review and Performance Scrutiny Committee on 12 May 2015. As you know, I attended that meeting in the absence of the Cabinet Member for Corporate Services and Performance, but I am pleased to provide the following responses to the specific points set out in your letter:

**1. *Members suggest the Council asks its customers what services they need free of charge, and what they are prepared to pay for, with a view to increasing the Council's income from services.***

As part of the Budget Strategy 2016/17, which was agreed by the Cabinet on 16 July 2015, a fourth savings driver in respect of income generation has been introduced. This will encourage focus on the need to generate more income through the development of new income streams or enhancement of current arrangements. The current Ask Cardiff Survey 2015 also includes two questions that are relevant to this topic:

- Q10: Would you support the Council charging more for some services if it means that they could be continued?

Yes / No / Not sure. If 'yes', please state which service(s).

- Q11: Do you support the Council in the greater implementation of fines for non-compliance? e.g. littering, parking, failing to adhere to recycling rules etc.

Yes / No / Not sure.

Answers will be collated and used as evidence as part of the Cardiff Debate analysis.

**2. *Members ask that you place on record that libraries will be protected in the 2016/17 budget round, as agreed at the 2015/16 budget meeting.***

#### ATEBWCH I / PLEASE REPLY TO:

Swyddfa'r Arweinydd, Ystafell 525, Neuadd y Sir, Glanfa'r Iwerydd, Caerdydd CF10 4UW  
Ffôn (029) 2087 2500 Ffacs (029) 2087 2599

Office of the Leader, Room 525, County Hall, Atlantic Wharf, Cardiff CF10 4UW  
Tel (029) 2087 2500 Fax (029) 2087 2599



I can confirm that the budget decision in respect of libraries that was made by the Council on 26 February 2015 included the commitment to continue to fund branch library services until the end of the Council term unless and/or until alternative delivery arrangements are operational. This commitment remains in place and, as you will be aware, it was further reaffirmed as part of a related motion that was passed by the Council on 23 July 2015.

**3. *Should there be a proposal to close Roath Library; Members ask that the proposal be presented to Full Council.***

You will be aware that the Cabinet considered a report on library services in Roath/Adamsdown on 16 July 2015 and agreed that:

1. The condition of the Roath Library building means that alternative temporary provision needs to be delivered in the area and that paragraphs 23 to 27 of the report are implemented.
2. The existing building be advertised for Community Asset Transfer with the condition that a bid from an organisation will provide revised library services as per the Libraries Strategy. Acceptance of a preferred bid shall be undertaken by the Director of Economic Development in consultation with the Director of Communities, Housing & Customer Services.
3. Alternative permanent options should be explored to mitigate the risk that no Community Asset Transfer solution can be found.
4. In the event that no Community Asset Transfer solution is found, a future Cabinet Report be required for the long term library provision in the area.

**4. *In light of the ongoing work around Alternative Delivery Models, Members urge that you build in realistic timescales for budgeting purposes.***

As part of the process of determining potential budget savings, proposals are tested for achievability and planning preparedness. It is acknowledged that, as the Council's proposals become more complex, then planning and delivery timescales become even more crucial. In order to manage this increasing complexity, it is agreed that delivery timescales need to be robustly challenged.

The Comprehensive Spending Review (CSR) is due to be published on 25 November 2015 and is expected to set out how the UK Government will deliver the further £20 billion savings required to eliminate the UK budget deficit by 2019/20. In preparation for the CSR, the Chief Secretary to the Treasury has written to UK Government departments asking them to draw up plans to contribute to the required £20 billion in savings and to model two scenarios of 25% and 40% of savings within their resource budgets by 2019/20 in real terms. The CSR is expected to reaffirm the UK Government's commitment to invest in the NHS and national security, while protecting schools. Clearly, in order to protect these areas of spend, large savings will be required in other areas of government.

Both the magnitude of ongoing cuts and the timing of the CSR are causes for concern and can only be expected to delay confirmation of the block grant funding devolved to Wales and, therefore, the local government settlement for 2016/17. The publication of the CSR in late November 2015 will be several weeks after the usual date of publication of a provisional settlement for local government in Wales. Factoring in the time for the Welsh Government to interpret the CSR and to make its own decisions regarding the allocation of the block grant to public services in Wales, confirmation of the Council's financial settlement for 2016/17 might realistically be expected to be significantly later than usual.

These timeframes will clearly add to what is already an extremely challenging budgetary position. Work will proceed on taking forward the recently approved Budget

Strategy 2016/17 to ensure that preparedness for the Council's base case Medium Term Financial Plan is as robust as possible by late autumn 2015. This will also enable any flex that may be required in order to respond to confirmed funding allocations to be addressed within, what are likely to be, extremely challenging timescales.

**5. *Members would be interested to hear of an example where a co-operative solution has resulted in financial savings in service delivery.***

As was stated during the meeting, it is difficult to quantify savings from the investigatory work into Co-operative Councils as this is a value based approach. However, as a result of your interest in the matter, I will ensure that officers include this aspect in further discussions with such organisations. It is also important to point out that this approach does not always lead to financial savings. For example, the Cyd Cymru project is all about collective energy buying to secure a better deal for residents in terms of lower household energy bills. In addition, the Council's work with partner organisations on the proposed management of Flat Holm Island or the development of the new Welsh Language Cultural Centre in the Old Library are good examples of how existing assets can be maximised under new partnership arrangements, as well as potentially delivering cost savings.

**6. *Members request that you bring a draft of any proposed Council support for the City Deal to Committee for pre-decision scrutiny.***

The potential City Deal is at a very early feasibility stage, but I agree that it would be useful to engage with the relevant scrutiny committee(s) at appropriate stages in the development of this initiative.

I trust that this information is helpful to you and the rest of the Committee.

Yn gywir,  
Yours sincerely,



**CYNGHORYDD / COUNCILLOR PHIL BALE  
ARWEINYDD, CYNGOR DINAS CAERDYDD  
LEADER, THE CITY OF CARDIFF COUNCIL**





Ref: RDB/NH/BD/09.07.15

13<sup>th</sup> July 2015

Councillor Bob Derbyshire,  
Cabinet Member for the Environment,  
County Hall,  
Atlantic Wharf,  
Cardiff,  
CF10 4UW.



Dear Councillor Derbyshire,

**Joint meeting of the Policy Review & Performance and Environmental Scrutiny Committees – 9<sup>th</sup> July 2015**

On behalf of the Policy Review & Performance and Environmental Scrutiny Committee I would like to thank you, the other Cabinet Members and officers for attending the joint meeting of the two Committees on Thursday 9<sup>th</sup> July 2015. As you are aware the meeting considered:

- Pre decision scrutiny of the Cabinet report titled Infrastructure Services – Alternative Delivery Model prior to it being considered at the Cabinet meeting on Thursday 16<sup>th</sup> July;
- Cabinet response to the Joint scrutiny task group report titled Infrastructure Business Model & Alternative Delivery Options.

The comments and observations made by Members following these items are set out in this letter.

**Pre decision scrutiny of the Cabinet report titled Infrastructure Services – Alternative Delivery Model prior to it being considered at the Cabinet meeting on Thursday 16th July**

Members noted that important pieces of information were missing from Appendix 11 – Infrastructure Services Alternative Delivery Models: Outline Business Case – July 2015 which was published on Friday 3<sup>rd</sup> July 2015. In particular Appendix 3 of this document titled ‘Output from Corporate Evaluation Methodology’ was not provided. The Committee felt that this was

one of the most crucial parts of the whole Outline Business Case as it scored each of the fourteen services against the five alternative delivery models. Once provided it was very interesting to see that for the most part the outcome of the Corporate Evaluation Methodology was completely different to the recommendations in the Cabinet paper, i.e. to take the Wholly Owned Arms Length Company forward as the option for developing a Full Business Case. Members were somewhat confused that the outcome of the Corporate Evaluation Methodology and joint scrutiny report were very similar yet cast aside in favour of a Wholly Owned Arms Length Company. Members were advised that the Corporate Evaluation Methodology was one of three key elements of the Outline Business Case, therefore, I would be grateful if you could explain:

- How and why you were able to ignore the outcome of the Corporate Evaluation Methodology?
- Why it was omitted from the Appendix 11 – Infrastructure Services Alternative Delivery Models: Outline Business Case – July 2015 provided on the 3<sup>rd</sup> July 2015 and only made available following a request on Monday 6<sup>th</sup> July?
- At the meeting officers explained that changes were made late in the day to the scores of the Corporate Evaluation Methodology; this they were told was as a result of consultation with the trade unions. Please explain the changes and how they impacted on the eventual scores.

Members were concerned at some of the assumptions made originally in Appendix 4 – High Level Financial Analysis Assumptions and subsequently replaced as Appendix 3 – High Level Financial Analysis Assumptions when the Outline Business Case was reissued on Tuesday 7<sup>th</sup> July 2015. They note that after applying efficiency savings and net income generation assumptions the model illustrates that Public / Private Joint Venture was in first place, Public / Public Joint Venture in second and Teckal (Wholly Owned Arms Length Company) came in third. The assumptions in the overheads and support services sections conclude that many fixed corporate services costs cannot be removed from the Council, therefore, have to remain in

addition to any third party overheads associated in working with a Public / Public Joint Venture, Public / Private Joint Venture and Outsourcing. This in effect handicaps the three models by £6.644 million; £6.257 million and £3.818 million respectively. I would be grateful if you could provide the Committees with:

- A detailed list of the fixed corporate support costs which cannot be removed from the Council budget with an explanation supporting why these cannot be removed.
- Fixed building costs were cited as examples of fixed corporate costs which could not be removed from the Council budget. Members were confused at this assumption because only a few days earlier at the Policy Review & Performance Scrutiny Committee the Director for Economic Development explained that a paper on the future of County Hall would be made available in the autumn. I would be grateful if you could justify this assumption given that there is so much uncertainty over the future of the Council's accommodation and that the Council is in the middle of 'The Office Rationalisation Project'.

During the meeting a Member asked if incentivisation had been considered for the wholly owned arms length company and was informed that this would be explored during the development of the Full Business Case. Members hope that at least some thought has been given to this idea, and would be grateful if you could provide the Committees with some ideas which might be considered during the development of the Full Business Case. In addition to this they are curious to find out more around how the 'John Lewis' effect might absorb itself into a Wholly Owned Arms Length Company when 100% of the dividends would be returned to the Council and not the employees or 'partners' as is the case with John Lewis.

The Committee were concerned by the assumption in the financial model which suggested that the Teckal (Wholly Owned Arms Length Company) would benefit from the initial savings achieved by the Modified In House option, when Public / Public, Public / Private and Outsourcing would not.

Instead the three options were assumed to start from the c£73 million savings figure at the point where they were able to begin the service delivery (periods ranging from 9 to 24 months according to page 85 of the Outline Business Case). Members believe that the Modified In House savings should be an assumed constant for each of the five models until they reach the point at which the new alternative delivery option would take over, i.e. they would all start from different points of the Modified In House savings profile instead of from the c£73 million figure. A constant message to the task group was that irrespective of the alternative delivery model chosen a Modified In House option would need to be pursued right up to the point where the new model would take over. The financial model used by the Outline Business Case should follow this assumption and not work on the basis that no change would happen until the starting point of the new alternative delivery model. Maintaining the current assumption provides the Teckal option (Wholly Owned Arms Length Company) with an unfair advantage which impacts on the overall net present values for Public / Public, Public / Private and Outsourcing.

Members were concerned that the Service Improvement Plans were not available for consideration alongside the Outline Business Case despite them forming a large part of the basis of the £4.053 million in house savings for the period 2015/16 to 2017/18. The Committees were informed that the documents were not yet available as full consultation of the proposals had not been undertaken. As a consequence we are very concerned at the assumption that the savings will be achieved by both the In House model and the Wholly Owned Arms Length Company and do not believe that it should be included within the Outline Business Case as it lacks substance and detail. I would be grateful if you could confirm:

- When the Service Improvement Plans will be finalised and made available for the Members of the Environmental Scrutiny Committee and Policy Review & Performance Scrutiny Committee.
- The outstanding tasks required to complete the consultation on the Service Improvement Plans.

Page 11 of the Outline Business Case states that *'The financial projections in the OBC includes an allowance of £250,000 per annum for the costs of non-executive directors and other corporate governance costs such as the audit fee as well as the cost of the Managing and Business Development Directors'*. As this is a significant amount of annual expenditure I would be grateful if you could provide costed detail on how the assumption was calculated. For example, the amount allocated for non-executive directors, corporate governance costs and the Managing and Business Development Directors.

The email sent to you on Monday 6<sup>th</sup> July asked for a copy of Appendix 9 which was missing from the original Outline Business Case and titled as 'Project Risks'. If Members are to provide you with robust scrutiny feedback they will need to understand your judgements around risk and how these were reached, so could you please arrange for a copy of this to be provided as soon as possible.

Page 85 of the Outline Business Case states that the 'Implementation Time' for an Outsourcing option would be 12 to 18 months. This is contrary to the two year implementation period advised by Commissioning & Procurement to the joint scrutiny task group. Please provide a basis for the 12 to 18 month assumption and explain why it is different to the advice provided by Commissioning & Procurement in March 2015.

Members were confused as to how employee terms and conditions would be affected following the transfer to the new Wholly Owned Arms Length Company. At one point in the meeting it was explained that employee terms and conditions would not change, then at a later point this was contradicted with a suggestion that they could change. I would be grateful if you could provide Members with clarification regarding:

- The predicted changes to employee terms and conditions, i.e. would they change or stay the same?
- Clarification on how TUPE protection would be applied to employees transferring to the new Wholly Owned Arms Length Company.

- If the new structure would prevent multi tier employee terms and conditions being applied.

I would be grateful if you could provide the Committee with a detailed summary of all alternative delivery model consultation undertaken with the trade unions prior to the joint meeting on the 9<sup>th</sup> July. This should include what was discussed and any outcomes from meetings.

### **Cabinet response to the Joint scrutiny task group report titled Infrastructure Business Model & Alternative Delivery Options**

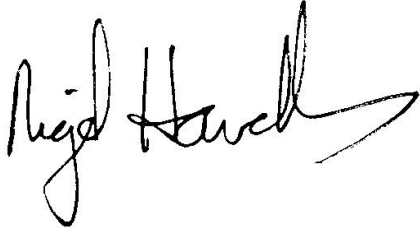
Members note that from the 27 recommendations two were rejected; 11 were accepted and 14 were partially accepted. The Committee acknowledge that you believe recommendations 12, 13, 14, 15, 16, 18, 20, 21 and 23 have been partially accepted, however, the Committee would like to respectfully disagree and suggest that these should have been rejected as in actual fact you are recommending the implementation of different models.

### **Conclusion**

Members fully understand the importance of correctly identifying the best possible alternative delivery model for providing infrastructure services in Cardiff. The outcome of this decision will shape how the Council will spend £73 million per annum and have a direct impact on every citizen in the city along with the countless number of commuters and visitors who come to Cardiff each year. As a consequence we believe that it is not possible to undertake proper scrutiny of the proposals until all of the requested information has been provided and Members are allowed time to properly digest the information. The Committee, therefore, asks that you delay taking a decision on the proposals due to be taken on the 16<sup>th</sup> July 2015 so that detailed scrutiny can be conducted on the complete proposals.

I would be grateful if you would consider the above comments and provide a response to the requests made in this letter.

Regards,

A handwritten signature in black ink, appearing to read 'Nigel Howells', with a long horizontal flourish extending to the right.

Councillor Nigel Howells  
Chairperson Policy Review & Performance Scrutiny Committee

Cc to:

Councillor Phil Bale, Leader of the City & County of Cardiff Council

Councillor Ramesh Patel, Cabinet Member for Transport, Planning & Sustainability

Councillor Graham Hinchey, Cabinet Member for Corporate Service & Performance

Paul Orders, Chief Executive

Andrew Gregory, Director of City Operations

Tara King, Assistant Director for the Environment

David Lowe, Waste Operations Manager

Christine Salter, Corporate Director Resources

Jane Forshaw, Director for the Environment

Marc Falconer, Operational Manager, Projects & Accountancy

Paul Keeping, Operational Manager, Scrutiny Services

Marie Rosenthal, Director for Governance & Legal Services

Neil Hanratty, Director for Economic Development

Ken Daniels, GMB

Angie Shiels, GMB

Robert Collins, UCATT

Martin Roberts, UCATT

Jayne Jackson, UNISON

Ian Titherington, UNISON

Jim Pates, UNITE

Thomas Watkins, UNITE



## **Infrastructure Services ADM Project**

### **Summary of Consultations with Unions Regarding Project**

#### **Introduction**

The purpose of this note is to summarise the consultations held with Unions regarding the Infrastructure Services Project between its inception and June 2015.

#### **Consultations at the Branch Secretary Level (General)**

Project Update to Trade Union Forum July 2014.

Consultations in lead up to Cabinet Meeting on 20<sup>th</sup> November 2014.

Consultation meetings with Unions on 19<sup>th</sup> September and 10<sup>th</sup> October regarding Service Reviews.

An ADM workshop was held on 24<sup>th</sup> October to discuss: Partnership Working; the In house model; the Neighbourhood Services project, and the Infrastructure Services Cabinet Report scheduled for the November Cabinet Meeting.

The Branch Secretaries were invited to the PIN Information Day on 8<sup>th</sup> December 2014.

A Project update was provided to the Partnership Board on Thursday 26<sup>th</sup> March. Further updates were provided on 18<sup>th</sup> June and 2<sup>nd</sup> July.

#### **Trade Union Engagement at Branch Secretary Level on ADM Evaluation Methodology**

A series of constructive meetings were held with the trade unions to ensure that they understood the ADM Evaluation Methodology and were provided with the opportunity to comment on the Models Scores and Weightings. The key dates are:

- Meetings to discuss and explain ADM Evaluation Methodology
  - 6<sup>th</sup> March (with GMB, Unison and UCATT), 16<sup>th</sup> March (Unite), 15<sup>th</sup> April and 11<sup>th</sup> May (½ day workshop)
  - Trade unions agreed at the 11<sup>th</sup> May workshop that they understood the alternative delivery model evaluation methodology, terminology and process
- 18<sup>th</sup> May - Meeting to explain the methodology and reasoning for the Models scores in detail. The trade unions were provided with the opportunity to score the Models.
- A series of meetings were held to discuss proposed Infrastructure Service Area weightings and reasoning.
  - 18<sup>th</sup> March and 25<sup>th</sup> March – weightings and reasoning presented to trade unions.

- 19<sup>th</sup> and 29<sup>th</sup> June – a series of meetings between trade unions, Directors and OMs to discuss proposed weighting for 14 services within scope. Over 50% of the weightings were amended to reflect these discussions.

**Consultations at the Directorate/Service Level**

Updates have been provided to local Union Representatives on a regular basis through the Directorate/Service Area quarterly/monthly SAJC and Union meetings.

Key to Changes	
Black	No Change
Green	Weighting Increased
Red	Weighting Decreased

Objective	How important is it that the chosen model for service delivery will allow the Council ...	Waste Education & Enforcement	Waste Collections	Street Cleansing	Waste Treatment & Disposal	Highway Operations	Highways Asset Management	Central Transport Services	Soft Facilities Management - Security	Soft Facilities Management - Cleaning	Hard Facilities Management	Parks Management & Development	PDD	Design, Contracts and Delivery	Pest Control
Reduced Operating Costs	to transfer risk in relation to cost reductions (Cost Security) [N.B. If you score this statement highly, the statement 'to retain influence and control over day to day decision making' should be scored low. As these statements are not mutually compatible]	15	15	15	10	10	10	5	10	15	20	20	0	10	5
	to exploit income generation opportunities	13	15	15	20	10	10	25	25	20	20	15	30	30	30
Improved Customer Satisfaction and Demand Management	to maintain influence and control over day to day decision making [N.B. If you score this statement highly, the statement 'to transfer risk in relation to to cost reductions' should be scored low. As these statements are not mutually compatible]	11	10	10	10	20	30	5	20	10	5	5	30	10	30
	flexibility to change service scope and delivery specifications in future years	15	10	10	15	15	20	10	10	10	10	15	20	5	15
Improved Outcomes and Performance	to transfer risk in relation to operational performance	10	5	5	5	10	5	10	5	5	5	5	0	0	5
	to transfer risk in respect of repaying financial investment (if required)	1	5	5	10	10	5	10	5	5	5	10	0	5	5
	to transfer risk in the delivery of service performance and improvements	10	15	15	10	10	10	15	5	15	15	15	20	20	10
Design & Delivery	to realise benefits within the short term	25	25	25	20	15	10	20	20	20	20	15	0	20	0
		100	100	100	100	100	100	100	100	100	100	100	100	100	100

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**SWYDDFA CYMORTH Y CABINET  
CABINET SUPPORT OFFICE**

Fy Nghyf / My Ref : CM31506  
Eich Cyf / Your Ref : RDB/NH/BD/09.07.15  
Dyddiad / Date: 16th July 2015



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CF10 4UW  
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Councillor Nigel Howells  
Chair Policy Review & Performance Scrutiny Committee  
Cardiff County Council  
Atlantic Wharf  
Cardiff  
CF10 4UW

Annwyl / Dear Nigel

**Scrutiny Joint Policy Review And Performance And Environmental Scrutiny  
Committee 9 July 2015**

I refer to your letter of 13 July 2015 which raised some queries in relation to the presentations made to the joint Policy Review & Performance and Environmental Scrutiny Committee meeting on 9 July and also the documents that had been shared with the Committees ahead of this meeting.

Firstly, please accept my apologies for the documents not being 100% complete at the time these were shared. At the time that the documents were first forwarded to the Scrutiny Office on 3 July, it was explained that some information still needed to be added to the Outline Business Case and both this and the Cabinet report were still being subjected to checking and QA processes. Hence, further amendments were likely before these were finalised. Updated versions of these documents were provided on 7 July and whilst the information previously absent was then included, some further amendments were made ahead of the documents being published on 10 July.

In terms of the specific queries raised in your letter, I would respond as follows:

**Corporate Alternative Delivery Model (ADM) Evaluation Methodology**

Please be assured that the output from the corporate evaluation methodology was not ignored. At a very early stage in the development of the new corporate ADM evaluation methodology, it was intended that the output from the model would be considered alongside a number of other criteria/factors when identifying the preferred future delivery model(s) for the services being considered. I understand that this was explained to the Policy Review & Performance Scrutiny Committee by officers from the Council's Commissioning and Procurement Service on 7 July.

Both the Outline Business Case and the Cabinet report explain that the ADM appraisal process on this project comprised the consideration of:

- the corporate evaluation methodology output;
- the high level financial analysis, and
- other key factors.

**PLEASE REPLY TO / ATEBWCH I :** Cabinet Support Office / Swyddfa Cymorth Y Cabinet,  
Room 2167, County Hall / Neuadd y Sir,  
Atlantic Wharf / Glanfa'r Iwerydd, Cardiff / Caerdydd,  
CF10 4UW



Consideration was also given to recommendations made by the Scrutiny Task and Finish, the work of which I have previously gratefully acknowledged.

As stated in the Outline Business Case and Cabinet report, and also explained at the meeting on 9 July, subject to the completion of the Full Business Case, I believe the most appropriate way forward for the Council is to establish a Wholly Owned Trading Company. There are a number of reasons for this. Firstly, the corporate evaluation model, which was piloted on this project, is largely based around the balance of risk and control. This methodology, in assessing appetite for risk and control, is therefore heavily influenced by how the current stakeholder views their current operating environment according to the resources, commercialisation, technology and governance in place at the time of the weighting assessments. However, I believe that the establishment of Wholly Owned Company with the injection of the commercial acumen and proper governance will enable the Council to achieve the required benefits and also maintain a high level of control whilst doing so. Secondly, the high level financial analysis indicates that the Wholly Owned Company will deliver most financial benefit to the Council which is clearly an important issue. Thirdly, other key factors from a Cabinet perspective include: the required speed of delivery of change, allowing more operating freedom for the company whilst retaining overall control, innovation, diversification and commercialisation, maintaining the support of key stakeholders and improved employee ownership and commitment.

As stated at this meeting, the model output was omitted from the documents shared with Scrutiny on 3 July as the weightings, following consultation with the Unions, had not at that time been finalised. The model output, however, was included in the Outline Business Case shared with Scrutiny on 7 July. A summary of the changes made as a result of the consultation process are attached to this letter.

### **Corporate Overheads**

You will be aware that a Public/Public and Public/Private JV company and also contractor would incur and charge both local and central overhead costs against the company which would have an impact upon the net saving benefits realised. It has been assumed that the local overhead charges (e.g. premises, senior management team, etc) would be transferred to the JV company/contractor. However, in terms of the central overhead, an analysis of the existing overhead charges to the services in scope was necessary to determine which were considered to be variable (and hence capable of being mitigated) and fixed (i.e. those that the Council would continue to bear). In summary, c.54% (c£1.5m p.a.) of the charges were considered variable and c46% were considered fixed. Support services were considered to see which activities currently recharged to the areas in scope would remain within the Council. For example where a proportion of activity relates to tasks that will remain with the Council regardless of the model chosen. Examples of this include corporate advice and compliance, corporate performance mechanisms and other monitoring responsibilities.

Therefore, as stated in Appendix 3 of the Outline Business Case, a reduction in overhead charge of £1.5m was assumed.

During the meeting, in response to a Scrutiny query about establishment overheads, Officers responded by saying that the overhead charges covered many factors other than property. When checking the assumptions made, I confirm that the financial modelling has already assumed that accommodation charges would effectively be transferred to a JV company or contractor.

A summary of the overhead charges, as extracted from Appendix 3 of the Outline Business Case, is shown below:

	Modified In-house		Wholly Owned Company		Public Public JV		Public Private JV		Outsource	
	Yrs 1 - 7	Yrs 1 - 12	Yrs 1 - 7	Yrs 1 - 12	Yrs 1 - 7	Yrs 1 - 12	Yrs 1 - 7	Yrs 1 - 12	Yrs 1 - 7	Yrs 1 - 12
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
<b>Model Costs</b>										
Overheads	0	0	0	0	12,912	22,775	11,768	21,620	10,201	19,181
Company related costs			1,577	2,827						
S-T : Model Costs	0	0	1,577	2,827	12,912	22,775	11,768	21,620	10,201	19,181
<b>Council Savings</b>										
Support Services					-8,450	-16,131	-7,681	-15,363	-7,681	-15,363

In respect of the above the table:

- 'Overheads' – this refers to the assumed cost of overhead for the different models. No additional overhead charge has been assumed for the Modified In-House and Wholly Owned Company models and, as stated in Appendix 3 of the Outline Business Case, a cost of 3.8% has been assumed for the JV models and 3.3% for the Outsource model
- 'Company related costs' - this corresponds to the £250,000 per year for the Wholly Owned Company model primarily for the employment of a Managing Director and Business Development Manager with the purpose of providing the required injection of commercial acumen. The remaining costs make an allowance for Non-Executive Director costs/expenses and other incidental governance aspects such as audit.
- 'Support Services Costs' – this refers to the reduction in existing Council overhead that would be possible if one of the joint venture models was established or the services were outsourced. As stated above, the reduction assumed per year based on the overhead analysis undertaken was £1.5m. It should not be noted that no reduction has been made for Modified In-house and Wholly Owned company models although in practice, overhead reductions for both these models would be achieved.

### **Incentivisation**

As explained at the meeting, possible alternatives for the incentivisation of staff need to be assessed and analysed. In particular, consideration will need to be given to how any incentivisation would impact on potential Equal Pay issues both within the Company and between the Company and the Council more generally. I am not in a position to share any thoughts with Scrutiny at this Outline Business Case stage but will be able to report more detail as the Full Business Case develops and would welcome further dialogue on these matters. In terms of reference to the 'John Lewis' effect, Officers recognise that staff would not be shareholders in a Wholly Owned Company. However, the reference was made in respect of the benefits of improving the motivation, engagement and commitment of staff that being part of a Wholly Owned Company would bring.

### **Model Saving Assumptions**

It is important to note and understand that the high level financial model is assumptions driven. The assumptions made are set out in Appendix 3 of the Outline Business Case. These were informed through the Soft Market Testing undertaken at the end of 2014 and research, and subject to challenge by Local Partnerships. In respect of the modified in house model, the saving assumptions are derived from the savings plans prepared by the Operational Managers for the 3 year MTFP period commencing in 2015/16. These are set out in Table 4 of the Outline Business Case. It was also assumed that these would form a significant part of the savings for the Wholly Owned Company model. In terms of the other models, similarly detailed saving proposals were not available, and in order to avoid double counting, it could not be assumed that the identified Modified In-house savings would be additional to the percentage efficiency savings assumed for the other models. It is believed that this was a fair way to evaluate the efficiency savings of the alternative models being considered and did not place the Wholly Owned Company with an unfair advantage.

### **Service Improvement Plans**

As explained at the meeting, it would have been appropriate to release details of proposed savings ahead of the required consultations being undertaken. However, it was important to include the high level detail under the headings identified within the Outline Business Case so that a 'flavour' of the types of savings envisaged could be shared. The alternative would have been to simply include a corresponding overall percentage saving in a similar manner to that provided for the other models.

It is intended to commence these consultations on all directorate and personnel savings as part of delivering a Final Business Case in the new calendar year. The Final Business case (FBC) process with the process would be consistent with best practice, be required for any model; and the consultation would develop in the next stages and will be regularly reviewed as part of existing applied strong Project Governance

### **Page 11 of the Outline Business Case**

The majority (c.£230,000) of the £250,000 Wholly Owned Trading Company Management Costs, also referenced in Appendix 3, relates to the employment of a Managing Director and Business Development Manager with the purpose of providing the required injection of commercial acumen. The remaining costs make an allowance for Non-Executive Director costs/expenses and other incidental governance aspects such as audit. As identified in both the Outline Business Case and Cabinet report, the Company governance proposals, and corresponding costs, will be fully developed as part of the Full Business Case. Such management costs are comparable to that for a Public/Public and Public/Private JV.

### **Appendix 9 of Outline Business Case**

The risk register which would have been included in Appendix 9 of the Outline Business Case forwarded to Scrutiny on 3 July was provided in Section 4 of the Outline Business Case forwarded on 7 July. It was also included at this location in the version published on 10 July. The risk register will continue to develop in the next stages and will be regularly reviewed as part of existing applied strong governance.



## **Page 85 of the Outline Business Case**

The 12 – 18 months' timescale was a typo picked up prior to the publication of the OBC on Friday 10 July. This was corrected to 18 – 24 months prior to publication of the final version.

### **Employee Terms and Conditions**

It is confirmed that employees transferring to a Wholly Owned Trading company would do so under TUPE on their contractual terms and conditions operational at the time of transfer. In order to comply with current legislative requirements and avoid the Council having challenges from an Equal Pay perspective, any changes to terms and conditions would need to be applied to all employees under its control. It is therefore not intended to make any changes to the terms and conditions of transferring employees which would be contrary to such legislative requirements. The Wholly Owned Company would also be subject to the Code of Practice on Workforce matters as it stands in Wales, and therefore any new recruits to the Wholly Owned Company would also have terms and conditions at the same level as those employees who have transferred, mitigating the risk of a two-tier workforce.

### **Union Consultations**

Consultation with the Unions commenced at the end of May 2014, shortly after Cabinet approved the Chief Executive's Organisation Development report, through the Trade Union Budget Forum. Consultations have been ongoing since this time and details of meetings are hereby attached as requested.

### **Cabinet Response to Task and Finish Report**

It is believed that recommendations 12, 13, 14, 15, 16, 18, 20, 21 and 23 were partly accepted on the basis that both the currently preferred models of the Cabinet and that of the Scrutiny Task and Finish Group involve transferring services to a different model from that currently operated. These recommendations were not completely accepted on the basis that Cabinets currently preferred model is different to that of the Scrutiny Task and Finish Group.

### **Conclusion**

I appreciate that a relatively small amount of information was shared with the Scrutiny Committee's at a relatively late stage. However, taking into account the information that has previously been shared to and from Scrutiny's , I believe that adequate Scrutiny has taken place at this stage in the project. I am very keen to progress and continue with your inputs which have been very helpful to date. As such I have asked officers to set out clearly timeframe gateways within the next stage (FBC) stakeholder plans, such that you may consider within your work forward plans for the year.

As previously advised, the project is adopting a gateway process and following the completion of the next critical stage, of the Full Business Case and Transition plan there will be a certain key point for a full pre- decision Scrutiny to take place on a final decision on the proposed way forward.

I trust this response is helpful. However, if you have any queries, please contact me.

Yn gwyir  
Yours sincerely



**Councillor / Y Cynghorydd Bob Derbyshire**  
**Cabinet Member for Environment**  
**Aelod Cabinet Dros Yr Amgylchedd**

**Enc:**

- Summary of Changes Made to Model Output
- Details of Trade Union meetings