

# Wales Audit Office Corporate Assessment Follow On Report – Statement of Action

## Progress Report November 2016

### RECOMMENDATION

*R1: The Council must ensure that it addresses the proposals for improvement as set out in this report to deliver improved outcomes within the next 12 months*

#### Ongoing Actions

Ref	Action	Timescale	Lead Officer	Progress
R1	Undertake a review of the Council's Organisational Development Programme (ODP)	Jun-16	Chief Executive	<p><b>Completed.</b> The review of the ODP was undertaken in April-May 2016. This work led to the re-shaping of the ODP for 2016-17, specifically some refining of the Commercialisation Programme and the introduction of the Performance &amp; Governance Programme. A report of this review was taken to the Policy Review and Performance Scrutiny Committee on 7th June and to Cabinet on 14th June.</p> <p>An independent review of the ODP will be undertaken in Spring 2017. This will be the three-year point for the programme and therefore a suitable time in which to assess its effectiveness and ensure any subsequent iteration of the ODP (or potential new programme) is fully fit to meet the challenges of the future.</p>

## PROPOSALS FOR IMPROVEMENT: Leadership & Management

*P1: Develop further engagement opportunities with staff and Members to consistently embed a constructive performance management culture across the organisation to help deliver improved outcomes.*

### Ongoing Actions

Ref	Action	Timescale	Lead Officer	Progress
P1	Development of a new programme for member communications and engagement	Jun-16 (original) May-17 (revised)	Chief Executive	Action Plan relating to outcomes from the Member Communication Survey – Let's Talk About It - developed by Democratic Services. Following on from this, weekly updates for Members are now being issued. Officers are currently exploring the possibility of using storify.com as an innovative way to create a newsletter.  The remainder of this work will be progressed through the Member Support and Induction programme ready for the next incoming Council.

### Completed Actions

Ref	Action	Timescale	Lead Officer	Progress
P1	Review and refresh of the Council's programme of staff engagement	Apr-16	Chief Executive	<b>Completed.</b> The staff engagement programme has been refreshed and is being implemented for 2016/17.

## PROPOSALS FOR IMPROVEMENT: Governance

*P2: Clarify the roles and responsibilities within the Council's decision making framework. In particular:*

- a. ensuring that meetings of the Informal Cabinet meetings are recorded appropriately;*
- b. ensuring that the title and roles of Assistants to Cabinet Members' are applied consistently ensuring that their limited roles and responsibilities do not cloud any accountabilities;*
- c. review the role and membership of Cabinet Advisory Groups to ensure that those members involved do not sit on any Scrutiny Committee responsible for scrutinising the same/similar issues; and*
- d. ensure that a decision is made on the issue about whether to delegate executive decision-making to individual Cabinet Members.*

### Completed Actions

Ref	Action	Timescale	Lead Officer	Progress
P2a	Key action points from informal meeting of the Cabinet will be recorded by the Cabinet Office	May-16	Monitoring Officer	<b>Completed.</b> Guidance Note provided by Interim Monitoring Officer to Cabinet Office on 25th April 2016. Also circulated to Cabinet Members for information on 4th May 2016.
P2b	Role description for Assistants to Cabinet Members will be included within the Council's Constitution and provided to all post-holders to assist in clarifying roles and responsibilities	Jul-16	Monitoring Officer	<b>Completed.</b> The Assistant to Cabinet Member role profile went to Constitution Committee on 21st September and they recommended it to full Council for approval. It was agreed as an amendment to the constitution on Thursday 20th October.
P2c	Terms of Reference for Cabinet Advisory Groups will be agreed	Jul-16	Monitoring Officer	<b>Completed.</b> Terms of Reference were agreed by Cabinet 19th May 2016.
P2d	Constitution Committee to undertake a further review of the volume and category of decisions taken by the Cabinet over the last 12 months and consider making provision within the Council's constitution for executive decision-making to be delegated to individual Cabinet Members	Sep-16	Monitoring Officer	A report on this went to Constitution Committee on 21st September, thus completing the review. It was agreed that this issue should be considered at the start of the next administration in May 2017.

*P3: Further strengthen the Council's scrutiny function by:*

- a. developing an approach to scrutinising cross cutting issues; and*
- b. ensuring that any vacancies on scrutiny committees are filled quickly.*

**Ongoing Actions**

Ref	Action	Timescale	Lead Officer	Progress
P3a	Review of Scrutiny to be undertaken with recommendations to be implemented from the start of the next political term	Dec-16 (original)  May-17 (full completion)	Monitoring Officer	<p>The Review of Scrutiny Project was formed as part of the Organisational Development Programme (ODP) in April 2016. Scrutiny Chairs were informally consulted in June 2016.</p> <p>After the approval of the project brief by the ODP Board in September 2016 a range of activity has taken place or is underway, including research that incorporates previous review activity and stakeholder engagement that has included the Council's Senior Management Team, Scrutiny Chairs and which will be open to all Members.</p> <p>The project is due to report its findings in Spring 2017, with the decision on the future structure of Scrutiny to be made at the start of the next Council term.</p>

## Completed Actions

Ref	Action	Timescale	Lead Officer	Progress
P3a	Implementation of the recommendations of the Improving Scrutiny Report	May-16	Monitoring Officer	<b>Completed.</b> Scrutiny Chairs considered a Project Progress Report at the Chairs' Liaison Forum on 6th June 2016. Chairs' 2015/16 self-evaluations conducted 15th – 25th May 2016. Dip Sample evaluation of five Scrutiny items from 2015/16 undertaken and completed by May 2016. Annual Member Survey issued on 19th May 2016. Recommendations of WAO corporate assessment considered during Committee work programming in July 2016. Quick Wins now implemented. Further improvement action plans transferred to Review of Scrutiny Project.
P3b	Appointments to vacancies on scrutiny committees to be considered as a standing item on all council meeting agendas	May-16	Monitoring Officer	<b>Completed.</b> Action in place.

P3b	Examine reasons why vacancies exist on scrutiny committees as part of the Annual Member Survey	May-16	Monitoring Officer	<p><b>Completed.</b> Annual Member Survey closed on 16th June 2016 to maximise number of respondents. 45 Members responded. Results have identified a range of Members' perceived challenges around participating in Scrutiny. On the basis of these perceptions, an options paper was prepared and discussed with Group Whips in May and June 2016, with Scrutiny chairs in June 2016, and with Democratic Services Committee in July 2016. Full Council in July decided to temporarily (to May 2017) reduce the number of Members sitting on Scrutiny Committees to 8 Members. As of 9th September, there were just 3 elected Member vacancies, and it is hoped that following the Plasnewydd by-election later in the month an additional Member can be found for Economy and Culture Scrutiny committee. A co-optee vacancy on Children and Young People Scrutiny Committee was filled via the usual Parent Governor election process, with the new co-optee attending her first committee on 27th September.</p>
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*P4: Ensure that all committee agendas, minutes and decision-logs are published in a timely manner on the Council's website, and increase the number of committees that are webcast.*

#### Ongoing Actions

Ref	Action	Timescale	Lead Officer	Progress
P4	Extend the webcasting of committee meetings to include one scrutiny meeting per month	Dec-16	Monitoring Officer	Scrutiny Chairs discussed at their Liaison Forum on 6th June 2016. Plans in place to achieve this commitment. A pilot committee to act as a dry run in November 2016. First live webcast scheduled to be Economy & Culture Scrutiny Committee on 8th December.

#### Completed Actions

Ref	Action	Timescale	Lead Officer	Progress
P4	All scrutiny committee agenda, minutes and decision logs to be published in a timely manner	Apr-16	Monitoring Officer	<b>Completed.</b> Continued monitoring of performance by Democratic Services on a quarterly basis in 2016/17.

*P5: Enhance Member accountability by:*

- a. ensuring that the Standards and Ethics Committee plays a more proactive role in promoting and enforcing the Cardiff Undertaking for Councillors and supporting policies in relation to Member conduct and behaviour; and*
- b. strengthening member development and learning programmes based on competency assessments to improve skills and understanding to enable them to undertake their roles more effectively; and*
- c. determining what training should be considered essential for Members to discharge their role effectively.*

**Ongoing Actions**

Ref	Action	Timescale	Lead Officer	Progress
P5b	Democratic Services Committee to review Member Development & Training and to agree new approach and programme to commence in May 2017	Dec-16	Monitoring Officer	Project Brief considered by Performance and Governance Programme Board, and discussed by OD Board in September. Democratic Services Committee considered the draft plan on 21st September 2016. An officer board has been established to do further work on this. Democratic Services Committee's task and finish group met in July to review Cardiff's 2015/16 Member Development Programme, and considered the results of the 2016 Member Survey relating to Member Development to make recommendations on Induction arrangements for 2017.
P5c	Democratic Services Committee to agree essential training and frequency of training prior to start of new council term in May 2017	Dec-16	Monitoring Officer	As above, Members of Democratic Services Committee's task and finish group have met to consider WLGA's recommended Induction programme, and will meet again in October 2016 to make recommendations on Cardiff's approach.



## Completed Actions

Ref	Action	Timescale	Lead Officer	Progress
P5a	Standards & Ethics Committee to publish biannual Member Briefings on the work of the Committee underlining the importance of the Cardiff Undertaking and member conduct and behaviour	Aug-16	Monitoring Officer	<b>Completed.</b> The first Member Briefing was issued on 26th August 2016, and further will follow.

## PROPOSALS FOR IMPROVEMENT: Performance Reporting

*P6: Further strengthen performance reporting arrangements to support decision making by:*

- a. including SMART performance measures within directorate delivery plans, and ensure that these are reported to Cabinet and scrutiny to demonstrate progress;*
- b. consistently using and reporting on a Red/Amber/Green rating for Corporate Plan commitment actions and Directorate Plan actions in quarterly reports provided to Scrutiny;*
- c. mandating consistent service level plans; and*
- d. prioritising key performance indicators (KPIs) where the Council will seek to demonstrate improved performance and outcomes.*

### Ongoing Actions

Ref	Action	Timescale	Lead Officer	Progress
P6c	Service planning framework to be developed focusing on providing a robust and proportionate approach to collating, analysing and using performance information data not captured within Directorate Delivery Plans	Oct-16 (original)  Mar/Apr-17 (revised)	Head of Performance & Partnerships	The Business Planning project within the Performance & Governance programme is developing an approach to planning that will incorporate service-level plans in 2017-18. This will follow on from a refreshed approach to Directorate Delivery Planning.
P6d	A Balanced Scorecard approach that focuses on those KPIs which best measure the Council's performance and outcomes will be developed and implemented consistently across the Council	Jun-16 (original)  April-17 (revised)	Head of Performance & Partnerships	An initial reporting model was taken to SMT for discussion in June and further developments have been made as a result of these discussions. Work is ongoing to develop and improve a model which gives an at-a-glance view of Council-wide indicators underpinned by a performance report that gives detail of Directorates' challenges, achievements and performance. This will build on the model used within Neighbourhoods Services; scorecards are being developed for other pilot areas with the aim of developing a whole-Council approach ahead of the new financial year.

## Completed Actions

Ref	Action	Timescale	Lead Officer	Progress
P6a	All Directorate Delivery Plans to include SMART objectives	Apr-16	Head of Performance & Partnerships	<b>Completed.</b> The Council's Corporate Performance Team worked with services' performance management leads to undertake a peer review of 2016-17 Directorate Delivery Plans to ensure the inclusion of SMART Objectives. Further work will also be undertaken in this area as part of the Business Planning project, which will develop the planning approach for 2017-18.
P6b	Guidance on how actions should be Red/Amber/Green rated to be communicated to Improvement community	May-16	Head of Performance & Partnerships	<b>Completed.</b> A consistent approach to RAG-rating activities set out in Directorate Delivery Plans has now been developed, building on the Council's existing Risk Management matrix. An automated approach has now been developed to RAG-rating Performance Indicator outturns, using formulae that automatically classify outturn results on the basis of corporately-set tolerance levels.

## PROPOSALS FOR IMPROVEMENT: Corporate Enablers

*P7: Adopt a more cohesive and co-ordinated approach to corporate enabler functions to better help the Council drive improvement.*

### Ongoing Action

Ref	Action	Timescale	Lead Officer	Progress
P7	Refreshed Performance Management Strategy to focus on role of Corporate Enablers and make recommendations for improvement	Sep-16 (original) May-17 (revised)	Head of Performance & Partnerships	A new Performance Management Strategy will be developed ready for launch in May 2017. The Strategy will give an overview of the Council's approach to managing service performance, with an emphasis on how this approach will maintain a focus on improving outcomes for our residents and service users and facilitate constructive use of performance information across a range of forums. The Strategy will incorporate the outputs from the three Performance Management projects within the ODP, as well as other work that has been taken forward by the Council's Performance Team and wider Performance Network. The Strategy will include a Framework element that will enable a range of colleagues to apply the principles of the Council's approach to Performance Management.

*P8: Further develop the Council's performance management arrangements by:*

- a. enhancing the Council's performance management strategy to include guidelines timescales, processes and procedures to support a consistent approach; and*
- b. increasing the level of performance management and challenge undertaken by the central performance team.*

**Ongoing Actions**

Ref	Action	Timescale	Lead Officer	Progress
P8a	Update the framework element of the Performance Management Strategy to reinforce these areas before further development of the overall strategy	May-16 (business as usual basis)  May 2017 (complete version)	Head of Performance & Partnerships	The Performance Management Framework for the Council is currently being developed. It will incorporate the outputs of the Performance Management projects within the ODP and other activity that is currently ongoing to continually develop and improve the ways in which the Council manages its performance. The Performance Management Framework will then underpin the Performance Management Strategy, enabling colleagues across the organisation to apply the principles of the latter document.
P8a	Review and refresh the Performance Management Strategy	Sep-16 (original)  May-17 (revised)	Head of Performance & Partnerships	A new Performance Management Strategy will be developed ready for launch in May 2017 as described above.
P8b	Improvement team to increase level of performance management and challenge	Mar-16 ongoing	Head of Performance & Partnerships	This work is being taken forward through the Performance Support and Improvement project within the Performance & Governance programme and the Performance Support Group (PSG). The PSG comprises senior representation from across the Council that, supported by the Corporate Performance Team, identify and investigate areas of challenging performance, highlight areas of strong performance and provide SMT and other senior audiences with assurance that operational performance issues are being managed in a consistent and effective way.

*P9: Further develop the Council's Human Resource processes and strategies by:*

- a. strengthening the Council's staff appraisal process by including explicitly measureable objectives, capturing information on training on a corporate basis, and developing links to staff's future career aspirations to support workforce and succession planning; and*
- b. further embedding the Council's workforce strategy and integrating this with financial and service planning.*

**Ongoing Actions**

Ref	Action	Timescale	Lead Officer	Progress
P9a	Deliver the Performance Management Project.	Mar-17	Chief HR Officer	Review of PPDR scheme - PPDR Focus Group discussions have been completed and the feedback has been collated in a report. The report has identified 6 themes on which to base our review of the current process: Delivery, Content, Time Management, Ratings, Technology, and Learning & Development. Based on the employee feedback and project board input, a draft version is currently being prepared for full consultation, feedback and discussion. In September we engaged with the project board, ambassador group, the academy, senior management forum and works council. During October we are revisiting the staff focus groups with the drafts so further consultation can be made. In November, the draft version of the new approach will be launched to the organisation through the Employee Roadshows and consultation will be undertaken with PRAP Members in December.

P9a	Delivering Learning & Development Project including: 1. City of Cardiff Council Academy Board to oversee priorities for workforce training corporately	Mar-17	Chief HR Officer	<p>Approval was given at the Academy Board meeting in April for the roll-out of the Cardiff Manager Programme to Grades 7 and below, and for the appointment of a Service Delivery Lead to focus on the co-ordination and delivery of quarterly Pitch Perfect events, and for the pilot of a Digibus proposal to take Essential Skills screening to 'hard-to-reach' workplaces. The Service Delivery Lead (Pitch Perfect) was appointed in July. The next Pitch Perfect Training Scheme will start in October and will culminate in a Final event in early December. The scheme is currently being promoted to various management teams across the Council. The winning 'Secret Garden' entry from the Pitch Perfect pilot is now receiving good support from the Parks management team and has generated almost £2k from plant sales.</p> <p>Academy Board meeting in July agreed to take forward pilot within Commercial Services focusing on Essential Skills assessment tool (WEST) and essential skills training for front line staff. Discussions to roll out NVQ qualifications for front-line staff in Commercial Services, City Operations, Communities and Social Care are being progressed. Funding is available via CAVC for the next 3 years. Work has progressed on the development of the Academy's training facilities at City Hall and it is anticipated that these will become fully operational in October 2016. The development has also enabled the successful relocation of the Social Care Training Unit (including Care First) to City Hall to complement the Office Rationalisation project.</p>
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P9a	Delivering Learning & Development Project including: 2. Cardiff Manager Programme extended to all managers Grade 7 and below	Mar-17	Chief HR Officer	Cardiff Manager Programme for Grades 7 and below started on 4th May 2016 and all courses to the end of July were fully subscribed. Courses from August 2016 to March 2017 were made available through DigiGov on 22/05/16. The Academy scheduled 56 CMP sessions from May – December 2016 and is running at close to 100% capacity. Feedback from participants is that they appreciate having the opportunity to attend this training and 84% have said that they would like to take the ILM L3 award. To increase capacity, the Academy has increased class size from 12 – 16 (except Finance sessions). Further sessions from December are currently being scheduled.
P9b	Deliver the Workforce Planning Project including: 1. Development of process for succession planning across the Council	Mar-18	Chief HR Officer	Initial research is underway which started in May 2016. Other aspects of the Workforce Planning project are taking this into consideration as a long term objective to ensure that there are seamless links and the succession planning process can develop from the workforce planning toolkit and data.
P9b	Deliver the Workforce Planning Project including: 2. Development of Workforce Planning guidelines and toolkit including a technology-based solution	Jan-17	Chief HR Officer	Research on toolkits taking place in order to ascertain best practice. Review of processes in Core Cities. Draft tool kit was produced during September for review by Directorate representatives. The toolkit will have a variety of tools to allow for workforce planning at a variety of levels of maturity and dependent on the requirements of the particular Directorate.



P9b	Deliver the Workforce Planning Project including: 3. Develop profile information for service area use in financial and service planning	Sep-16	Chief HR Officer	Review of information provided for 2016/17 taking place also liaison with Business Planning project to that there is a seamless link. Identification of additional profile information underway including an assessment of what can be delivered from current systems and what would be required in the future.
P9b	Deliver the Workforce Planning Project including: 4. Develop a strategy for the temporary, casual and agency workforce taking account of social inclusion and youth engagement	Mar-17	Chief HR Officer	Initial planning underway and discussions taking place with colleagues in other Directorates. Draft paper to be available in the Autumn for discussion at SMT. To include section on process for providing work placement opportunities within the Council to young people as well as those looking to re-enter employment.

### Completed Actions

Ref	Action	Timescale	Lead Officer	Progress
P9a	Deliver the Performance Management Project including: 1. Development of e-learning module on SMART objective setting	Mar-17	Chief HR Officer	<b>Completed.</b> The existing PPDR e-learning modules have been re-designed to include more detail on SMART objectives. It includes an explanation of SMART, process of developing a SMART objective, identification of SMART objectives and writing SMART objectives. E-learning module completed and available to support managers in setting objectives.
P9a	Deliver the Performance Management Project including: 2. Setting SMART objectives is to be a Corporate Objective for all managers 2016/17	Mar-17	Chief HR Officer	<b>Completed.</b>

*P10: Complete the data capture exercise relating to the use of assets and develop a single system to hold appropriate asset management information.*

**Ongoing Actions**

Ref	Action	Timescale	Lead Officer	Progress
P10	Submit detailed business case to Investment Review Board for final approval	May-16	Director Economic Development	Presentations received from leading 3rd party providers. Project scope broadened to include Design Construction Excellence Wales report and statutory compliance. Business Case for Asset Management Information software has been reviewed and aligned with H&S IT requirements, and will be presented to the Investment Review Board in November. It is anticipated procurement will be commenced at the end of the year.
P10	Subject to approval from Investment Review Board, implement the new Corporate Asset Management system	May-18	Director Economic Development	Progressing as per above.

*P11: Ensure all outstanding actions from the Construction Excellence Wales review of the Council's building maintenance framework are completed.*

**Ongoing Action**

Ref	Action	Timescale	Lead Officer	Progress
P11	Complete all outstanding actions from the Construction Excellence Wales (CEW) review of the Council's building maintenance framework	Mar-17	Corporate Director, Resources	<p>The Building Maintenance Performance board chaired by the Assistant Director of Communities oversees the actions that were recommended by CEW. The majority are now closed, however a couple are still in progress including the recommendation to create a community benefits board. Statutory Maintenance Programme Our main mechanical and electrical framework contractor (Kier) deliver a statutory maintenance programme on behalf of FM Building Services. There is now a yearly maintenance plan for all those buildings within Building Services control or signed into the SLA. A process for certifications received and repairs required is in place to ensure statutory compliance is achieved. A new software package to monitor and manage Statutory Obligations on all Council assets is being progressed in partnership with Caerphilly County Borough Council Health and Safety team, this will also provide an improved service to opted out schools to manage their obligations. Community Benefits A community benefits board is still in progress and will form a formal part of the next reiteration of the Framework. To date two apprentices (1 x mechanical and 1 x electrical) have been appointed through CAVC. A community project through our materials supplier Travis Perkins is being investigated.</p>

*P12: Further strengthen the Council's financial planning processes by:*

- a. developing more explicit links between the Medium Term Financial Plan and the Council's improvement planning arrangements;*
- b. strengthening links between the Medium Term Financial Plan and service plans;*
- c. ensuring that savings proposals owned by Directorates are linked to the Organisational Development Programme where relevant, are fully costed, and that delivery is driven by the Organisational Development Programme Board; and*
- d. ensuring all budget savings plans are fully developed as appropriate with realistic timescales when the annual budget is set.*

**Ongoing Actions**

Ref	Action	Timescale	Lead Officer	Progress
P12a	Develop more explicit links between the MTFP and improvement planning arrangements as part of the 2017/18 budget process	Dec-16	Corporate Director, Resources	Initial meeting held with Head of Performance and Partnerships (June 2016) in order to scope out the two-way interaction between the building up of the MTFP and the improvement planning arrangements. This in-principle agreement was followed up by respective officers during August. The shift in timetable referred to in 12d has provided greater opportunity to ensure the links between these processes are strengthened and enhanced during the course of 2016/17 in preparing for 2017/18 onwards. Work is currently being undertaken to identify and establish links with the Corporate Plan in respect of revenue and capital budgets. This will include the impact of recent legislation such as the Well-being of Future Generations Act.

P12b	Strengthen the link between the MTFP and service plans as part of the 2017/18 budget preparation work	Dec-16	Corporate Director, Resources	<p>High-level saving plans received for 2018/19 and detailed savings plans received for 2017/18. These plans have been reviewed for detail and achievability, and were discussed at joint SMT/ Cabinet Meeting on 18th July which resulted in further work needed to refine proposals or identify alternative ones. 2018/19 savings have been received from all directorates with diligence work taking place currently. Specific piece of work is being undertaken in partnership with Social Services Directorate in order to further refine the links between the service plan and the MTFP by identifying the range of cost /saving impact of each intervention. Continual review of MTFP ensuring cross reference to current and future service plans. Work currently being undertaken on the Half year position of the Corporate Risk Register. The results (Mid October) of which will be tested against the MTFP in October / November. SMT workshop was held in early October on Well-being and Future Generations Act (WFG) with the results of that being scoped out and then tested back to consider impact on service delivery plans. Directorate budget proposals are considered together in respect of WFG in order to maintain that strategic link and focus and these will be available by the end of November.</p>
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P12c	Review, as part of Budget Strategy, the opportunities to enhance linkages between savings proposals from Directorates and the Organisational Development Programme	Jul-16	Corporate Director, Resources	Monthly meetings continue to take place between the OD Operational Manager and the Service Accountancy Manager. Currently, links have been made to business cases that have been accepted for 2016/17 budget savings where OD are assisting in order for them to be achieved. These will be reported to OD programme to highlight the impact of change but will remain the individual directorate's responsibility for achievement against the accepted saving proposal. 2017/18 saving proposals have been shared with ODP to ensure that early sight enables early engagement with directorates in delivering budget proposals in a full and prompt manner. OD are fully engaged in thematic areas such as digitisation both in terms of identifying technology and suitable areas within the Council that could benefit.
P12d	Continue - and build upon - approach adopted for 2016/17 budget	Mar-17	Corporate Director, Resources	2017/18 Budget commenced with Directorates providing budget proposal savings by 13th May 2016. Budget Strategy approved by Cabinet on 14th July. The period between July and October has been a continuing review of suitability and diligence in respect of Directorate budget savings proposals. Regular updates have been shared at Directorate, SMT and Cabinet level. Provisional Settlement is 19th October, the results of which will be tested against the assumptions currently contained within the Budget Strategy. Public Consultation is earmarked for 11th November. The focus of the work currently is that savings proposals have detailed plans in place with risks to achievability understood and where possible mitigations being put in place.

*P13: Further strengthen the Council's IT arrangements by:*

- a. further developing the draft Digital ICT strategy and formally agreeing this strategic vision for delivering digitally enabled services;*
- b. deploying the Customer Relationship Management system fully to appropriate services across the Council;*
- c. implementing the mobile scheduling and flexible working technologies where appropriate; and*
- d. expanding the number and depth of ICT KPIs measured and reported, to cover the whole ICT service, and benchmark against public service comparators.*

**Ongoing Actions**

Ref	Action	Timescale	Lead Officer	Progress
P13b	Initiate project to deliver phase 2 of the CRM	Jun-16	Corporate Director, Resources	Due to technical issues roll-out of the CRM has not met its original timescales. The delivery partner for CRM – SAP – has escalated the Council's concerns to global level in order to seek a resolution to this issue, resulting in senior representatives from across SAP's worldwide structure working directly with the Council. A new timescale will be established once this work has been completed.

P13c	Roll out flexible working across the Council for those workers who would benefit from delivering their services in a range of locations	Dec-16	Corporate Director, Resources	<p>We currently have around 1,750 staff with remote access to the corporate network, many of whom work as home workers, work flexibly at home or work out of the office on an ad hoc basis. These staff traditionally use PCs, laptops or tablets to access council systems. We have 280 staff using customised mobile applications to work directly from site rather than visiting offices. This includes care workers and our community maintenance teams. In addition to this we have 1,500 users with remote access to email to allow them to access their messages from wherever they are. Further business cases being developed to underpin future phases of these various models of flexible working and since April over 400 social care staff have received laptops/tablets &amp; new smartphones to mobilise their working practices and allow them to work in a more flexible and efficient manner. To further support mobile working we have created 40 touchdown points across the city where staff can call in to charge their devices, access public Wi-Fi, use meeting rooms, have quiet places to work or just pick up print-outs.</p>
P13d	Review the ICT additional performance reporting requirements and establish a revised basket of KPIs	Mar-17	Corporate Director, Resources	<p>Working with SOCITM Wales and the Welsh Unitary authority ICT leads to discuss a common approach to KPIs across Wales but also with reference to wider SOCITM member KPIs within English authorities. Cardiff has led on the procurement of an all-Wales SOCITM benchmarking exercise which is benchmarking aspects such as digital maturity, IT maturity, IT performance and IT cost effectiveness and will use the outcomes of these benchmarks to inform potential future KPIs in addition to, or to replace existing KPIs. The benchmarking commissioned to review Local Authorities' digital maturity is now in the process of being procured by Welsh Government via SOCITM for wider use.</p>



## Completed Actions

Ref	Action	Timescale	Lead Officer	Progress
P13a	Digital Strategy 2016-21 to be considered by Cabinet	May-16	Corporate Director, Resources	<b>Completed.</b> Strategy approved by Cabinet on 19th May. The implementation of the Strategy is ongoing across the Council, both through the OD Programme and service activity.

*P14: Further strengthen the Council's information governance arrangements by:*

- a. completing the outstanding actions from the Information Commissioner's Office audit on data protection and information confidentiality;*
- b. increasing the level of staff completion of the Council's information confidentiality and data protection e-learning training programme;*
- c. fully implementing the Electronic Records Management System across the Council;*
- d. improving the Council's response rates against statutory targets in respect of data protection subject access requests and Freedom of Information Act requests; and*
- e. completing a Caldicott principles into practice self-assessment.*

**Ongoing Actions**

Ref	Action	Timescale	Lead Officer	Progress
P14a	Continue to implement the Action Plan following most recent audit by the Information Commissioner's Office	Mar-17	Corporate Director, Resources	<b>Building Security:</b> A review of County Hall security was undertaken by the Corporate Security Manager. This included promoting a proactive security culture through the wearing of security identification as well as control of visitors, contractors and members of the public who visit the building. Good progress has been made, for examples segregating pedestrian access areas as part of the car park revisions, upgrading the car park lighting to LED in the first three bays, installing new software (Kalamazoo reader) to monitor visitors to County Hall and establishing revisions to the hours staff use the side entrance. A review of CCTV coverage and ID access cards has also been completed and a project plan has been developed. Subsequent actions will be completed in Spring 2017.

				<p><b>ICT Security Officer training to be reviewed by OM IT Services:</b> ICT forensic investigation training completed by ICT Security &amp; Investigations Officer.</p> <p><b>Starters, Leavers &amp; Movers (SLAM) process to be revised:</b> This process is under continual review – further recommendations being brought to senior management team for consideration in October which will recommend more prescriptive account suspension and deletion timescales.</p>
P14c	Rollout EDRMS to remaining users (circa 4,000)	Apr-17	Corporate Director, Resources	Additional resource recruited to accelerate rollout. On-boarding process re-worked to facilitate increased uptake. Further service areas (13) in the take-up process.
P14d	Seek approval to bring all SARs and FOI requests within the corporate responsibility of the Improvement and Information Team	Sep-16	Corporate Director, Resources	Improved compliance within the Children's Services area is significant and has proved that a centralised process is more effective. Further discussion needed in order to deliver the Adult Services work. The work to understand the impact on performance and compliance to deliver the service for Communities will take place in August 2016. The options paper is currently in 'draft' and will be reviewed September 2016 prior to discussion with the Director of Communities and Housing, and the Director of Resources (SIRO) at the end of October.

## Completed Actions

Ref	Action	Timescale	Lead Officer	Progress
P14b	Implement new Information Governance e-learning training programme	May-16	Corporate Director, Resources	<b>Completed.</b> E-learning package finalised and translated. Release due in October 2016 (w/c 17/10/16 for SMT, w/c 24/10/16 for all staff) and closure date of end of December 2016. Work is ongoing with HRPS to ensure that the starters and leavers process is more efficient which will enable improved roll out.
P14e	Undertake a review of existing information governance monitoring arrangements to provide assurance that they appropriately reflect Caldicott principles	Mar-17	Corporate Director, Resources	<b>Completed.</b> The NHS CIP assessment questions have been completed (May 2016) by the Corporate Information Governance Team and the Director of Social Services. Assessment and Action Plan completed and shared with the Information Security Board on 2nd September 2016. NB// The full NHS assessment process is currently not available for use. Further enquiries are underway with NWIS.