

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

Progress Report July 2017

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

Ref	Action	Timescale	Lead Officer	Progress
R1	Undertake a review of the Council's Organisational Development Programme (ODP)	Jun-16	Chief Executive	<p>Completed. A 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 & Governance Programme. A report of this review was taken to the Policy Review and Performance (PRAP) Scrutiny Committee and to Cabinet in June 2016.</p> <p>An independent review of the ODP was undertaken in April 2017 as the ODP reached the end of its 3-year programme. The findings and recommendations of this review are being used to inform the development of a new change programme, which will be considered by Cabinet in October 2017.</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.

Ref	Action	Timescale	Lead Officer	Progress
P1	Review and refresh of the Council's programme of staff engagement	Apr-16	Chief Executive	<p>Completed. The staff engagement programme was reviewed and refreshed in Q1 2016-17 with an enhanced programme implemented in 2016-17. The results of the Council's Staff Survey show a notable increase between 2015 and 2017 of respondents who agree that 'communication/staff engagement has improved over the last 12 months.'</p> <p>Staff engagement activity in 2017-18 is based on an action plan that has been developed to build on this progress.</p>
P1	Development of a new programme for member communications and engagement	<p>Jun-16 (original)</p> <p>May-17 (revised)</p>	Chief Executive	<p>Completed. Member communication and engagement was reviewed and refreshed following the Member Communication Survey, entitled 'Let's Talk About It', and an action plan was developed on the basis of the survey results.</p> <p>Changes made include the issuing of weekly updates for Members including details of committee meetings, member training sessions and other events. An online platform to deliver regular policy updates is also being piloted.</p>

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.*

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	Completed. A guidance note was provided by the Interim Monitoring Officer to the Cabinet Office in April 2016. This was also circulated to Cabinet Members for information in May 2016. Actions are captured by Cabinet Support Officers from all informal Cabinet meetings (now known as Cabinet briefings).
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	Completed. Following approval by the Constitution Committee the Assistant to Cabinet Member role description was agreed as an amendment to the constitution by Full Council on Thursday 20th October 2016. Cabinet appointed 4 new Assistants to Cabinet Members (Cabinet Assistants) in June 2017 and the role profiles have been provided to all post-holders.

Ref	Action	Timescale	Lead Officer	Progress
P2c	Terms of Reference for Cabinet Advisory Groups will be agreed	Jul-16	Monitoring Officer	Completed. The Terms of Reference for Cabinet Advisory Groups were agreed by Cabinet on 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	<p>Completed. A report on the volume and category of decisions taken by Cabinet was considered by Constitution Committee on 21st September, thus completing the review.</p> <p>It was agreed that this issue should be considered at the start of the next administration in May 2017. As such, delegation of executive decision-making has been discussed with Cabinet Members as part of their Induction. Further comparative analysis has been requested before they consider asking Constitution Committee to look at putting this in place.</p>

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.*

Ref	Action	Timescale	Lead Officer	Progress
P3a	Implementation of the recommendations of the Improving Scrutiny Report	May-16	Monitoring Officer	Completed. Remaining outstanding actions from the Improving Scrutiny Report were incorporated into the Review of Scrutiny project (see below).

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>Completed. The Review of Scrutiny Project was formed as part of the ODP in April 2016 and has included the following range of activity:</p> <ul style="list-style-type: none"> • A self-evaluation exercise by scrutiny chairs • A dip sample of five scrutiny items • Stakeholder engagement • Annual Member Survey • Members' Seminar <p>A report setting out the outcomes from the review was considered by Constitution Committee on 2 March 2017. The Committee made recommendations to be considered by the next Council after the election in May on the future structure of Scrutiny within the Council.</p> <p>The review was considered by Annual Council on 25 May 2017. Two of the recommendations were accepted (to increase committee numbers back to nine, and to encourage non-Executive Members to participate in scrutiny). The recommendation to reduce the number of committees from five to four was deferred for 12 months.</p> <p>A closure report was completed for this project in May 2017.</p>
P3b	Appointments to vacancies on scrutiny committees to be considered as a standing item on all council meeting agendas	May-16	Monitoring Officer	Completed.

Ref	Action	Timescale	Lead Officer	Progress
P3b	Examine reasons why vacancies exist on scrutiny committees as part of the Annual Member Survey	May-16	Monitoring Officer	<p>Completed. Results from the Annual Member Survey identified a range of challenges perceived by Members about participating in scrutiny. An options paper was subsequently prepared and discussed with associated Members and officers during June and July 2016.</p> <p>Full Council decided temporarily (until May 2017) to reduce the number of Members sitting on Scrutiny Committees to 8. By September 2016, there were 3 elected Member vacancies.</p> <p>On 25 May 2017 Council increased the number of Committee Members back to 9.</p>

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.

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	Completed. Continued monitoring of performance by Democratic Services is being undertaken on a quarterly basis.
P4	Extend the webcasting of committee meetings to include one scrutiny meeting per month	Dec-16	Monitoring Officer	Completed. Webcasts now include one Scrutiny committee meeting each month; the first live webcast was the Economy & Culture Scrutiny Committee in December 2016.

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.*

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	Completed. The first Member Briefing was issued in August 2016. A programme of further Member Briefings are scheduled for the new Council, beginning in September.

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 (original) Mar-17 (revised)	Monitoring Officer	<p>Completed. The Council's 2015-16 Member Development Programme was reviewed by the Democratic Services Committee's task and finish group in July 2016.</p> <p>A proposed Member Induction Programme to be implemented from May 2017 was considered by Democratic Services Committee and discussed by SMT in December 2016. A questionnaire to all members seeking feedback on issues including induction and training questions was then carried out in early 2017, and the results used to inform the final Member Induction Programme which was approved in principle by Democratic Services Committee on 1 March 2017.</p> <p>A member training needs analysis will be undertaken in September to inform an ongoing member training programme.</p> <p>All political groups have also been asked to put forward nominations to attend the WLGA Leadership Programme for elected members.</p>

Ref	Action	Timescale	Lead Officer	Progress
P5c	Democratic Services Committee to agree essential training and frequency of training prior to start of new council term in May 2017	Dec-16 (original) Mar-17 (revised)	Monitoring Officer	<p>Completed. The finalised Induction Programme was approved in principle by Democratic Services Committee on 1 March 2017. This included Essential training.</p> <p>Constitution Committee recommended to full Council that training relating to topics with legal implications should become obligatory and that this should be reflected in the Cardiff Undertaking and terms of reference of committees.</p> <p>Full Council in March 2017 agreed to amend the Cardiff Undertaking to set out agreement from each individual member that they will carry out essential training and to amend the Terms of Reference of quasi-judicial Committees in the Council's Constitution to make clear that members of the Committees must have attended the relevant training.</p> <p>A programme of essential training has taken place in the first 12 weeks of the new Council, including:</p> <ul style="list-style-type: none"> - Code of Conduct - Information Governance - Equalities - Local Government Finance - Council procedural rules - Regulatory specific committee training

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.*

Ref	Action	Timescale	Lead Officer	Progress
P6a	All Directorate Delivery Plans to include SMART objectives	Apr-16	Head of Performance & Partnerships	<p>Completed. All Directorate Delivery Plans now include SMART objectives.</p> <p>The Council's Corporate Performance Team worked with Directorates' performance management leads to undertake a peer review of 2016-17 Directorate Delivery Plans to ensure the inclusion of SMART objectives. This process was further refined through the Business Planning project for the 2017-18 Directorate Delivery Planning process.</p>
P6b	Guidance on how actions should be Red/Amber/Green rated to be communicated to Improvement community	May-16	Head of Performance & Partnerships	<p>Completed. A consistent approach to RAG-rating activities set out in Directorate Delivery Plans has now been developed and implemented, building on the Council's existing Risk Management matrix.</p> <p>An automated approach has been developed to RAG-rating the outturns for numerical performance indicators, using formulae that automatically classify outturn results on the basis of corporately-set tolerance levels.</p>

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	<p>Completed. A framework has been put in place.</p> <p>The key features of this are:</p> <ul style="list-style-type: none"> - All service areas (specifically those that report into a Director) have created a Service Plan to show their priorities, objectives and activity for 2017/18 and how they will measure and show progress towards delivery - The information in the plans is at service level and shows how the service contributes to the achievement of the relevant Directorate Delivery Plan - The content of the plans reflects what is important to the service and what it must deliver and achieve - Services have some flexibility over the exact format they adopted to enhance usability, provided certain principles are adhered to. However, best practice examples were provided and widely followed - This information gives a clear and structured set of information at service level <p>This framework is designed to:</p> <ul style="list-style-type: none"> - Enable early warning and enable early intervention - Provide a service-level perspective of corporate issues - Support analysis of service level issues through ensuring consistency of the style, structure, and content`

Ref	Action	Timescale	Lead Officer	Progress
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	Completed. Performance is now reported at corporate, directorate and service levels using a balanced scorecard approach, utilising focused sets of Performance Indicators.

DRAFT

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.

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	<p>Completed. The Performance Management Strategy (PMS) has been refreshed and is being communicated to key stakeholders (e.g. Cabinet member, Performance Support Group (PSG), SMT). The refreshed PMS will add value by:</p> <ul style="list-style-type: none"> - Improving corporate enablers by ensuring the Council's practices, processes and requirements support effective service delivery and improvement across the Council. - Improving the consistency and clarity between corporate enablers by ensuring the approaches of enabling functions (e.g. HR, finance, and performance management) are consistent with each other and are communicated to staff in a way that clearly sets out how they can and should fit together into a coherent framework. <p>Additionally, the Performance Support Group has now been established and this provides the key mechanism for bringing together senior representatives from the Council's enabling and front-facing services to ensure the most effective use of the Council's resources and the continued emphasis on service and performance improvement.</p>

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.*

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	Completed. The Performance Management Strategy and Framework have been refreshed, with guidelines provided to ensure a consistent approach. The Performance Management Framework sets out the key elements that will allow anyone in the organisation to understand how their role relates to the overall Performance Management Strategy, and will give them the tools they need to manage service performance effectively.
P8a	Review and refresh the Performance Management Strategy	Sep-16 (original) May-17 (revised)	Head of Performance & Partnerships	Completed. The Performance Management Strategy has been reviewed and refreshed, and a roll-out is currently underway. The Performance Management Strategy is the overarching statement of the way Performance Management is approached within the Council and how this approach will support the Council to achieve its priorities.
P8b	Improvement team to increase level of performance management and challenge	Mar-16 ongoing	Head of Performance & Partnerships	Completed. The Performance Support Group (PSG) was established in early 2016-17 in direct response to the recommendations in the Follow On Report. The PSG brings together senior representatives from the Council's key enabling functions and front-facing services to ensure the most effective use of the Council's resources and the continued emphasis on service and performance improvement. The Corporate Performance Team links into the PSG by undertaking analysis of performance data to

				inform the group's agenda, and supports the ongoing work to follow up performance issues.
--	--	--	--	---

DRAFT

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

- a. strengthening the Council's staff appraisal process by including explicitly measurable 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.*

Ref	Action	Timescale	Lead Officer	Progress
P9a	Deliver the Performance Management Project.	Mar-17	Chief HR Officer	<p>Completed. The Personal Performance & Development Review (PPDR) scheme was reviewed in Quarter 1 2016. An inclusive approach was taken, with a series of engagement events held with staff from across the Council leading to a series of recommendations for change. The draft template and principles were subsequently considered by Cabinet, Senior Management Team and the Trade Unions.</p> <p>The new PPDR process has been applied across the Council from 1st April 2017, with HR systems updated and training modules, guides and a promotional campaign produced to support the change.</p>
P9a	Deliver the Performance Management Project including: <ul style="list-style-type: none"> 1. Development of e-learning module on SMART objective setting 	Mar-17	Chief HR Officer	<p>Completed. An E-learning module has been developed and is available to support managers in setting SMART objectives. The existing PPDR e-learning modules have also been re-designed to include more detail on SMART objectives.</p>

Ref	Action	Timescale	Lead Officer	Progress
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	Completed.
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	Completed. The Academy Board, which meets quarterly, is now responsible for overseeing priorities for workforce training corporately.
P9a	Delivering Learning & Development Project including: 2. Cardiff Manager Programme extended to all managers Grade 7 and below	Mar-17	Chief HR Officer	Completed. The Cardiff Manager Programme was extended to all managers Grade 7 and below from 4th May 2016. The programme is scheduled for completion on 31 March 2018, with a target of 338 managers at Grade 7 or below completing the training. As of July 2017, 209 have completed or are participating on CMP. Reminder messages will be sent to the Managers of those who have not yet signed up so that this can be raised during the Half Year Review Process.
P9b	Deliver the Workforce Planning Project including: 1. Development of process for succession planning across the Council	Mar-18	Chief HR Officer	Ongoing. A succession planning process is under development, and will advance from the Workforce Planning toolkit which is also being developed (see below).

Ref	Action	Timescale	Lead Officer	Progress
P9b	Deliver the Workforce Planning Project including: 2. Development of Workforce Planning guidelines and toolkit including a technology-based solution	Jan-17 (original) Mar-18 (to deliver technology-based solution)	Chief HR Officer	<p>Ongoing. A review of best practice was undertaken and a draft toolkit was produced in September 2016. Following feedback from Directorates' representatives, the toolkit was consulted on with SMT and the trade unions during January 2017. It was agreed that 3 service areas will pilot the toolkit for the 2017/18 business planning process, commencing in May 2017. Following the pilots the toolkit will be refined as necessary with full roll-out taking place in 18/19.</p> <p>The technology-based solution has been delayed for 12 months to ensure that it meets the requirements demonstrated by the pilot process.</p>

Ref	Action	Timescale	Lead Officer	Progress
P9b	<p>Deliver the Workforce Planning Project including:</p> <p>3. Develop profile information for service area use in financial and service planning</p>	<p>Sep-16 (original)</p> <p>Feb-17 (revised)</p>	Chief HR Officer	<p>Ongoing. Review of information provided for 2016/17 is underway, including the identification of additional profile information and an assessment of what can be delivered from current systems and what would be required in the future. This work is being undertaken in liaison with Business Planning project to strengthen the link between workforce planning and service planning.</p> <p>Profile information will be available for the 2017/18 business planning process by way of a dashboard approach and details will be provided to Directorates of how relevant information can be retrieved from HR systems for future years.</p>
P9b	<p>Deliver the Workforce Planning Project including:</p> <p>4. Develop a strategy for the temporary, casual and agency workforce taking account of social inclusion and youth engagement</p>	Mar-17	Chief HR Officer	<p>Ongoing. The Council has strengthened its commitment to providing opportunities for social inclusion and youth engagement.</p> <ul style="list-style-type: none"> - 20% of all new recruits into Council roles in the last 12 months have been in the age bracket 16-24. - Approx. 60 14-16 year olds are on a junior apprenticeship with Cardiff & Vale College which has been set up in conjunction with the Council's Education department, and the Council will be looking to provide work experience opportunities to a number of these young people.

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

Ref	Action	Timescale	Lead Officer	Progress
P10	Submit detailed business case to Investment Review Board for final approval	May-16 (original) Sep-17	Director Economic Development	<p>Ongoing. The Real Estate IT outline business case was submitted to Investment Review Board (IRB) in November 2016. IRB approved work to determine a detailed requirements specification in preparation for tender in 2017. A review of Council property management in early 2017 broadened the scope of the project and aligned Real Estate IT with Facilities Management IT requirements within the new Corporate Landlord Programme.</p> <p>The Real Estate IT software project is now progressing within the Corporate Landlord programme as part of the Asset Management Principles stream. A full business case is being drafted, including the requirements of FM, and is currently planned to be presented to Investment Review Board in September 2017.</p>
P10	Subject to approval from Investment Review Board, implement the new Corporate Asset Management system	May-18	Director Economic Development	<p>Ongoing. This will be completed in line with the actions above.</p>

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

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	Ongoing. The Building Maintenance Performance board chaired by the Assistant Director of Communities oversees the actions that were recommended by CEW. The two outstanding actions from in February 2016 (when the Follow On Report was issued), relating to the Council's Statutory Maintenance Programme and the creation of a Council-wide Community Benefits Board, have been completed.

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

- a. developing more explicit links between the Medium Term Financial Plan (MTFP) 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.*

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	<p>Ongoing. Stronger links were made between the MTFP and the Council's Corporate Plan and directorate service plans over the course of 2016/17. The two-way interaction between the development of the MTFP and improvement planning arrangements was scoped out during meetings between senior managers. Work was undertaken to identify and establish links with the Corporate Plan in respect of both revenue and capital budgets including the impact of recent legislation such as the Well-being of Future Generations Act.</p> <p>In June 2017 the Council's Cabinet approved 'Capital Ambition,' a policy programme for the new Administration. Work is currently underway to translate these policy ambitions into costed and deliverable SMART objectives, as the basis for a new Corporate Plan, with clear links to the Council's budget strategy and change programme.</p>

Ref	Action	Timescale	Lead Officer	Progress
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>Ongoing. As above, enhanced links were put in place between the MTFP and service plans as part of the 2017/18 budget preparation.</p> <p>Furthermore, continual review of the MTFP ensures cross-reference to current and future service plans:</p> <ul style="list-style-type: none"> • The half-year position of the Corporate Risk Register was considered by both the Cabinet and Audit Committee, and the results were tested against the MTFP. • A workshop for SMT was held in early October 2016 on the Well-being of Future Generations Act – the results of that were scoped out and then tested back to consider the impact on service delivery plans. • Directorate budget proposals for 2017-18 which were submitted for consultation have been preliminarily considered together in respect of the Well-being Act and will be continually reviewed at points in time to maintain that strategic link and focus. <p>In addition a specific piece of work was undertaken in partnership with the Social Services Directorate in order to further refine the links between their service plan and the MTFP by identifying the range of cost/ saving impact of each intervention.</p>

Ref	Action	Timescale	Lead Officer	Progress
P12c	Review, as part of Budget Strategy, the opportunities to enhance linkages between savings proposals from Directorates and the Organisational Development Programme	Jul-16 (original) May-17 (revised)	Corporate Director, Resources	Ongoing. Any business cases put forward for budget savings in 2016-17 were already supported by the OD team. These were then recorded within the ODP to highlight the impact of the change, but it remained the individual directorate's responsibility to achieve the agreed savings.

DRAFT

Ref	Action	Timescale	Lead Officer	Progress
P12d	Continue - and build upon - approach adopted for 2016/17 budget	Mar-17	Corporate Director, Resources	<p>Ongoing. The 2017-18 budget process commenced in May 2016 with directorates providing detailed savings plans.</p> <p>Saving proposals were shared with the OD team to ensure that early sight enabled early engagement with Directorates in delivering budget proposals in a full and prompt manner.</p> <p>The plans were reviewed regularly for detail and achievability, and were discussed at a joint SMT/Cabinet Meeting in July 2016, resulting in further work to either refine proposals or identify alternative ones.</p> <p>The Budget Strategy 2017-18 was then approved by Cabinet in July 2016. Between July and October 2016 directorate budget savings proposals for 2017-18 were continually reviewed for both suitability and diligence. Regular updates were shared at Directorate, SMT and Cabinet level.</p> <p>The Provisional Settlement was received as anticipated on 19th October 2016 and the Budget Strategy was then revised accordingly with the new set of assumptions. The report containing draft budget proposals for 2017-18 for consultation was then considered and approved by Cabinet on 10th November 2016. Public consultation commenced the following day, and received over 2500 responses.</p>

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.*

Ref	Action	Timescale	Lead Officer	Progress
P13a	Digital Strategy 2016-21 to be considered by Cabinet	May-16	Corporate Director, Resources	<p>Completed. A Digital Strategy was approved by Cabinet on 19th May 2016. The implementation of the Strategy is ongoing across the Council, both through the OD Programme and service activity.</p> <p>The Council has recently engaged Capgemini to identify future opportunities for digitisation, beginning with a two-day workshop for 60 senior managers (including SMT) in September 2017.</p>
P13b	Initiate project to deliver phase 2 of the CRM	<p>Jun-16 (original)</p> <p>Apr-17 (revised)</p>	Corporate Director, Resources	<p>Ongoing. Due to technical issues roll-out of the CRM has not met its original timescales. The supplier 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. In response SAP are currently developing a proposal that will set out an implementation plan. A meeting is scheduled for August 2017 to discuss and seek to agree a way forward.</p>

Ref	Action	Timescale	Lead Officer	Progress
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>Ongoing. Around 1,750 staff currently have 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. 280 staff use customised mobile applications to work directly from site rather than visiting offices. This includes care workers and community maintenance teams. In addition to this 2,100 users have remote access to email to allow them to access their messages from wherever they are.</p> <p>In 2016/17 over 700 social care staff have received laptops/ tablets & new smartphones to mobilise their working practices and allow them to work in a more flexible and efficient manner. To further support mobile working 40 touchdown points have been created 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> <p>The Council now encourages any service buying new or replacement equipment to actively consider buying equipment suitable for use in a mobile/ agile manner with an emphasis on buying laptop and tablets rather than the traditional desktop devices. The mobile and flexible working models have been made 'business as usual'.</p> <p>Further business cases are now being developed to underpin future phases of these various models of flexible working.</p>

Ref	Action	Timescale	Lead Officer	Progress
P13d	Review the ICT additional performance reporting requirements and establish a revised basket of KPIs	Mar-17	Corporate Director, Resources	<p>Completed. Work is underway 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.</p> <p>Cardiff led on the procurement of an all-Wales SOCITM benchmarking exercise which benchmarked aspects such as digital maturity, IT maturity, IT performance and IT cost effectiveness and has used the outcomes of these benchmarks to inform potential future KPIs. As a result of this review Cardiff ICT now publish KPIs for the following:</p> <ul style="list-style-type: none"> • Reliability of the top 10 core applications • Customer satisfaction with the ICT service • Availability of desktop services • Availability of corporate Multi-Function Devices (print/scan/copiers) • Core network and telephony availability • Percentage of devices in use that support mobility and agile working. <p>The all-Wales digital benchmarking commissioned by Welsh Government to review Welsh Local Authorities' digital maturity has also been procured from SOCITM. Cardiff completed their benchmarking interview on the 6th Jan 2017 and the resulting Welsh Government report has been published this month (11th April 2017).</p>

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.*

Ref	Action	Timescale	Lead Officer	Progress
P14a	Continue to implement the Action Plan following most recent audit by the Information Commissioner's Office	May 2018 (Revised)	Corporate Director, Resources	<p>Ongoing. The Information Commissioner's Office action plan is being implemented. The following three actions are completed:</p> <p>1. Building Security: Action C27 is the action related to undertaking a risk assessment of security at County Hall has been completed within the timescale. This was supplemented by a further review of County Hall 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.</p>

Ref	Action	Timescale	Lead Officer	Progress
				<p>2. ICT Security Officer training to be reviewed by OM IT Services: This was reviewed and ICT forensic investigation training was completed by the ICT Security & Investigations Officer as a result.</p> <p>3. Removal media risk assessment and mitigation: This action has been closed as it is considered that the Council has in place effective risk mitigation through the use of enforced encryption.</p>

DRAFT

Ref	Action	Timescale	Lead Officer	Progress
				<p>Two actions remain ongoing in relation to the Action Plan established as a result of the Consensual Audit by the Information Commissioner's Office.</p> <p>1. Starters, Leavers & Movers (SLAM) process is being revised: Two of the actions in the Action Plan (C28 & C39) have been merged as the action required to deal with the recommendations is related to SLAM.</p> <p>Work is almost complete on joining the datasets between our three key personnel systems to ensure the process of dealing with starters and leavers is more efficiently managed. This process will remove any ambiguity of leavers' details between these systems allowing more timely disabling and deletion of accounts. This integration will ensure data in all three systems is then updated in sync. This improved data integration will allow speedier set-up of users and also more timely removal. A report was presented to SMT in July 2017 to obtain their agreement on more timely removal of email and system accounts of staff leaving the organisation. Meetings are also taking place to understand how we can more quickly setup accounts for staff joining at short notice such as agency workers.</p>

Ref	Action	Timescale	Lead Officer	Progress
				<p>Protective Marking</p> <p>A number of changes have been made as part of the requirements of classification of marking documents since the Information Commissioners' audit of the Council. During this time the Council has investigated options and software providers which could be implemented.</p> <p>ICT/IM and EA are considering the ability of protective marking as part of the implementation of Office 365. These discussions are ongoing and options will be presented to the SIRO.</p> <p>It is however important to note that the Council is also reviewing the requirements of the General Data Protection Regulation and E-Privacy Directive which is due to be introduced as this is likely to impact on any marking schemes to be adopted. The Council will therefore continue to investigate options and consider these in line with legislative changes before making and final recommendations for adopting any marking schemes.</p>

Ref	Action	Timescale	Lead Officer	Progress
P14b	Implement new Information Governance e-learning training programme	May-16	Corporate Director, Resources	<p>Completed. The e-learning package has been delivered, with 73% of staff having completed the training in 2016.</p> <p>Work is ongoing with HR to ensure that the starters and leavers process is more efficient which will enable improved roll out.</p>
P14c	Rollout EDRMS to remaining users (circa 4,000)	Apr-17	Corporate Director, Resources	<p>Ongoing. All staff now have access to SharePoint and can access documents within it. However, a current evaluation of implementation progress has shown that whilst take-up of SharePoint has improved (currently 22 live sites and 27 in development), a further 89 sites are yet to be deployed.</p> <p>To accelerate deployment a training officer post has been approved and will be advertised in July 2017.</p> <p>In June 2017 SMT considered progress against the original timeline and agreed further support and engagement to ensure achievement of a revised implementation plan. Consequentially, the Investment Review Board approved the creation of 4 new posts to drive implementation across the Council, subject to a new implementation plan being drawn up, based on prioritisation of need and highlighting potential efficiency savings. This plan will be submitted to IRB in October 2017.</p>

Ref	Action	Timescale	Lead Officer	Progress
P14d	Seek approval to bring all SARs and FOI requests within the corporate responsibility of the Improvement and Information Team	Sep-16 (original) September 2017 (delivery)	Corporate Director, Resources	Completed. Approval has been given to bring all SARs and FOI requests within the corporate responsibility of the Improvement Governance Team. The recruitment phase has concluded for the additional posts budgeted for in order to transfer work from Social Services and awaiting new appointees to start work. This is scheduled to be in Quarter 2 2017-18.
P14e	Undertake a review of existing information governance monitoring arrangements to provide assurance that they appropriately reflect Caldicott principles	Mar-17	Corporate Director, Resources	Completed. The NHS CPIP assessment questions were completed in May 2016 by the Corporate Information Governance Team and the Director of Social Services. The Assessment and Action Plan was completed and shared with the Information Security Board in September. Please note the full NHS assessment process is currently not available for use; further enquiries are underway with NWIS.