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Agenda

Overview and Scrutiny Management Committee

Date: Thursday, 15 November 2018

Time: 10.00 am

Venue: Committee Room 1 - Civic Centre

To: Councillors J Guy (Chair), M Al-Nuaimi, G Berry, C Evans, M Evans, C Ferris, L Lacey, M Spencer and K Thomas

Contact: Daniel Cooke, Scrutiny Adviser
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Date of Issue: Thursday, 8 November 2018

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Agenda

Pwyllgor Rheoli Trosolwg a Chraffu

Dyddiad: Dydd Iau, 15 Tachwedd 2018

Amser: 10 y.b.

Lleoliad: Ystafell Bwyllgora 1 - Canolfan Ddinesig

Y Cynghorwyr: J Guy (Cadeirydd), M Al-Nuaimi, C Evans, M Evans, C Ferris, J Hughes, L Lacey, M Spencer and K Thomas

Eitem

Rhan 1

1.   Agenda yn Gymraeg

2.   Ymddiheuriadau am Absenoldeb

   Y Cynghorydd L Lacey

3.   Datganiadau o Fuddiant

4.   Cofnodion y Cyfarfod a 20 Medi 2018

5.   Adolygiad o Ymgysylltu â'r cyhoedd

6.   Adroddiad Blynyddol ar Risgiau Gwybodaeth 2017/18

7.   Casgliadau Adroddiadau Pwyllgor
   Yn dilyn cwblhau adroddiadau'r Pwyllgor, gofynnir i'r Pwyllgor
   ffurfioli ei gasgliadau, argymhellion a sylwadau ar eitemau blaenorol
   ar gyfer gweithredu.

8.   Adroddiad Cynghorydd Craffu

   a) Diweddariad o'r Flaenraglen Waith **- Atodiad 1**

   b) Taflen Gweithredu **- Atodiad 2**

   c) Adroddiadau Gwybodaeth

   d) Llythyrau Craffu – **Atodiad 3**

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Minutes

Overview and Scrutiny Management Committee

Date:	20 September 2018
Time:	10.00 am
Present:	Councillors M Al-Nuaimi, G Berry, C Evans, M Evans, C Ferris, L Lacey and M Spencer
In Attendance:	Daniel Cooke (Scrutiny Adviser), Leigh Jones (Governance Officer), James Harris (Strategic Director - People), Sally Ann Jenkins (Head of Children & Young Peoples Services), Jenny Jenkins (Service Manager Adult & Community Services), Jonathan Keen (Regulatory Services Manager Environment and Community), Eleanor Mulligan (Democracy and Communications Manager) and Liz Blayney (Scrutiny and Governance Manager)
Apologies:	Councillors J Guy and K Thomas

1   Election of a Chairperson

Apologies were received from the Committee Chairperson, Councillor John Guy. The Committee were advised that in the absence of the Chairperson, the Committee would need to nominate and vote another member of the Committee to act as Chair for this meeting. The Committee nominated Cllr Miqdad Al-Nuaimi to Chair the meeting, which was agreed unanimously by the Committee.

2   Declarations of Interest

None

3   Minutes of the Meeting held on 26 July 2018

The minutes of the meeting held on 26 July 2018 were confirmed as a true record, subject to the following amendment:

- **Item 2, 'Minutes of the Meeting held on 21 June 2018'**:
  The Committee commented that the request for details of the legality of the blanket ban on begging that had been implemented by towns such as Swindon and Kettering, had not been recorded in the minutes, and had been requested at both the June and July meetings.

4   Wales Audit Office - 'Overview and Scrutiny - Fit For The Future?' Report

Attendees;
- Alison Rees – WAO - Performance Auditor
- Non Jenkins – WAO - Local Government Regional Manager (South East Wales Region)
- Elizabeth Blayney – Scrutiny and Governance Manager

- Eleanor Mulligan – Democracy and Communications Manager

The representatives from the WAO introduced the Overview and Scrutiny – FFTF Report at Appendix 1 and outlined the key findings of the report and the six proposals for improvement being suggested for Newport City Council's Scrutiny arrangements.

The Democracy and Communications Manager outlined the Management Response to the WAO proposals for improvement, at Appendix 2. It was advised that what was being recommended had already been reflected within the Scrutiny Annual Report, within the Actions for this year, which had been considered and approved by the Committee at its last meeting.

The Committees questions and related responses are outlined below;

- The Committee enquired whether examples of good practice of public consultation could be provided to the Council by the WAO, particularly relating to how the Committees could engage with the public more effectively and how to identify who to invite to meetings and encourage public involvement in the process. Members were advised that as the review was conducted nationally, examples of good practice could be shared with Councils at a later date. There was a network meeting in November to share examples of good practice where this could be incorporated. The WAO representative agreed to look at obtaining specific examples and distributing them to Local Authorities. The WAO continued to state that they were challenging all Local Authorities to go into the Community to hold scrutiny meetings to make it easier for the public engage.

- The Committee discussed the recommendations and comments within the report relating to the engagement with the Executive. The Committee agreed with the comments within the report noting the Scrutiny tended to direct questioning to the Officers rather than the Executive. The Committee agreed that this needed to be addressed by all Committee's and believed it would require a 'culture change' in order for some of the recommendations to be effectively implemented.

- The Committee discussed communication between Cabinet and Scrutiny, noting that the Cabinet forward work programme was more dynamic than the Scrutiny Work Programme which had made it difficult to align the work programmes in the past. The Committee agreed that further work was required to align the work programmes, in order to develop an effective working relationship between Scrutiny and the Cabinet. The Democracy and Communication Manager explained that the department had recently undergone a restructure and this had impacted on the time it took to implement changes. Democracy and Communication Service areas had been merged under department, and other changes included the creation of a separate Cabinet Office with a dedicated Office Manager who would manage the Cabinet Work programme.

- The Committee noted the importance of improving the consultation for the annual budget, in particular noted the Committee's previous recommendations that the budget saving proposals be provided for public consultation earlier to allow for more time for the public. It was also noted that Cabinet does not have a standard item on its agenda to receive comments and recommendations from Scrutiny. The Democracy and Communication Manager explained that had been a delay in developing a consistent approach to the communication between Scrutiny and Cabinet due to the restructure

outlined previously. It was explained that a process of Scrutiny Letters had been agreed with the Chairs and was being developed, which would see recommendations from the Committees send to Cabinet formally in a letter signed by the Chair. This would be published on the Scrutiny webpages, along with the response received. How the Cabinet would receive these letters was still being determined and agreed.

- One Councillor expressed the view that he had found Scrutiny Reports easy to understand and that he thought Scrutiny function was performing effectively. It was also noted that Committee Members had to take responsibility by preparing and working together to improve, and by highlighting an issues as soon as they arise. It was also commented that there had been major changes to Scrutiny in the last 3 to 4 years and that those changes had been for the better, although there was always scope to develop and improve.

- Members asked the WAO how Newport Scrutiny Committees compared with other Authorities. Members were told that although this was a fair question, however it was difficult to answer as every authority worked and operated differently within environments, making direct comparisons difficult. Key themes prevalent in some or all Authorities could be shared.

- Members commented that they had limited time to read agendas prior to the meeting, as they were published and circulated 1 week before the meeting. The Democracy and Communications Manager noted that papers were published as soon as they were available, and that the 1 week was in line with statutory obligations.

- The Committee discussed training needs and how this would be different for each individual Member. The Members queried if it would be worth looking at having a training pack with example reports and an explanation on best practice scrutiny questions. The Scrutiny and Governance Manager stated that the team would be more than happy to provide a briefing if that was needed. The Scrutiny and Governance Manager informed the Committee that a feedback questionnaire would be distributed to Committee Members in the coming months and ideas would be welcomed to support and develop the Scrutiny Members. Members were reminded that if there were areas that training was needed, that this could be raised with the Scrutiny Team at any point and would be provided.

- The Committee suggested that the Cabinet Members could receive a briefing on the WAO report and on the Scrutiny process and their role when they attend Scrutiny. The Committee also requested that a timeframe for answering any queries, comments and recommendations e.g. 10 days. The Committee have had instances where a question was not addressed for 4 or 5 months. The Scrutiny and Governance Manager informed the Committee that the department were looking at how Scrutiny recommendations are reported to Cabinet so that everyone can be clear on how to get an answer and feedback.

- Members commented there had been the lack of meaningful comparisons with other Local Authorities on Performance Indicators. Members were informed by the WAO representatives that specific comparisons can be made and that the Council was doing a lot to compare its performance to others, but that a better way to challenge the

performance was to ask why you needed that information rather than look at one detail and question why you are looking at something.

- The Committee commented that in the past there had been a conference organised by WAO were all Local Authorities gathered to discuss scrutiny and shared best practices. The Committee requested that this might be arranged again. The Democracy and Communication Manager advised that the instance referred to had been organised by Newport and would require significant resource to arrange which were. There had been support previously for similar events from the Centre for Public Scrutiny (CfPS) and Welsh Local Government Association (WLGA) which was no longer available due to funding.

- An issue was raised regarding an overspend of £400,000 regarding a Traveller site that had been mentioned at Cabinet agenda, it was questioned that this had not been considered by Scrutiny. The Scrutiny Adviser told the Committee that this would be referred to the appropriate Scrutiny Committee to consider.

The Chair thanked the officers for attending.

Recommendations

The Committee made the following comments and recommendations;

- The Members identified a £400,000 overspend, relating to Norse overspending on a Traveller site, which will be referred to the Performance Scrutiny Committee – Place and Corporate for consideration as part of its consideration of the performance and budget monitoring of the service area.

- A request was made that the Democracy and Communication Manager establish ways of improving communication between Cabinet and Scrutiny, and feed back to the Committee.

- The Democracy and Communication Manager at methods of holding the Executive to account and improving existing functions. The Committee believed that a culture change is needed for this to succeed.

- The Democracy and Communications Manager to look at potential ways of synchronising the Scrutiny and Cabinet work programme.

- The Scrutiny and Governance Manager to devise a training resource for Scrutiny Members based on 'test cases'.

- The Democracy and Communication Manager to develop training Scrutiny specific for Cabinet.

- The Head of People and Business Change to improve ways of providing Scrutiny with comparative data from previous years and other Local Authorities to facilitate better scrutiny.

5   **Pillgwelly Public Spaces Protection Order (PSPO) - Implementation Monitoring**

Attendees;
- Jonathan Keen – Regulatory Services Manager Environment and Community
- Inspector Jason Williams – Gwent Police
- Tracey Holyoake – Pillgwenlly Ward Councillor

The Regulatory Services Manager presented the report to the Committee and outlined that the report was an update on progress with the implementation of the PSPO in Pillgwenlly that the Committee had requested at its previous meeting where it was considered. The report contained information on the Orders restrictions, their implementation and figures on Fixed Penalty Notices (FPN) use and the challenges to enforcement. The Officer advised the Committee on the key points;

- The Officer highlighted Section three of the report, with regards to dispersing people congregating in groups of three or more. The Officer explained that the majority of groups were dispersed without the need to issue a FPN. The Officer outlined that this reflected the impact of the PSPO as members of the public when asked to not drink alcohol, or hand over alcohol containers, have usually done so without the need to issue a FPN.

- Eight FPN have been issued, seven for refusal to stop drinking and one for non-dispersal.

- There had been challenges in the first year and this was covered in section five, the most prevalent was groups not dispersing. Some groups dispersed for short periods and then regrouped. The Police Officers were not sure how long the group needed to disperse for and advice had been sought from Council lawyers as to how to proceed at these times. The legal advice had been that the Police needed to demonstrate it had been reasonable if a FPN was issued following a group reforming. For example, the Police needed to be clear when asking the group to disperse in the first instance the length of time they were required not to reform. If the group then reformed within this time, they would serve a FPN. It was anticipated that this clarification would give the Police further confidence to issue a FPN where appropriate and necessary.

- There have been no calls from the Community Safety Wardens to add or remove any restrictions. The Manager believed that the restrictions were clearly worded properly now and could be used more where appropriate and necessary.

The Inspector introduced himself to the Committee. He informed the Members that the Police reviewed the PSPO. Members were advised that the PSPO was an excellent tool, and in particular for dealing with groups of young people. Whilst it was acknowledged that the numbers of FPNs issued were low, the Officer were utilising the PSPO process to get people to disperse without issuing an FPN. He added that there had been some frustration with when to issue Fixed Penalty Notice, but we had dealt with that with the advice from the Council lawyers. The Inspector stated that the Police wanted the PSPO to carry on maybe with some changes. The Committee were also advised that similar restrictions had been used in Maesglas, as it covered anti-social behaviour i.e. the distribution of drugs or drinking alcohol in public.

Councillor Tracey Holyoake introduced herself to the Committee and explained that whilst living in the ward she had seen the positive impact of the PSPO on the community. The Councillor continued to say that this was done by not just issuing FPNs, but just asking

people to move along. The streets were a lot quieter, although there were other issues emerging. The Councillor noted that the PSPO was an important tool for the Police to make sure that Pill becomes the area residents wanted it to be, and it had been invaluable. There were still issues within the Ward with anti-social behaviour; however the PSPO had made a positive difference.

Members asked the following:

- Members discussed police presence and involvement within Wards, with some noting that there did not appear to be regular presence in their ward. Members were advised that there was a core number of five Officers in Pill, and the force had been lucky to bolster that again by doubling up the number for the short term, and if it was warranted to make permanent. Gwent Police will continue to put Officers in post and build relationships with people in Communities. It was advised that stability was often an issue, with opportunities within other wards for Officers to apply for promotions.

- A Member requested to know how many FPNs were paid and what were the consequences for not paying. The Officer advised that seven FPNs had been issued for drinking alcohol; four had been paid, with three not being paid. One had been issued for antisocial behaviour and refusing to disperse. Of those that had not been paid, none had been taken to court.

- Councillor Holyoake advised the Committee that the dispersion Order was being used effectively in specific areas. Some of those who congregate and were dispersed might go to other areas, including the City Centre. The Police were also aware of this, however but overall the antisocial behaviour in Pill had reduced and the communities had seen an improvement. The Inspector reiterated that the PSPO did work when used in conjunction other tools the PSPO assisted their other powers, and made it easier to address the issues of antisocial behaviour.

- The Committee asked why those not paying FPN were not taken to court for non-payment of fines which would send a positive message to the offenders. Members were advised that work was taking place to gather the correct information needed to take non payers to court. Cllr Holyoake also informed the Committee that there was also work taking place with housing associations to issue warnings to tenants for antisocial behaviour.

- The Inspector advised that Councillor Holyoake had been having ongoing discussions with the Chief Constable outlining plans for short term action to address sex workers. Antisocial Behaviour Orders would allow the Police to highlight an individual being caught with a sex worker; this would go on their record so if they were caught elsewhere other Police authorities would know their history of similar offences. This means that were then caught in outside the Newport area then they would get prosecuted. It was also advised that work was taking place with South East Wales Racial Equality Council and other agencies to help safeguard those being abused and try to remove them from the situation.

- Members advised that the fly tipping problem had improved. The Inspector praised Councillor Holyoake and Council team for helping clean the area.

- Members commended the work of the local ward Councillor, and the collaborative working with Police and Officers to try and improve the area. It was then asked if this positive work was being replicated and a similar approach being taken within other Police forces. Members were advised that at the moment Newport was seeking advice from other Police forces. The Regulatory Services Manager advised the Committee that Barnsley Council had visited to find out more about Newport's PSPO.

- Clarification was sought regarding about the information provided by the Council lawyer on page 19 of the agenda, paragraph 5. Members were advised that only the local authority could prosecute for a breach of the PSPO.

- The Committee enquired as to how the Council could have the PSPO for longer than 3 years. The Inspector advised that 3 years is the maximum length of time set out in UK legislation. It was the Council's decision when to review the PSPO and decide if it wished to renew the Order.

- Members requested that the Committee receive a record of all instances of warnings and fines that have been issued.

Recommendations

The Committee noted the update on the implementation of the PSPO and noted the progress being made in this area.

The Committee requested that a further report be included on the Committees work programme for a years' time, and that this report includes information on all instances of Police Officers and Council employees using the Order's restrictions to be recorded.

6   **Draft Director of Social Services Annual Report 2017/18**

Attendees
- James Harris – Strategic Director – People
- Sally Anne Jenkins – Head of Children and Young People
- Jenny Jenkins - Service Manager

The Strategic Director – People introduced the report to the Committee, and advised the format of the report followed the Welsh Government recommendations. The Committee were directed that there the intention had been to make the report straightforward, manageable and readable. The final word from the Strategic Director was that the report was currently draft and based on the Committee's comments and recommendations the draft would be updated prior to it being sent to Cabinet and Council.

Members discussed the following:

- The Members commended the Officer on how easy and accessible the report was to read. It was noted that on page 31 – 33 there were number of statistics, but no information for comparison purposes. The Committee recommended including previous year's figures and other local authorities achievements for comparison. Members also made comment that there had been a reliance on surveys.

- Members discussed the Social Services Rota visits which were made to children and adult homes. The Committee enquired if Members carried out enough visits and what added value they provided. The Officer explained that visits were undertaken once a month, and it was designed to take feedback from the staff and residents and view the facilities to check if the building were fit for purpose. The visits from the Members have provided value and feedback, which was fed back to the homes and actions were taken where appropriate.

- Members were pleased with the manager of Oaklands being recognised in the report and said it was a good example of community working. Members then queried the South East Wales Fostering Service, and asked if there was a danger of children are placed outside their local community. The example was given of a child being placed in Blaenau Gwent, which could make family contact challenging. The Committee also sought reassurance that children placed by private firms would have had the same quality of care and monitoring as they would with the Council. The Members were informed that fostering population was aging, so recruitment of new foster carers needed to be undertaken. Each region had looked at what they could contribute together and what worked for each Local Authority. There was a willingness to work together and how to share resources to improve the quality of services across the five authorities. The Council manage family contact with the children in our care, and families will be supported to maintain contact. Members were also told that there is no difference whatsoever in the support offered in public sector and private sector agencies and all children have the same access.

- The Committee requested that more information on the transition from Children to Adults Services be included in the final report. The Member specified how many transitions were under taken and how many were on time. The Members were advised that an element of this would be added to the final report, and the revised draft would be circulated after changes had been made.

- The Committee commented on the key achievements for Newport 2017-18 included in the report. One example was that the 4000 course attendances did not state what outcomes were achieved, and just attendance figures did not help members understand why it was a key achievement. The Members thought that not all of the key priorities listed in the report were achievable. Members were pleased to see a glossary of terms in the report although a few more terms need to be added, one example provided was 'NEET'.

- Members discussed the commitments to be achieved by 2022 in the Corporate Plan 2017-2022: *"We will ensure that 85% of care leavers enter employment, education or training".* The figure on page 53 of the report which stated 44.4 % of young people are in education, training or employment 12 months after leaving care. The Member wished to know if this was considered to be comparatively low. Members were advised that often an extra 12 months can make a big difference to young people, especially care leavers. Young people will mature and as they do they will recognise how important education is, so when they settle they return back to education. The Head of Children and Young People Services explained that it is sometimes challenging to get looked after children into education, as by the time children get to Social Services they have already missed a large part of their education.

- Members queried whether the issues being raised relating to the staffing would result in a 'staffing crisis' in the future. Members were advised that there was not a 'staffing crisis' at the moment, but the importance of increasing the numbers of people entering the care profession was stressed to prevent a crisis in the future. This was a Wales wide issue, the trajectory was heading towards staff shortages. There was pressure for residential homes to retain their staff, but due to the high turnover of staff it was remained a problem. The Gwent wide academy was aiming to create a career pathway in to the care profession.

- The Officer informed the Committee that the Council were trying to support the care workforce the best it can to promote sustainability. The Gwent Care Academy had a strategic view of how to bring people into the profession and increase staff retention. The academy would offer a training passport which would lead to a standardisation of training provided to staff and give more status to the training. The passport would help bring down the costs of training staff and carers could transfer their qualifications from agency to agency.

- Members wished to have a letter of thanks sent to all foster carers to commend them on the great job they are doing. The Head of Children and Young People agreed with the Committee and informed them that this would be done.

- Members discussed the report's comment about the Cabinet Member on page 59 and commended the work. The Members continued to add that it would be useful in the final report to explain a more about how the meetings the Cabinet Member had had with community groups translated into more engagement, and what the outcomes are of that work had been.

Recommendations

The Committee made the following comments and recommendations;

- The Strategic Director would redraft the report with the changes discussed prior to the report going to Cabinet.

- A letter of thanks to foster carers would be sent out by the Head of Children and Young People.

7   **Scrutiny Adviser Reports**

Attendees:
         -   Daniel Cooke – Scrutiny Adviser

a)   **Forward Work Programme Update**
     The Scrutiny Adviser presented the Forward Work Programme, and informed the Committee of the topics being discussed at the next two committee meetings:

     Thursday 15 November 2018
     The agenda items included;
     - Corporate Plan – Recommendations Monitoring
     - Performance Management Strategy – Recommendations Monitoring

- Consultation and Public Engagement Review

Following a discussion on the need to ensure an Executive representative for the agenda item relating to the Corporate Plan, the Committee decided to requested that the Leader of the Council be invited to attend the meeting on 15 November for the *Corporate Plan – Recommendations Monitoring* Agenda Item.

Thursday 31 January 2019
The agenda item included;
- 2019/2020 Cabinet Draft Budget Proposals

b)   **Actions Arising**

The Committee requested that the action sheet be next to the minutes at the front of the agenda rather than at the back. It was also commented that many of the actions were still awaiting a response. The Scrutiny Adviser informed the Committee that letters were sent to the necessary Officer to action where appropriate. Where the actions were outstanding, they would remain on the action sheet until an adequate response had been provided to the Committee.

Members also requested if reports could be in portrait rather than landscape. The Scrutiny Advisor informed the Committee that it was not always possible to have reports in a portrait orientation.

In relation to the recommendations made to the Cabinet on Item 3 of the minutes, 'Budget Process and Public Engagement – Recommendations Monitoring', The Committee noted that they had not yet received a response from the Cabinet. In particular, the Committee had made a number of recommendations regarding the arrangements for public consultation of the budget which would impact this year's consultation in December. The Scrutiny Adviser noted that this would be provided at the Committee's next meeting.

An additional enquiry was made relating to how Scrutiny was still awaiting responses relating to the budget process. The Scrutiny Adviser told the Committee that the process had recently been put in place which enabled Cabinet to receive Scrutiny's letters and we would see a faster response in the future.

c)   **Information Reports**
d)   None received.

The meeting terminated at 1.00 pm

Scrutiny Report

Overview and Scrutiny Management Committee

Part 1

Date: 15 November 2018

Subject   Public Engagement Review

Author   Scrutiny Adviser

The following people have been invited to attend for this item:

Invitee:	Area / Role / Subject
Rhys Cornwall	**Head of People and Business Change**
Tracy McKim	**Policy, Partnership and Involvement Manager**

Section A – Committee Guidance and Recommendations

1   Recommendations to the Committee

The Committee is asked

1.   To consider how the Council engages with the Citizens of Newport, and how effective this engagement is.

2.   To decide whether it wishes to make comment or recommendations to the Cabinet Member.

2   Context

Background

2.1   The review was undertaken to establish the Council's engagement and consultation arrangements against current requirements, feedback from Scrutiny and other work and good practice examples and make recommendations for development.

2.2   The report has been created partly in response to Scrutiny's comments and recommendations regarding the council's public engagement and consultation for the annual budget 2018/19 (2.3) and City Centre PSPO (2.4), and partly in response to the legislative requirement to involve stakeholders in decisions that may affect them in the future.

Previous consideration of this item

2.3   The comments and recommendations made relating to the annual budget consultation, made on February 1 2018,   were responded to by Officers at the Committee's meeting on July 26 2018.

The Members asked the following:

- The Committee had previously been told that a review of Public Engagement would be brought back to the Committee in November. The Committee raised concerns that this would be too late to impact upon the process for this year's budget, and as such were concerned that the timescale meant that the Council would not have sufficient time to properly engage on this year's budget. The Officer acknowledged that an earlier start to the public consultation, or a year round process of consultation would be preferable, however the decisions on the timing of the budget process was a corporate decision based on a number of factors, and had to be met from within its resources. The Officers team resources this year had focused on the implementation of the Wellbeing Assessment.

- The Officer advised the Committee that the concerns raised at last year's budget Consultation by Scrutiny were being addressed and that a review of Public Engagement was being undertaken. This full review was being reported to the Scrutiny Committee at its meeting on 15 November to look at the longer term approach to consultation.

- The Committee were offered more frequent progress updates every meeting until November to keep them informed.

- The Members commented that the reasons why public consultation had not progressed from last year then this needed to be understood, whether it be staff resources within the team, or part of a more strategic decision. Some Committee Members noted that the Committee could make recommendations to the Cabinet to start the consultation process earlier.

- Members commented on how it was disappointed that the Council had not improved in the Hierarchy of Engagement. The Involve stage needed to be reached and it had been thought consulting on the Budget would be a good opportunity. The public consultation could not be restricted by the budget cycle, but there were issues that can be consulted throughout the year. The Belle Vue Park Car Parking was given as an example by a Member. People could be consulted on whether free parking in parks or a small rise in Council Tax was preferable.

- Comment was then made that the Council had not taken advantage of some opportunities. An example was given that Welsh Government offered a sum of money to be applied for by Local Authorities so they could liaise with local businesses to allow the public to use their toilets however the Council had not applied. The Officer acknowledged that this opportunity had not been taken up. The Officer advised that it was a challenge to move up the Hierarchy of Engagement as it was difficult to change the culture and mind-set to enable this to happen. The arrangements for this year's budget consultation were being developed, and pre consultation engagement ideas were being looking into, such as Hereford Council's method of engagement.

- Concerns were raised regarding the Council moving away from paper surveys as an engagement tool. Members were advised that paper surveys required a member of staff to manually input responses which was an additional resource requirement. However, paper copies would still be available, and the Council was not moving away from this method of engagement. Last year both paper and face to face surveys were produced and included in the overall data.

- It was also asked if it would be better if the Budget Consultation could be tailored in a way that people could choose which questions and areas that they wished to provide opinion on.

- Members then suggested that links to the survey could be given to those directly impacted such as parents at schools and library users if those were to be affected by the budget. Members were told that this could considered, Officers also stated that the previous survey was overcomplicated, when the information needed to be balanced and clear.

- The Officer advised that the figures around the impact the bus WIFI had could be provided to the Committee. There were around 150,000 unique sign-ons using the bus WIFI, which asked users five questions around consultation and engagement. However the bus WIFI was not able to provide sufficient data to base a budget consultation on. The bus WIFI had been used last year in the budget consultation to raise awareness and to find out if people would complete the consultation or not. 45% of people said they would not respond to budget consultations.

- Members were told that the times that had the best results were when survey questions were asked in a face to face, one to one setting, an example was given from last year when a day was spent in the Market talking to people about the budget. The Market session discussed the budget proposals with around 40 people responding to questions. This brought in better quality data, however it was resource intensive.

3   Information Submitted to the Committee

3.1   Attached at Appendix 1 is the report on public engagement provided by the Head of People and Business change.

The public engagement structured into the following areas for consideration:

- **Purpose**
- **Background**
- **Rationale for the review**
- **Our 'offer' – the support and resources currently available**
    - One Newport Engagement Group
- **Our Reach – how successful is this?**
    - Public perception of Council engagement
    - Response rates
    - Demographic and representativeness
    - Wellbeing Plan consultation
    - Newport Youth Council
    - Year round engagement process
    - Communications and message
- **Moving forwards and consulting to involvement**
- **Conclusions and recommendations**

4.   Suggested Areas of Focus

Role of the Committee

> **The role of the Committee in considering the report is to consider:**
>
> - Consider the how stakeholders are involved in the Council's decision making process into the Council's consultation processes.
>
> - The extent to which the report cover considers all aspects of public engagement that the Council undertake.
>
> - Consider whether any areas require improvements / development in terms of how the Council engages;
>
> - Consider whether any areas of the public engagement require further exploration by the Committee;
>
> - Decide whether is wishes to make any comments or recommendation to the Cabinet Member on the public engagement.

Section B – Supporting Information

5   Supporting Information

5.1   The following links are to public engagement best practice guides and manuals:

   o   Practitioners' Manual for Public Engagement from Participation Cymru
   o   Public Engagement Toolkit from National Assembly for Wales
   o   The Evaluation Toolkit from Participation Cymru
   o   How to… … evaluate public engagement projects and programmes from National Co-ordinating Centre for Public Engagement

5.2   The above guides, manuals and toolkits provide an insight into public engagement best practice. The reports outline the following overall points of best practice;

- Ensure that engagement is effectively designed to make a difference;
- Encourage and enable all people affected to be involved, if they choose to be;
- Engagement is planned and delivered in a timely and appropriate way;
- Work in relevant partnerships;
- Information provided will be jargon free, appropriate and understandable;
- Make it easier for people to take part;
- Enable people to take part effectively;
- Engagement is given the right resources and support to be effective;
- People are told the impact of their contribution (feedback);
- Learn and share lessons to improve the process of engagement.

6 Links to Council Policies and Priorities

Public Engagement has intrinsic links to all of the Councils policies and priorities, these links should be highlighted by the Officers in the reports or through questioning at the Meeting:

Well-being Objectives	Promote economic growth and regeneration whilst protecting the environment	Improve skills, educational outcomes & employment opportunities	Enable people to be healthy, independent & resilient	Build cohesive & sustainable communities
Corporate Plan Commitments	Thriving City	Aspirational People		Resilient Communities
Supporting Function	Modernised Council			

7 Wellbeing of Future Generation (Wales) Act

The Committees role is to consider how the report demonstrates how the Council is demonstrating it is working in accordance with the 5 ways of working within the Wellbeing of Future Generations (Wales) Act. Under this act, there is a duty on public bodies to 'involve' stakeholders in improving their own and their community's wellbeing.

5 Ways of working

Long Term *The importance of balancing short-term needs with the need to safeguard the ability to also meet long-term needs*
Prevention *How acting to prevent problems occurring or getting worse may help public bodies meet their objectives*
Integration *Considering how the public body's well-being objectives may impact upon each of the well-being goals, on their other objectives, or on the objectives of other public bodies*
Collaboration *Acting in collaboration with any other person (or different parts of the body itself) that could help the body to meet its well-being objectives*
Involvement *The importance of involving people with an interest in achieving the well-being goals, and ensuring that those people reflect the diversity of the area which the body serves.*

8. Background Papers

- Overview and Scrutiny Management Committee – 1 February 2018
- Overview and Scrutiny management Committee – 26 July 2018
- The Essentials - Wellbeing of Future Generation Act (Wales)
- Corporate Plan

Report Completed:9 November 2018

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Review of Public Engagement in Newport City Council

1.0   Purpose

To review the Council's engagement and consultation arrangements against current requirements, feedback from Scrutiny and other work and good practice examples and make recommendations for development.

2.0   Background

Public engagement is an integral part of democracy and the functioning of Local Government. There is a statutory basis for involvement of stakeholders in decision making stemming from legislation including the Equalities Act 2010 the Children and Families (Wales) Measure 2010 and most recently the Wellbeing of Future Generations Act 2015.

Under the Wellbeing of Future Generations Act there is a duty on public bodies to 'involve' stakeholders in improving their own and their community's wellbeing. This duty is part of the wider sustainable development duty set out in the Act which introduces then following 'five ways of working':

1. **Long-term** – public bodies must work toward long term, sustainable wellbeing benefits.
2. **Prevention** – we should act now to avoid future problems or to stop problems from getting worse.
3. **Collaboration** – we should work with a range of stakeholders, including empowering citizens to deliver wellbeing goals.
4. **Integration** – we should consider all seven wellbeing goals and also the wellbeing objectives of other partners in the course of our business
5. **Involvement** – the specific duty to incorporate engagement into our work.

It can be noted that all five of the above duties are grounded in principles of citizen engagement and participation.

The Overview and Scrutiny Management Committee have taken a specific interest in public engagement and asked that the Council report back on any work being done to address / implement their recommendations from their consideration of this year's engagement related to the Budget process (made at their meeting on 1 February 2018).

These recommendations are summarised as:

- What actions the Council are undertaking to address concerns about the public engagement process in the budget for 2019/20
- What steps the Council are making in the development of a strategic approach to public engagement,
- Process for ensuring robust information is presented next year as part of the public consultation (including the consistency of information within the business cases)
- How to ensure that feedback is made available to consultees,
- And the medium the Consultations are available, through to ensure increased ease of access to the public in the future.

The Committee requested that they receive an update at their meeting on Thursday 26 July. At that meeting the Head of People and Business Change presented a report which included the progress that had been made and the current plan for the consultation and engagement on this year's budget proposals. The Head of Service also discussed the Hierarchy of Engagement and the examples within the Wellbeing of Future Generations Act (Wales) and gave examples of how to move from *Informing* to *Empowering* citizens. It was thought that the Council were generally at the consult phase, and on occasions had moved towards involving citizens. Empowering citizens to be decision makers was a longer process, but the Council was in a similar position to other organisations.

Additionally, the Officer discussed online surveys and advised Social media online surveys (SNAP) were being developed. The work of Newport Youth Council was outlined and aims to develop the participation and involvement of young people in public services and decision-making.

The Head of People and Business Change also explained that a review of public engagement was underway which would look at wider and at the longer-term issues and report to the Committee at their meeting on 15th November.

The following report sets out the findings of the review of public engagement and also recaps on the specific work to improve engagement on the Council's budget.

## 3.0   Rationale for the review

The following review will consider how the Council has approached consultation with the public, and how effective this engagement has been. The Overview and Scrutiny Management Committee's role is then to establish if the Officers have identified the areas for improvement and any actions which can be carried forward. For reasons of clarity a series of recommendations have been included in the body of this report as they arise, they are then brought together as a way forward in the recommendations section 7.0.

The Council is involved in many different types of public engagement in the course of its business, however this review will specifically consider engagement which focusses on the involvement of the public and stakeholder groups in decision making. Further to this, the main focus will be on engagement work that is supported by the corporate centre i.e. People and Business Change through the Partnership, Policy and Involvement team. This will include the Council's budget, key strategies like the Wellbeing Plan, the Schools Accessibility Strategy etc. Whilst there is significant engagement which takes place directly by service areas without central support this work is often limited in scope and wider relevance and the service area will often be best placed to lead on it, with central support provided when necessary.

In order to consider how effectively we engage with the public we need to have an understanding of what good practice looks like within local government. There are a range of different approaches within local authorities, and some authorities will spend significantly more than others so it is difficult to compare like with like. However the basic outcomes of engagement will centre around:

- How many responses are received to engagement exercises
- How good local people think the council is at engagement
- What are the different ways in which the council engages with local people
- The range and representativeness of respondents
- How meaningful engagement work is e.g. the level of participation and involvement, timeliness, feedback which demonstrates that engagement has influenced decision making

As part of this review we have looked to answer these questions and also to compare the current situation with expectations and aspirations. The review will be centred around the following themes:

Engagement Review themes
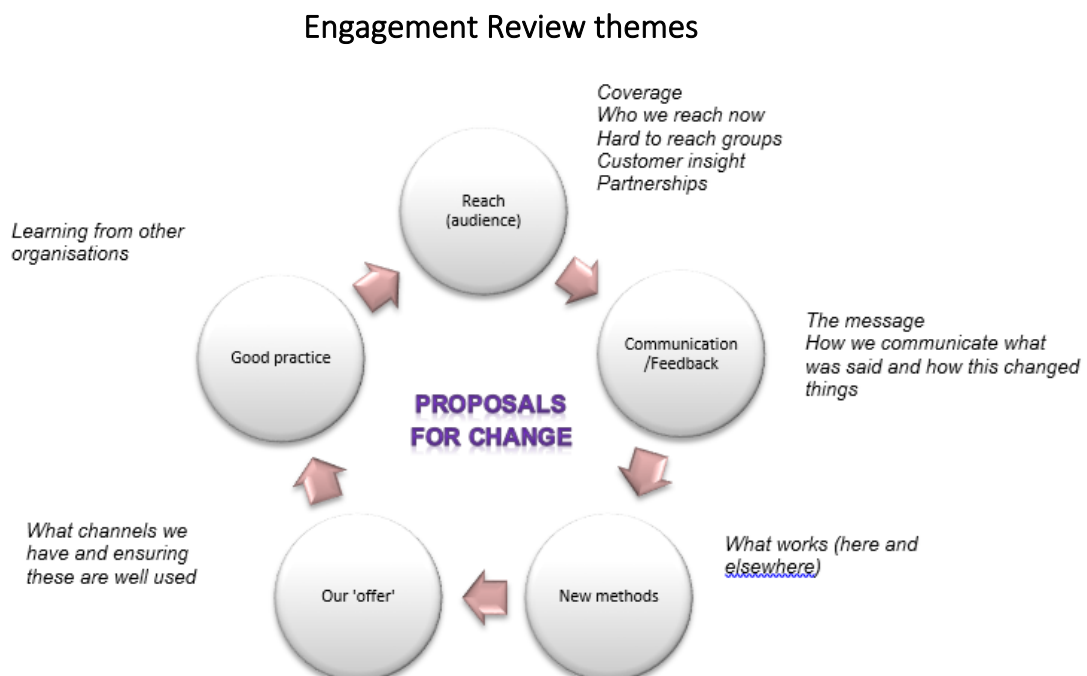
4.0   Our 'offer' – the support and resources currently available

As a Council we currently have a range of methods and approaches to support engagement across the Council. We also have links with partner organisations through the Public Services Board Engagement sub group to coordinate engagement activities and share best practice and resources. This group includes the main statutory partners and third sector engagement specialists e.g. GAVO Engage project. The Engagement Group have contributed to the review and act as a critical friend for instance the analysis in section 6.0 was developed in collaboration with the Engagement Group in a workshop.

Table 1

Engagement methods	Reach	Comments

Budget Consultation
        Pre-proposal survey
        Online survey
        Printed survey
        Engagement events
	All ages can respond including children and young people	Responses are often clustered around specific proposals eg which affect respondents. rather than a more objective and holistic viewpoint.

Citizens Panel	Response rates are currently around 300-400. Ages from 16+ can take part, however in practice active members tend to be 45+ age ranges with few young people	Well established and used by services. Recent steps taken to recruit additional members. Service Areas to be reminded of this and other corporate engagement resources.
Bus Wifi Surveys	Around 7000-8000 respondents. Can be used every month. Age range is younger than citizens panel and reaches a high number below age 25.	A new method which has proven ground breaking in terms of reach. However surveys must be kept short and not in-depth.
Schools Wellbeing Survey	Runs every 3 years and focusses on pupil wellbeing. Response rates between 500-1500.	Will be run again in 2019.
Newport Youth Council	Young people aged 11-25. Currently around 15 members	Aims to involve young people in influencing decision making and giving them a voice in public life.
Social media online surveys (using SNAP)	Reach is large with more than 20,000 NCC social media followers.	Increasingly used to share information, news, surveys and events
Consultation on major strategies e.g. Wellbeing Plan, Local Development Plan	Depends on the focus of the strategy. The recent Wellbeing Assessment/Plan involved widespread engagement and achieved diverse response rate.	Service Area to be reminded of corporate resources and support available for this type of consultation and engagement.
Pupil Participation and Learning Network	Primary school network aimed at empowering young people and developing the 'pupil voice'	Strong work at school level although limited to 8 schools at present
Specific engagement events e.g. Families Love Newport, budget Q&A sessions. 'Kids take over Libraries' event.	Can be targeted to clients groups or open-access. Can use council venues e.g. the Market, Info Station, libraries, summer events.	Working to better coordinate events through multi-agency Engagement Group and to make use of existing events wherever possible, rather than run additional events
Ward members	Ward Members are active in all	Ward Members have assisted

	20 wards and are the elected representatives	in promotion of consultations, distribution of surveys e.g. in Ward Meetings

4.1   One Newport Engagement Group

The Partnership Policy and Involvement Team convene a multi-agency engagement group for officers to advise on the development and co-ordination of consultation and engagement activities conducted across the Public Service Board (PSB)

The core aims of the Group are to:

- Coordinate consultation activity
- Communicate consultation and intelligence
- Contribute to a central data resource
- Share best practice
- Enable citizen's to participate
- Effectively engage with the people, communities and groups we represent

The group is made up from members of the key public agencies and local partners like Newport City Homes, GAVO, SEWREC etc. This group was instrumental in achieving a large response to the Wellbeing Plan consultation by supporting the Council to consult at public events run by partners e.g. Sports in the Park, Newport City Homes tenants panels etc. Through the Big Lottery funded Engage Project the Council was able to engage with a range of hard to reach groups including BME populations, BME young people, adults with learning disabilities and older people in residential care. Unfortunately funding for the Engage Project ceased in April 2018 and this poses a potential risk in terms of continuity and reach.

> **Recommendation**
> GAVO to advise the One Newport PSB on continuity arrangements following the end of Engage Project funding
>
> People and Business Change to remind all service areas of the engagement offer and support available to them to ensure engagement remains a year round cycle.

5.0   Our Reach – how successful is this?

5.1   Public perception of Council engagement

The public's perception of engagement arrangements is probably one of the best ways to evaluate how effective we are. There are two main data sources available to us. Firstly the National Survey for Wales survey from 2017/18. The following table shows the responses given by a sample of 500 people from each authority when asked if they thought their Local Authority gives them opportunities to participate in decision making.   Of the 22 Welsh authorities Newport had the joint 4th lowest rate of negative responses, suggesting that engagement was regarded as better than the Wales average.

Table 2

Opportunity to participate in Local Authority decision-making - ranked by negative responses (Lower is better)	Strongly agree	Agree	Neither agree or disagree	Disagree	Strongly disagree	Negative responses
	%	%	%	%	%	%
Neath Port Talbot	-	8	12	21	57	78
Merthyr Tydfil	-	-	17	27	46	72
Blaenau Gwent	-	12	14	27	45	72
Bridgend	-	10	18	23	46	69
Powys	-	14	15	27	42	68
Gwynedd	-	12	18	24	44	68
Isle of Anglesey	-	10	19	27	41	68
Carmarthenshire	-	11	20	28	39	67
Denbighshire	-	11	18	32	35	67
Vale of Glamorgan	-	10	21	29	36	66
Rhondda Cynon Taf	7	11	17	20	45	65
Flintshire	-	14	15	36	27	64
Pembrokeshire	-	16	20	36	28	63
Wrexham	-	15	19	27	35	62
Swansea	-	13	22	26	36	62
Caerphilly	-	16	19	25	36	61
Monmouthshire	-	17	18	35	26	61
Ceredigion	-	15	20	21	40	61
Newport	**-**	**15**	**18**	**18**	**43**	**61**
Torfaen	-	17	19	25	35	60
Conwy	-	16	18	28	30	59
Cardiff	4	18	21	24	33	57

A further question was asked about whether Local Authority's consult with the public when setting their budgets, see table below. Newport City Council performed less well for this question ranking joint 4th lowest (joint 4th highest number of negative responses).

Table 3

Local Authority consults local people when setting their budget - ranked by negative responses						
	Strongly agree	Agree	Neither agree or disagree	Disagree	Strongly disagree	Negative responses
	%	%	%	%	%	%
Neath Port Talbot	-	-	12	24	59	83
Blaenau Gwent	-	-	15	26	51	77
Powys	-	8	17	27	47	74
Bridgend	-	9	19	22	49	71
Rhondda Cynon Taf	5	8	16	23	48	71
Vale of Glamorgan	-	-	23	32	38	70
Gwynedd	-	12	16	26	44	70
Newport	**-**	**9**	**17**	**21**	**49**	**70**
Carmarthenshire	-	8	22	29	40	69
Merthyr Tydfil	-	-	19	26	43	69
Denbighshire	-	-	22	33	33	66
Flintshire	-	10	19	38	27	66
Monmouthshire	-	-	26	33	33	66
Wrexham	-	10	21	27	38	65
Torfaen	-	11	23	30	35	65
Swansea	-	7	26	26	39	65
Isle of Anglesey	-	-	23	30	35	65
Conwy	-	12	19	31	33	64
Caerphilly	6	11	20	23	39	62
Ceredigion	-	-	27	24	37	62
Pembrokeshire	-	15	23	36	24	61
Cardiff	6	12	23	27	33	60

These results suggests that we are perceived as doing less well at promoting participation in the budget setting/financial planning process and is consistent with some of the views the Overview and Scrutiny Management Committee has expressed. The assumption is that budget engagement in Newport, over the last two years, has to some extent been limited to stakeholders directly affected by particular proposals. We also have anecdotal evidence that the public will sometimes choose not to respond to the budget consultation unless they are directly affected by it, to avoid 'passing judgment' on matters which don't affect them e.g. in the case of proposed changes to respite services which the majority of people did not use and therefore did not want to agree or disagree with. This disassociation with the budget could be addressed by less specific engagement, and focussing on the 'bigger picture' for Council finances as a whole. For example, a budget engagement survey will be undertaken for 2019/20 seeking opinions on how people assign relative importance to different services. This has the additional benefit of not being time-bound by financial settlement announcements, meaning that engagement can begin earlier in the year.

Using a second qualitative data source, in July 2018 we used bus wifi to ask local people a similar question "Do you think you can influence decision making in your local area". The results from a large sample of over 4,800 people were strongly positive with 45% indicating that they thought they could influence decision making, and only 14% thinking that they could not.

Table 4

I can influence decisions affecting my local area	Number of people	Percentage of people
Strongly agree	1290	26.57%
Tend to agree	888	18.29%
Neither agree nor disagree	989	20.37%
Tend to disagree	375	7.72%
Strongly disagree	297	6.12%
Don't know	1017	20.94%
Total Responses	4856	

This high level of positivity might be explained by the fact that the respondents on bus wifi may well have completed as many as six previous Council consultations in previous months, suggesting that their opinions were being actively sought and were valued.

5.2 Response rates

The Overview and Scrutiny Management Committee have questioned the number of response rates received in the budget consultation, particularly as this is one of the most significant matters for public engagement.

Budget

The budget consultation rates (after formal proposals are released in December) are as follows.

2018/19   294 responses

2017/18   343 responses

2016/17   230 responses

As Scrutiny has noted the total response rate for the budget consultation tends to be a relatively small proportion of Newport residents. This is accepted and ways of increasing this response rate are explored in this report, but it should also be noted that evidence suggests that possibly more than 75% of residents would be unlikely to respond to the budget consultation even if they were aware of it and could access it (source - bus wifi survey Jan 2018). It is however noted that bus wifi respondents are a relatively young demographic, which would suggest that different approaches and methods need to be found to increase the engagement of these groups.

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Furthermore, the budget challenge is becoming increasingly complex as many of the proposals offer little choice, and are a selection of unpalatable trade-offs, which may increasingly impact on small numbers of the population depending on their needs (e.g. social care proposals). However it is important that the Council continues to engage with the public to ensure there is an understanding of the challenge and of the view of priorities for communities.

For the 2019/20 budget consultation we have reviewed methods used elsewhere and developed a prioritisation list for the public to be able to show what services are important, and understand the breadth of services (included as appendix 2).

Furthermore, the quality of the information provided to the public on savings proposals has been reviewed for 2019/20 to improve the clarity and use of language. Also improvements have been made to the Fairness and Equalities Impact Assessments (FEIAs) over the last two years and these will play an important part in identifying who might be affected and what the impacts might be. FEIAs now also take sustainable development and wellbeing duties into account.

Bus Wifi surveys - Since starting to use bus wifi total response rates have increased by a huge degree. We now are in a position where our reach and response is probably greater than any of the other Welsh Local Authorities. However it should be noted that consultation on detailed matters e.g. budget proposals would be challenging using bus wifi. During the last budget consultation (for 2018/19 budget) we used bus wifi to raise awareness of the consultation and this reached over 6,000 people, however it did not translate into an increase in numbers of surveys completed.

Bus Wifi response numbers

September 2017	7,796
October 2017	8,616
November 2017	8,716
January 2018	6,310
March 2018	8,551
July 2018	4,867
Average	7,476
Total to date	44,856

5.3   Demographics and representativeness

Obtaining data that reflects the wide-ranging diversity of the population is an important part of effective public engagement. Anonymised demographic data on respondents is routinely collected during centrally supported engagement activity. Accurate demographic data can be obtained from the following sources:

- Council Budget consultation
- Citizens panel
- Bus wifi surveys
- Key strategy consultations e.g. Wellbeing Plan, Waste Strategy, Customer Services

The demographic data collected will vary between different exercises but will commonly include:

- **Gender** – to ensure a balance between sexes and because gender is a protected characteristic under the Equalities Act 2010.
- **Age -** using age groups, which has helped us to identify differences between younger and older people
- **Race –** which is used mainly for monitoring purposes
- **Location –** the area of the city the respondent lives in. This 'spatial data' is usually recorded by ward or sometimes postcode. This helps to monitor geographical coverage and can identify disparities between areas, or changes in perception.
- **Disability –** whether then respondent has a disability to help ensure representativeness of this 'protected group' (Equalities Act 2010) and to identify disparities with the wider population.

The demographic breakdowns of the respondents varies by the different data sources. For instance the formal budget consultation tends to receive the greatest response from the middle age groups (working age adults) between 25 – 64 who account for 81% of the total response.

Table 5

2018/19 budget	Number of people	Percentage of people
0-10 years old	0	0.00%
11-17 years old	7	2.44%
18-24 years old	27	9.41%
25-34 years old	48	16.72%
35-44 years old	85	29.62%
45-54 years old	70	24.39%
55-64 years old	30	10.45%
65-74 years old	18	6.27%
75+ years old	2	0.70%
Total Responses	287	

The demographics of two of the most widely used engagement resources, the citizens panel and bus wifi are markedly different from each other. For instance the citizens panel tends to consist of older residents with a relatively small number of younger people (under 25), whilst bus wifi tends to be more representative of younger age groups with around 50% of respondents under 25 and few people over 64. The different demographics are in practice beneficial as they complement each other and give us alternative ways to reach different audiences. We are also now more aware of how opinions between age groups can differ as shown in Chart 1 below which is taken from a bus wifi survey.
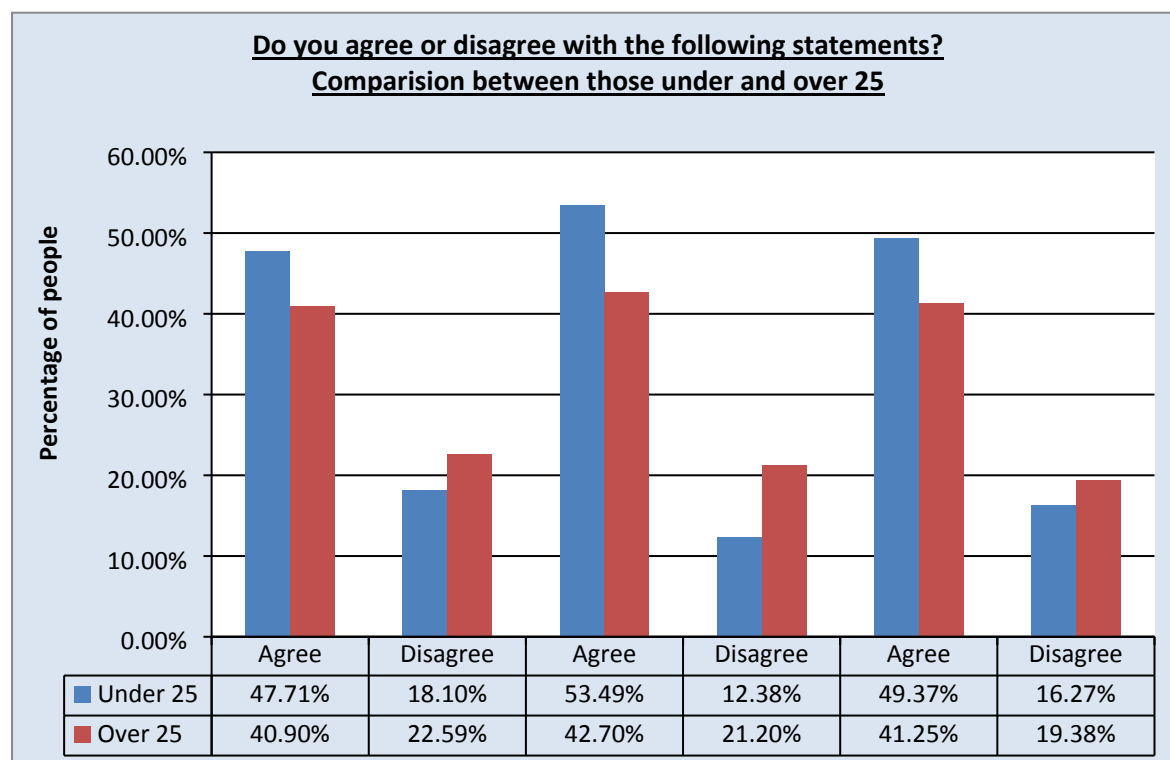
Table 6
Citizens Panel Survey (July 2018)

Age	Number of people	Percentage of people
0-17 years old	0	0.00%
18-24 years old	2	0.74%
25-34 years old	9	3.33%
35-44 years old	16	5.93%
45-54 years old	40	14.81%
55-64 years old	68	25.19%
65-74 years old	86	31.85%
75+ years old	43	15.93%
Prefer not to say	6	2.22%
Total responses	270	

Table 7

Bus wifi survey (March 2018)

Age	Number of people	Percentage of people
Under 12 years old	136	1.59%
12-17 years old	2011	23.52%
18-24 years old	2230	26.08%
25-34 years old	1653	19.33%
35-44 years old	1031	12.06%
45-54 years old	739	8.64%
55-64 years old	410	4.79%
65+ years old	341	3.99%
Total responses	8551	

Chart 1

Do you agree or disagree with the following statements?
Comparision between those under and over 25

	Agree	Disagree	Agree	Disagree	Agree	Disagree
Under 25	47.71%	18.10%	53.49%	12.38%	49.37%	16.27%
Over 25	40.90%	22.59%	42.70%	21.20%	41.25%	19.38%

5.4   Wellbeing Plan consultation

Aside from the budget consultation one of the major pieces of work on engagement in recent years was undertaken when developing the Local Assessment of Wellbeing, a document which is required by the Wellbeing of Future Generations Act 2015. This work involved asking a wide range of local stakeholders, primarily residents about what they wanted to see in Newport in the future and what they currently valued most in terms of social, economic, environmental and cultural wellbeing.   There is a statutory duty under the Act to involve people with an interest in achieving wellbeing goals and ensuring that those persons reflect the diversity of the population. This involved a relatively large-scale engagement programme which took place in 2016 and is considered to have featured a number of examples of good practice and was well received by Welsh Government, the Future Generations Commissioners Office and other partners.

Particular effort was made to engage with harder to reach groups. To do this the Council worked in close collaboration with a wide range of partners from:

- **Public sector agencies** – ABUHB e.g. using the Health Boards BME health panel, Communities First e.g. promoting surveys through Job Clubs.   Coleg Gwent promoted involvement of students. Community Development promoted translated surveys to minority communities (incl. Eastern European and BME languages).   A specific young people's wellbeing survey was also run for all Newport school and college pupils.
- **Third sector** – Newport Live and Newport City Homes e.g. having an engagement presence at all summer events like Sports in the Park, attending Newport City Homes tenants forum. The BME Youth Forum made a Future Generations film. Rainbow Newport promoted LGBT involvement. GAVO's Engage project linked with Deaf Clubs Sight Loss Clubs, Newport People First.
- **Private Sector** – surveys were promoted through the Councils local business directory contacts.

A total of around 2,400 responses were received which would rank amongst the highest response rates the Council has achieved for a strategy development consultation. Furthermore the demographic response was in line with the ethnic make-up of the city, which was considered difficult to achieve with the engagement methods in use at that time (before bus wifi was in place). Headline demographics were:

- 8.7% of responses were from non-white individuals

- 11.3% of responses were from non-white British individuals (this would include White Irish, White Gypsy/Traveller and other white backgrounds)

  (The 2011 Census records that 10% of the Newport population is non-white)

- 500 responses were received from young people who completed a separate survey

It should be noted that an engagement exercise of this scale with numerous outreach events and activities took almost 12 months in total and required much of the capacity of the two officers allocated to public engagement within the Partnership Policy and Involvement Team. It would not be straightforward to replicate this scale of work to the Council's budget engagement particularly given the time constraints arising from the timing of the final settlement from Welsh Government. However a pre-proposals budget engagement phase has been run in previous years, which seeks to inform longer term financial and service planning and can commence earlier in the financial year. Such an exercise is being carried out for 2019/20 and began in late September.

With the above in mind It should be stressed that public engagement work should not be repetitive i.e. asking the same things every year or focussed on achieving high numbers of responses above all else. The most effective approach is to build up a body of information and intelligence on what residents have been telling us. The COUNT principle (Collect Once Use Numerous Times) is explained in the following section.

5.5   Newport Youth Council

The Council supports the running of Newport Youth Council to develop young people's participation and involvement in decision making and public life. The Youth Council is open to anyone from 11-25 and the young people involved come from varied backgrounds. The aim is that the Youth Council increasingly sets its own agenda and interests, however the Partnership, Policy and Involvement Team work closely with them to link them with the Council's work programme.

The following case study indicates how we are currently working with the Youth Council to take forward the 'Future Generations agenda' whilst working in an empowering way.

Case study 1

St. Paul's Walk Mosaic Project

Newport Youth Council (NYC) is a youth-led forum to give a voice to young people and influence decision making on issues that matter to them across Newport.
Members of the youth council have been involved in a public arts project to reduce Anti-social behaviour and improve wellbeing in a public open space - St Paul's Walk. The project has involved young people working in collaboration with a local artist to create a mosaic that represents the Suffragette movement. There have been a number of workshops held at the top of Newport market through the past few months to develop the mosaic. Newport Youth Council members and other young people across Newport have been involved in the project for example – The Bigger Picture – a voluntary organisation focused on youth community inclusion have worked closely with a local historian on the project, this has promoted integration and intergenerational work. The mosaic will be unveiled at a presentation in November at St. Pauls Walk aiming to prevent anti-social behaviour and create a sense of ownership for the work for the long term. Young people also gave interviews to the local media of how they found working on the project and what they have learnt.
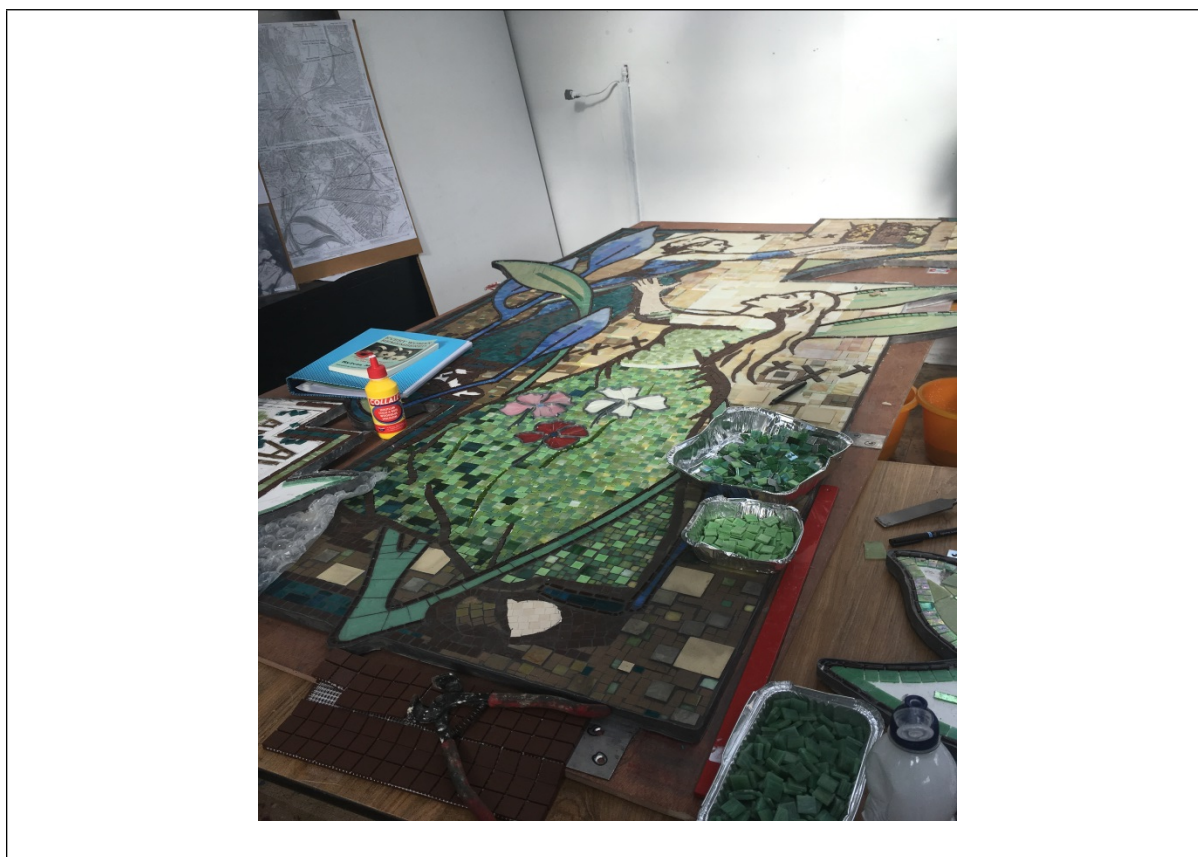
5.6   Year-round engagement processes

The Committee recommended moving to a year-round budget consultation and engagement process, rather than what was perceived as a short period during Christmas/ the New Year. This report shows that wider consultation and engagement is already a year-round process and the intention is to gather insight and intelligence, which can be used as widely as possible to inform financial planning, service development and strategy. For instance, the Wellbeing Assessment (revised every 2 years) involved extensive public engagement and then informs key strategies like the Corporate Plan which ultimately inform financial/service planning and business change decisions.

There are also good examples of where public engagement is used to inform the planning of projects which contribute to improving wellbeing e.g. the St Paul's Walk project where the public have been consulted on the design and future uses of this site and young people are working on an art project to prevent vandalism.

A digest listing key pieces of consultation work is given in Appendix 3 of this review which shows that the Council is continuously engaging with stakeholders throughout the year, accumulating understanding of residents and particular stakeholders.

Whilst regular 'year-round' public engagement is clearly desirable, it must be balanced with the risk of overloading people (known as 'consultation fatigue'). One of the ways of avoiding this is to not repeat duplicate engagement work and to make sure that the information gained from engagement is used widely and repeatedly, to build and share knowledge. This can be describes as the COUNT principle, as in the box below.

COUNT

Collect once use numerous times

The COUNT principle should be taken forward internally within the Council and also between local partners e.g. through coordination of activities and sharing of knowledge. This principle recognises that much of the engagement work undertaken across the Council is relevant to budget planning, even if it is not directly about savings and proposals e.g. the engagement work on the wellbeing plan. Service Areas will need to make reference to past engagement to inform their decision making process when planning savings proposals each year.

Recommendations
- The COUNT principle should be promoted through training on participation and engagement within the Council.

- Explore options for an online consultation and engagement database and consultation work plan. This work is now underway through the One Newport Engagement Group.

5.7   Communications and message

As demonstrated by the above evidence, through existing communications and engagement channels the council already has e.g. social media survey links, citizens panel, bus wifi surveys engagement events, partner agency promotion, distribution of printed surveys etc we have access to a wide local audience and varied demographic. The challenge of increasing response rates is perhaps more about improving the perceived relevance of budget engagement. Evidence gathered from talking to local people suggests local people who do not take part in Council engagement exercises come from the following groups:

- Those that think that the Council are elected to make spending decisions and oversee the running of local public services, and are comfortable with allowing them to do this, however they may become more democratically engaged if a particular decision affects them or concerns them personally. They may also be concerned about giving an opinion on services that relate to other people but not themselves e.g. they do not have a child with additional learning needs.
- Those who are apathetic and knowingly have no interest, they may differ from the above group in thinking that involvement in engagement is pointless and might be disengaged in politics generally e.g. not voting.
- Those that might take part in engagement but do not because they find it difficult to access, inconvenient or simply do not know about opportunities.
- Those who are not aware of budget engagement activities at all. This is most likely to include people who are not following Council communications e.g. not reading Newport Matters, not following social media, In reality this group is likely to be a significant proportion of the population and could overlap with those who are happy for the Council to 'just get on with running services'.

Recommendation
Continue to provide a range of opportunities to participate in Council decision-making e.g. pre-proposal budget consultation. Whilst this is intended to increase budget participation, it is wider than this as we recognise that some people do not want to respond to budget proposals for various reasons.

Use and evaluate a new pre budget questionnaire which captures views on prioritisation of services. This exercise can be continued throughout the year and will inform medium term financial planning.

The following table shows the results of an analysis of the Strengths, Weaknesses, Opportunities and Threats relating to the Council's public engagement processes. This was

carried out in collaboration with partner agencies from the One Newport Engagement Group and summarises the main recommendations of this review.

Strengths	Weaknesses
- Bus Wifi capability unique in Wales, we should achieve over 90,000 interactions in first 12 months - Track record of collaborative work with partners and effective multi-agency Engagement Group in place - Cross-service area 'Budget Comms and Engagement' group in place - Well-established Citizens Panel - Multi-agency engagement group in place - Extensive events programme and networks already in place for engagement - Fairness Commission in place to act as critical friend and independent advisor - All Heads of Service now have Clear Review objectives for young people's involvement - Scrutiny active in reviewing engagement processes and improvement plans - Evidence of cost/effective approach to consultation (National Survey for Wales)	- Organisation could make more use of engagement for business intelligence - COUNT principle. - Tendency to engage late in the decision making processes e.g. during policy development, business change - Limited history of face to face engagement between council/public/stakeholders - Relatively low skills and experience of public engagement within service areas - No allocated funding to improve engagement from the current position - Feedback processes are often under-developed - Achieving representative sample of equalities groups has proved difficult e.g. BME residents - Limited coordination of engagement across schools e.g. best practice sharing, collaboration
Opportunities - Training for Elected Members on participation and engagement so they can act as champions and challengers of poor practice - Members could lead consultation within their wards - Newport City Homes and Newport Live are strong partners for engagement - Heads of Service more aware of corporate support for engagement - New Youth Council contract in place, provider has expertise in use of creative media - Potential for more Gwent wide work e.g. Happiness Pulse - Expand work of Pupil Participation and Learning Network (only in 8 primary schools currently) - Effectively used short film to promote Wellbeing Plan consultation, could use videos more widely for engagement - Newport Intelligence Hub could add value to engagement processes e.g. recruiting to Citizens Panel - New technologies emerging to support better engagement e.g. real-time online	**Threats** - Service Areas undertaking engagement without seeking corporate support - Public understanding of budget pressures can be limited e.g. belief that efficiencies alone can close funding gap - Increased public apathy following year on year financial pressures - Increased risk of digital exclusion as e-methods become the norm - Citizens Panel response rates low and membership skewed towards an older demographic - GAVO's Engage Programme ended in March 2018 (Lottery Funded) its focus was on hard to reach groups - Increasing workload pressure on corporate support for engagement (Policy, Partnership and Involvement Team) - Balancing the pressures to make cost savings with duties to involve stakeholders in decision making

voting	

The evidence presented in this review paints a mixed picture of the effectiveness of public engagement arrangements in Newport City Council. This is perhaps demonstrated by the National Survey for Wales tables (tables 2 and 3) which show that people thought that overall this Council compares well in terms of participation in decision making but less well in involvement in budget setting. Furthermore with our new bus wifi survey capability we are confident that we should be able to improve perception against both these measures and note that our own, more recent, perception survey (table 3) indicated very positive results.

As we are currently ranging from good to acceptable performance against key measures of engagement and we currently spend relatively little in terms of officer resource and services it can be concluded that the Council's corporate engagement activities are cost effective and represent good value for money.

Bus wifi has given us a game-changing opportunity to regularly engage with over 5% of the population. However it use will be limited by level of detail, length, relevance and complexity.
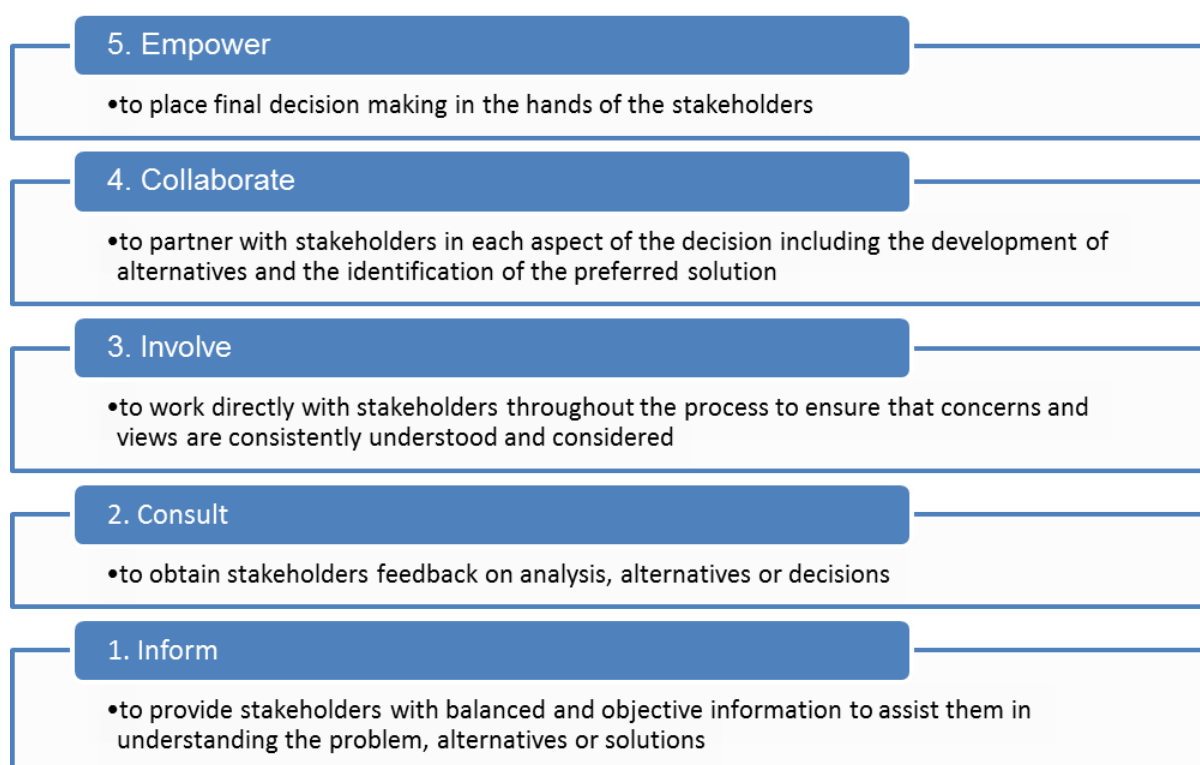
The Partnership, Policy and Involvement Team are able to provide advice, support and access to useful resources for Service Areas wanting to carry out engagement, however there are recent cases whereby Service Areas have not requested any corporate support and as a result have consulted inadequately. To avoid this the Head of People and Business Change has presented to Corporate Management Team on the range of support on offer, which has resulted in better collaboration within the Council, a briefing paper was prepared for CMT which was presented to the Overview and Scrutiny Management Committee in July.

The Partnership, Policy and Involvement Team will seek to embed the COUNT principle so that learning from engagement activities are shared and knowledge is accumulated. Through the One Newport Engagement Group we will coordinate activities with partners and share resources and learning, which should help us to continue to improve

6.0   Moving from informing and consulting to involvement

Previous reports to Cabinet Members and Overview and scrutiny have outlined the hierarchy of engagement based on 'Hart's Ladder of participation' shown below. This forms an aspirational good practice model for public engagement with progressively greater levels of stakeholder involvement, collaboration and empowerment. Moving 'up the ladder' must remain an aspiration for the Council and there are areas of work where this has now evolved.

Hart's Ladder of Participation

5. Empower

- to place final decision making in the hands of the stakeholders

4. Collaborate

- to partner with stakeholders in each aspect of the decision including the development of alternatives and the identification of the preferred solution

3. Involve

- to work directly with stakeholders throughout the process to ensure that concerns and views are consistently understood and considered

2. Consult

- to obtain stakeholders feedback on analysis, alternatives or decisions

1. Inform

- to provide stakeholders with balanced and objective information to assist them in understanding the problem, alternatives or solutions

Such a move towards greater citizen empowerment and involvement is implicit in the Wellbeing of Future Generations Act, however this is about public engagement in its widest sense and will require significant culture shift over several years. It is also not something that can be achieved 'across the board' and suits certain services and projects more than others. Strengthening community resilience is a key aim of the Council's Corporate Plan and the One Newport partnership Wellbeing Plan and this will require improved citizen empowerment and involvement. These plans will support moves up the hierarchy of engagement, and will allow elected members to monitor progress towards this end.

When applying the Harts Ladder model more specifically to involvement in decision making, the main focus of this review, whilst it is always positive to maximise involvement, collaboration and empowerment, most engagement work by the Council will inevitably remain at levels 2 and 3. This will be due to issues of practicality, the ability of stakeholders to meaningfully participate within the constraints, and ultimately appropriateness. For

example it would not be appropriate to give stakeholders the final decision making responsibility on major savings proposals as these are matters for Cabinet within their democratic mandate.   Furthermore, the underpinning political system for local government in the UK is representative democracy rather than direct democracy. Nevertheless there will be opportunities for higher levels of participation in decision making (levels 4 and 5 of Harts Ladder) and there are some good examples of this including the following case studies.

Case Study 2
Youth Council selection of service provider and participation worker

The service provider contract for Newport Youth Council was recently recommissioned. The Youth Council nominated three of their members to be part of the procurement panel. The young people were given equal status as the Council officers on the procurement panel and were involved in all stages of the process from agreement of the specification, shortlisting, interviews of suppliers, deciding questions, selection criteria, final selection and feedback. The final interviews were also chaired by one of the young people. Their involvement in this process has increased their sense ownership, developed their skills, experience and confidence and has helped ensure the successful provider is 'the right fit' for the Youth Council. The chosen provider, Media Academy Cardiff said that the selection was one of the most rigorous and best run that they had been involved in.

Recruitment and selection of the Youth Council's participation worker is now underway and the young people are again taking the lead role in choosing the individual they want to support them in their work going forward.

This example would represent level 5 of Hart's Ladder – 'stakeholder empowerment' as they were given the final decision making mandate

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Case study 3
Accessibility Strategy for Schools

The 2010 Equality Act requires Local Authorities to prepare an accessibility strategy for schools. The Childrens Commissioner recently published a report in which she called on Local Authorities to :

- *Publish their Accessibility Strategies and school accessibility plans on their website*
- *Raise staff awareness of the document ensuring that the public can be easily directed to them*
- *Consult with children, young people and families in preparing the strategy*
- *Embed a "Childrens rights" approach to this work*

In order to develop the strategy a structured workshop with key stakeholders was facilitated in June 2018. This workshop was in partnership with the Policy, Partnership and Involvement Team and the Education Development Officer. A number of Stakeholders attended the workshop including access and disability interest groups, parent groups and disability and access expert. The workshop was an interactive opportunity to get the views

and opinions of stakeholders to help develop the accessibility strategy for schools. . Stakeholders looked at what was meant by "access" as well as feedback of what would be good / not good to include in the strategy. Attendees at the workshop also looked at a vision, the values that should be embedded in the strategy and the priorities for implementation.

Based on the input at this workshop a draft strategy was developed. In September the Participation officer supported the Education Development Officer at a structured discussion with two young service users of Serennu Children's Centre. The Participation officer engaged with the young people to find out their views on the Schools accessibility strategy and the difficulties they had encountered attending school.

Such examples provide stakeholders with significant opportunities to enhance their participation in public life, ownership, develop their skills and experience and also help to ensure that the right decisions are made. As a Council we are now being asked by outside organisations including the Wales Audit Office, Future Generations Commissioners Office, Data Unit Wales, to share our work as examples of best practice. This includes engagement work on the Wellbeing Plan, Serious and Organised Crime and the Pillgwenlly Area Focus work.

Recommendations
- Scrutiny members and Cabinet Members can play a part in ensuring Service Areas have regard to the improving participation levels and engage widely with stakeholders in the course of their business, for example in ensuring decision making reports show evidence of engagement, or that policies promote greater participation and empowerment.

- Participation and engagement training for elected members and officers should be delivered.

- Ensure that good practice is recognised and shared within the Council

7.0 Conclusions and recommendations

This review concludes that good progress has been made in improving public engagement processes in recent years. This is evidenced by the positive feedback on engagement shown in table 3, particularly in increasing the reach and numbers of participants and the number of engagement exercises undertaken (see appendix 3). However this picture is inconsistent, there are pockets of good practice but there have also been examples of inadequate consultation. The perception data presented in table 3 suggests that budget engagement is one of the areas where involvement could be improved.

People and Business Change and particularly the Partnership, Policy and Involvement Team have developed a wide ranging offer of support and resources to enable good engagement and will seek to work more with Service Areas to raise standards, work differently, innovate and adopt best practice. Part of this will involve changing culture and practice in the light of the 'involvement' duty under the Wellbeing of Future Generations Act. This will also require a higher degree of challenge by the 'corporate centre' and elected members when faced with poor engagement e.g. in decision making reports.

The following recommendations are proposed to improve the extent, reach and quality of engagement.

Table 7 - Recommendations

Review Theme	No.	Recommendation	Responsibility
Reach	1	The Engage Project has ceased and continuity is unclear. GAVO should report to the Public Service Board on continuity arrangements and risks.	GAVO – PP&I Team to arrange
Offer	2	Service areas are advised to have early discussions on engagement with PP&I Team for advice and support	Service Managers – report writers
	3	Members are asked to have an overview of the level of engagement in reports for decisions and challenge where this is not sufficient	All Members
	4	People and Business Change to remind all service areas of the engagement offer and support available to them to ensure engagement remains a year round cycle	Head of People and Business Change PP&I Team
Good Practice / New methods	5	Corporate Management Team to include engagement as a regular agenda item	Head of People and Business Change
	6	Performance measures for engagement should be included in corporate monitoring e.g. National Survey for Wales	Head of People and Business Change
	7	Ensure that good practice is identified and shared within the Council and between partners	PP&I Team

	8	Explore options for an online consultation and engagement database and consultation work plan.	PP&I Team
Communications / Message	9	The Committee gives further consideration to the role of elected members in public engagement	OSMC
	10	Bus Wifi should include feedback to respondents	PP&I Team
	11	A pre-proposals stage budget engagement exercise be carried out for 2019/20 to broaden the reach and inform medium term financial planning. This exercise will continue next year (after the formal budget consultation ends) which will be the basis for year round engagement on the budget.	Head of People and Business Change
	12	More attention and challenge is given to the wording and language used in budget proposals so that they are clear, and understandable.	Head of Finance, Head of People and Business Change and Head of Law and Regulation.

Appendix 1

Examples of engagement methods used in other Councils

Budget Simulators – Scrutiny recommended the consideration of alternative methods of engaging with the public with specific reference to budget simulators, as used in other local authorities. Such a simulator was used by Newport City Council in 2014 with very limited success in terms of the number of hits and completed budgets (a balanced budget is submitted by an individual so that their proposed spending priorities can be assessed).   As part of this review we looked at other authorities use of simulators and similarly found that they achieve a low level of usable engagement, particularly given that they typically cost upwards of £6,000 a year. We found that Rhondda Cynon Taff Council's budget simulator used for 2018/19 achieved   . At an estimated cost of £6,000 this equates to around £60 per view. We would consider this to be an unjustifiably high costs particularly in the context of identifying cost savings. It is possible that the move from desktop/Laptop PC's towards mobile devices as one of the main means of communication and engagement has limited the appeal of budget simulators which tend to suit larger screen PC type devices. It is becoming increasingly important to keep up with changing technological trends when planning public engagement and communication as older methods become less effective.

For instance it should be noted that the LGA has recently stopped providing it's free to use budget simulator, which is the version we used in Newport in 2014, the reason being that few Councils were deciding to repeat budget simulator exercises and few new Councils were coming forward. Budget Simulators are however very powerful in conveying the difficulties and constraints of balancing council finances, albeit to a relatively small number of people and at a cost.

Short films on budget engagement, key strategies etc – a number of other local authorities have, in recent years, used short films, often animations, to convey their financial situations and to promote budget consultation and engagement. A similar short video was used by this Council to publicly consult and promote the Wellbeing Plan in the last 18 months. The feedback we received was positive however there are production costs and there have been around 450 views to date, although the video will remain relevant for several years from now. Budget videos are often only relevant for a single financial year, and as a result can be relatively high cost per view.

Social Media – Other Local Authorities have used social media platforms for engagement on the budget and other matters. This includes both recorded messages e.g. explaining the financial context and promoting consultation or live two-way channels with executive members, or chief officers. Other council's have also used social media platforms like Facebook to 'drip-feed' surveys, question by question, over a period of time.

Incentives to participate in consultations – Some Councils e.g. Bridgend are encouraging residents to respond to their budget consultation with the opportunity to win prizes

e.g. Those 13 and over who complete the survey have the opportunity to be entered into a free prize draw to win one of the following:

- a family of four ticket for Maesteg Town Hall's pantomime on 12 January 2019
- a family of four ticket for Grand Pavilion, Porthcawl's pantomime, on 15 or 16 December 2018
- a one year leisure membership

Prizes might be a more cost effective method to raise response rates than more expensive technologies e.g. budget simulators, budget challenge films.

Greater use of in-house spatial data/customer insight expertise – the Council has a strong level of expertise in spatial data/customer engagement expertise in the Newport Intelligence Hub. Discussions are underway in how they can better support engagement work. For example by using customer insight to inform a recruitment campaign to increase citizens panel membership and broaden its demographic profile.

Appendix 2

Have your say

Some of the key activities we do as a Council:	How important is each activity to you? (Scale of 1-10, 1 least important , 10 most important)
1. Improve the educational achievement of all pupils	
2. Support pupils with special educational needs and disabilities	
3. Support older people to live independently in their own homes	
4. Support people with caring responsibilities	
5. Support people with mental health conditions	
6. Protect children and support them to remain safely with their families	
7. Support housing needs e.g. homelessness, housing for vulnerable people	
8. Encourage regeneration of the city centre and surrounding areas	
9. Support community regeneration to help people into employment	
10. Provide youth services & children's play schemes	
11. Provide libraries, museum, arts and heritage services	
12. Maintaining roads e.g. repairs to roads/walking routes, winter maintenance	
13. Keep open spaces clean, tidy and well maintained	
14. Ensure there is effective public transport and a sustainable travel network e.g. walking/cycling and low emissions transport	
15. Increase recycling and sustainable waste management	
16. Maintain an effective refuse collection system	
17. Promote tourism and visitor events and market the city	
18. Reduce crime and anti-social behaviour by working with partner agencies	
19. Ensure people in our communities get on well together e.g. tackling hate crime, violent extremism	

| 20. Improve digital services for the public and businesses e.g. access to public Wi-Fi and high speed internet | |

Additional Information

This information will be used for anonymous monitoring

a.	**What gender are you?**					
	Male		Female		Prefer not to say	

b.	**How old are you?**

c.	**What area of the city do you live in?**

d.	**Do you consider yourself as disabled?**					
	Yes		No		Prefer not to say	

e.	**What is your ethnic group?**

Appendix 3

List of engagement work supported by Policy, Partnership and Involvement Team completed since January 2017

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Date	Subject	Client	Source
January 2017	NCC Budget 2017-18 – Budget Proposals	People & Business Change	Online SNAP Survey
	Welsh Language Strategy 2017-22	People & Business Change	Online SNAP Survey
	Pill Community Safety Survey	People & Business Change	Online SNAP Survey
	Assessment of Local Well-being	People & Business Change	Online SNAP Survey
	Children & Young Person's Well-being Assessment	People & Business Change	Online SNAP Survey
	Schools Accessibility Survey	Education	Online SNAP Survey
February 2017	Community Transport	Adult & Community Services	Involve Newport Citizens Panel
	Perception of Newport / Safety in Newport	People & Business Change	Involve Newport Citizens Panel
	Customer Services Satisfaction Survey	City Services	Online SNAP Survey
March 2017	Community Resilience Survey	City Services / People & Business Change	Online SNAP Survey
April 2017	One Newport Partnership Evaluation 2017	People & Business Change	Online SNAP Survey
	Employee Survey 2017	People & Business Change	Online SNAP Survey
	Questionnaire for Employers	Adult & Community Services	Online SNAP Survey
May 2017	Explore Newport Market	Law & Regulation	Involve Newport Citizens Panel
	Newport Transporter Bridge	Regeneration, Investment & Housing	Involve Newport Citizens Panel
	NCC – Evening & Night Time Economy	Law & Regulation	Involve Newport Citizens Panel
	Aspire Project Questionnaire 16-24 year olds	People & Business Change	Online SNAP Survey

July 2017	NCC – Evening & Night Time Economy	Law & Regulation	Online SNAP Survey
	Employee Survey 2017	People & Business Change	Online SNAP Survey
August 2017	Perception of Newport / Safety in Newport	People & Business Change	Involve Newport Citizens Panel
September 2017	Perception of Newport	People & Business Change	Bus Wi-Fi
	NCC Active Travel IMN Survey	City Services	Online SNAP Survey
October 2017	Safety in Newport	People & Business Change	Bus Wi-Fi
	Pill Community Safety Survey 2017-18	People & Business Change	Online SNAP Survey
	Staff Conference 2017	People & Business Change	Online SNAP Survey
November 2017	St Pauls Walk Events	Regeneration, Investment & Housing	Bus Wi-Fi
	Customer Services Satisfaction Survey	City Services	Online SNAP Survey
December 2017	Welsh Education Demand Survey	Education	Online SNAP Survey
January 2018	PSPO Consultation	Law & Regulation	Online SNAP Survey
	Budget 2018-19 Awareness	People & Business Change	Bus Wi-Fi
	Nurseries Project Post Implementation Evaluation	Education	Online SNAP Survey
	School Admissions Survey	Education	Online SNAP Survey
	NCC Budget 2018-19 – Budget Proposals	People & Business Change	Online SNAP Survey
	Newport's Well-being Plan 2018-23	People & Business Change	Online SNAP Survey
	City Centre PSPO Consultation 2018	Law & Regulation	Online SNAP Survey
	Maesglas PSPO Consultation	Law & Regulation	Online SNAP Survey
February 2018	Support Service for People Aged 55+	Adult & Community Services	Involve Newport Citizens Panel
	Perception of Newport / Safety in Newport	People & Business Change	Involve Newport Citizens Panel
	Caerleon Lodge Hill Primary Pupil & Staff Survey	Education	Online SNAP Survey

March 2018	Citizens Panel	People & Business Change	Bus Wi-Fi
	Customer Services Satisfaction Survey	City Services	Online SNAP Survey
April 2018	Care & Support Survey	Adult & Community Services	Online SNAP Survey
May 2018	Consultation & Engagement Activities	People & Business Change	Involve Newport Citizens Panel
	City Centre Masterplan – Have Your Say	Regeneration, Investment & Housing	Involve Newport Citizens Panel
June 2018	Employee Survey 2018	People & Business Change	Online SNAP Survey
	Rights of Way Improvement Plan Review	City Services	Online SNAP Survey
July 2018	Consultation & Engagement	People & Business Change	Bus Wi-Fi
	Period Poverty for Staff and Pupils	Education / People & Business Change	Online SNAP Survey
	Schools Accessibility Survey	Education	Online SNAP Survey
August 2018	Perception of Newport / Safety in Newport	People & Business Change	Involve Newport Citizens Panel
September 2018	CRM	City Services	Bus Wi-Fi
October 2018	Recycling Survey	City Services	Bus Wi-Fi
	HMO Licensing Review	Law & Regulation	Online SNAP Survey
	Community Use Survey	Education	Online SNAP Survey
	CRM Survey	City Services	Online SNAP Survey

Scrutiny Report

Overview and Scrutiny Management Committee

Part 1

Date: 15 November 2018

Subject   Annual Information Risk Report 2017/18

Author   Scrutiny Adviser

The following people have been invited to attend for this item:

Invitee:	Area / Role / Subject
Rhys Cornwall	**Head of People and Business Change**
Mark Bleazard	**Information Development Manager**

Section A – Committee Guidance and Recommendations

1   Recommendations to the Committee

The Committee is asked to consider the Annual Information Risk Report 2017/18 attached as **Appendix 1** and provide comments for consideration by the Cabinet Member.

2   Context

Background

2.1   Local Authorities collect, store, process, share and dispose of a vast amount of information in accordance with their duties under the Data Protection Act and other legislation. The Council must meet its statutory responsibilities effectively and protect the personal information it holds throughout its life cycle; from creation through storage; use, retention, archiving and deletion. The principle of using and securing data is outlined in the Digital Strategy.

2.2   The Information Commissioner's Office (ICO) currently has the power to fine organisations up to £500,000 for data breaches to ensure organisations take this responsibility seriously. In May 2018, the EU General Data Protection Regulation enables much higher fines of 20 Million Euros or 4% of turnover.

2.3   The purpose of the Council's Annual Information Risk Report is to provide an assessment of the information governance arrangements for the Council as outlined in the Information Risk Management Policy and identify where further action is required to address weaknesses and make improvements.

2.4   The actions outlined in the attached report form part of the People and Business Change
       Service Plan further detail incorporated in the Digital and Information Team Annual Business
       Plan. Information risk is also considered in the Corporate Risk Management Strategy and
       Register.

2.5   The Overview and Scrutiny Management Committee has this opportunity to comment on the
       draft Annual Information Risk Report and the Council's information governance
       arrangements.

3   Information Submitted to the Committee

Appendix 1 – Annual Information Risk Report 2017-18

4.   Suggested Areas of Focus

Role of the Committee

> **The role of the Committee in considering the report is to consider:**
>
> - The robustness of control measures and management arrangements;
>
> - The Reduction in the number of incidents and not of major significance, the lowest
>   number recorded in the five year period since the risk report has been produced and
>   no incidents reported to the Information Commissioner's Office this year;
>
> - Resilience of action to remedy incidents such as the ransomware attack this year and
>   previous breaches;
>
> - The Action plan included for on-going compliance and protection for the future and
>   whether the planned actions are sufficient to mitigate any risks identified.

Section B – Supporting Information

5   Supporting Information

5.1   The 2016 -17 Annual Information Risk Report was presented to Scrutiny Committee on 26 July
       2017 by the Head of People and Business Change when it was explained that it was not a
       mandatory report required by Regulators but good practice and provide scrutiny the opportunity
       to see how the Council was managing information .

       The Committee raised the following issues:

       - The Committee requested the figures on how many staff in all areas of the Council have
         been on / scheduled to undertake training, and were advised that 699 have been trained
         corporately. The Committee were advised that there was a comprehensive action plan for
         Social Services with a bespoke training for staff, and that this would be prioritised.

       - Members discussed the use of Egress; and Members were advised that training was in
         progress.

- Councillor attendance at training was discussed, and the Committee were advised that there had been two training sessions with 32 Councillors having attended in total. It was noted that further training sessions could be arranged if requested. The Committee queried whether the outcomes of learning from training sessions were tested, and were advised that this was not done as a matter of course for any internal training sessions.

- Members queried whether there was evidence of Local Authorities being specifically targeted for cybercrimes, and if there have been any fines given for data breaches. It was unclear if these attacks were at random or if they were co-ordinated, from email addresses being cloned. Officers also advised that the Authority was in a good position following the attack last year, and assured Members that the Council was taking appropriate preventative measures, but that the key was not to be complacent.

- With regard to securing information when sending via email, Members were advised that Egress was the system used by the Council. Other Authorities were using systems such as drop box to share sensitive information without using the email system.

- In relation to data management, there was no reference within the report to how data is reproduced from obsolete technology, and whether there was a method to audit this data.

- Members asked who was responsible for school data. Members were advised that Education are responsible for their own data, that training was offered and delivered where needed, however there were not sufficient resources to provide direct support.

- In relation data on old technology, data was migrated from older system to the newer system, with the majority of paper files are either converted electronically or archived. There were also regulations governing how long certain data needed to be kept for, Members agreed that this information should be contained within the report.

- More serious threats, such a terrorism and ransomware were discussed. The Head of People and Business change advised that all IT staff were certificated in data protection and that the Council was reasonably confident on its current position, although again it was highlighted that the key was not to become complacent. Terrorism hacking risks were a reasonably low risk, as Council's were not high targets in the wider context in terms of the value of the information that could be obtained. Random, untargeted attacks were easier to defend against, and the Authority was in as good a position as others to prevent these sorts of breaches.

- Business continuity in the event of cyber-attacks was discussed, with specific mention to how Education would fare with them being on a separate network. Members were advised that worst case scenario would be similar to what happened with the Council last year with the breach, whereby within hours the virus was isolated, networks were closed down with everything on the networking being recoverable from the previous days back up. Members were also advised that tests are routinely carried out by high tech companies against day to day threats, and at least once a year IT have a health check to try to find vulnerabilities with networks.

- In relation to improvements to existing infrastructure and the migration of backups from tape to disk, it was clarified that this would be implemented over a number of months and that data replication will be tested.

- Members queried how the establishment of Shared Resources Service (SRS) had impacted on the information risk, and were advised that the main difference was the Blaenavon Offices were more set up for modern IT systems making it more secure, compared with Civic Offices. A disaster recovery system is being looked into which would further reduce risk.

6 Links to Council Policies and Priorities

- The Council's Information Risk Management Policy sets out the Council's approach to information risk management including roles and responsibilities. The policy also details the processes in place to manage information risks effectively, including the Annual Information Risk Report.

  The Digital Strategy, approved by Cabinet October 2015 sets the overall direction for the management of information, and information governance is also considered in the Annual Governance Statement produced for the inclusion in the Council's Annual Statement of Accounts and reported to Audit Committee.

  The Annual Information Risk report has strong links to the modernising Council supporting function which supports the Corporate Plan Commitments and Well-being Objectives;

Well-being Objectives	Promote economic growth and regeneration whilst protecting the environment	Improve skills, educational outcomes & employment opportunities	Enable people to be healthy, independent & resilient	Build cohesive & sustainable communities
Corporate Plan Commitments	Thriving City	Aspirational People		Resilient Communities
Supporting Function	Modernised Council			

7 Wellbeing of Future Generation (Wales) Act

5 Ways of Working

- Does the report demonstrate how as an authority we are working in accordance with the sustainable development principles from the act:

  o **Long Term**

  The importance of balancing short-term needs with the need to safeguard the ability to also meet long-term needs

  o **Prevention**

  How acting to prevent problems occurring or getting worse may help public bodies meet their objectives

  o **Integration**

  Considering how the public body's well-being objectives may impact upon each of the well-being goals, on their other objectives, or on the objectives of other public bodies

  o **Collaboration**

  Acting in collaboration with any other person (or different parts of the body itself) that could help the body to meet its well-being objectives

  o **Involvement**

  The importance of involving people with an interest in achieving the well-being goals, and ensuring that those people reflect the diversity of the area which the body serves.

8. Background Papers

- Overview and Scrutiny Management Committee – 26 July 2018
- Digital Strategy 2015 - 2020
- The Essentials - Wellbeing of Future Generation Act (Wales)
- Corporate Plan 2017-2022

Report Completed: November 2018

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Annual Information Risk Report 2017/18

Created by	Information Governance
Date	09/04/2018
Reviewed by	
Date	

Document Control

Version	Date	Author	Notes / changes
V0.1	09/04/18	Mark Bleazard	Initial draft based on previous report
V0.2	17/04/18	Mark Bleazard	Updated draft for Information Governance Group
V0.3	30/04/18	Mark Bleazard	Further updates including FOI performance
V0.4	17/07/18	Tariq Slaoui	Review following Information Governance Group meeting
V0.5	28/09/18	Mark Bleazard	Updates on PSN for Cabinet Member briefing

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Executive Summary

The council has a statutory requirement to look after the data it holds in line with the Data Protection Act. From May 2018 this will requirement will be aligned to General Data Protection Regulation (GDPR) across the European Union. During 2017/18, the Information Commissioner's Office (ICO) has the power to fine organisations up to £500,000 for data breaches to ensure organisations take this responsibility seriously. **From May 2018, EU General Data Protection Regulation enables much higher fines of 20 Million Euros or 4% of turnover.**

This is the sixth Annual Information Risk Report which provides an assessment of the information governance arrangements for the Council as outlined in the Information Risk Management Policy. The report highlights:

- Accreditation and audit
    - Public Services Network (PSN) accreditation. There have been some delays as a result of scheduling the annual IT Health Check. At time of publication we are awaiting the result of re-submission
    - **As a result of EU General Data Protection Regulation, the council has carried out a large amount of work to comply with the new Data Protection Act 2018.** Work is on-going to improve openness and transparency to customers including:-
        - Awareness raising within the organisation especially for senior managers, general guidance in staff bulletins and amended staff training course
        - Incident Reporting – The Information Security Incident Reporting Policy has been amended and published, to align us with the requirements of GDPR
        - Individuals Rights – Individuals rights are being strengthened under GDPR and this is reflected in privacy notices published
        - Data Protection Officer role formally agreed to fit in duties of Digital Services Manager role
        - Subject Access Request procedure amended and £10 fee removed
    - Progress made on Payment Card Industry (PCI) data security standard but further work to ensure compliance with the latest PCI standards
    - Wales Audit Office – progress on disaster recovery/business continuity detailed in Business Continuity section
- Information Governance culture and organisation
    - Now a partner of the Shared Resource Service (SRS) which results in need to develop and maintain a key strategic and operational relationship with SRS. SRS represented on Information Governance Group
    - Information Asset Register needs to be extended in line with GDPR to document information processing activities
- Communications and Awareness Raising
    - Continue to raise awareness with staff and Members
    - **Highest ever number of staff trained in a year by the organisation as a result of additional Social Services training**
    - **Training for Members now planned for Autumn 2018**
    - Review of policies carried out including changes to the Information Security Incident Reporting Policy in line with GDPR
    - E-learning revised and re-published

- Information Risk Register
  - Continues to be maintained
  - Contribution to Annual Governance Statement
- Security incidents
  - **A further reduction in incidents which represents a new low of incidents recorded**
  - On-going management of incidents
  - One incident reported to the Information Commissioner's Office (ICO) during 17/18. This was investigated and closed by ICO with no formal action taken against the council
- Information Sharing
  - Development of Information Sharing Protocols (ISP's) continues along with Data Disclosure Agreements (DDA's)
- Business Continuity
  - As a result of previous guidance from the Wales Audit Office, the council is part way through a large project to improve business continuity. To date, new hardware has been set up with the migration of backups of key systems from tape to disk.
- Technology Solutions
  - As a result of our partnership with the Shared Resource Service, the council will pursue options for collaboration and simplification wherever practical.
  - Egress Data Loss Prevention facility enabled.
  - Xerox Mail "hybrid mail" system continues to be rolled out to streamline the production of paper and electronic outputs.
- Records Management
  - Resource issues slowed progress with the ongoing implementation of the corporate Electronic Document Management System (EDMS) across services. This resource issue has now been resolved and further progress is expected over the forthcoming year.
  - Some capacity issues for Modern Records facility being addressed
- Freedom of Information
  - Met target for year
  - **First reduction in the number of requests received since records began in 2011**
  - Publication of open data sets where appropriate
  - **Gender pay gap information published for the first time**
- Subject Access Requests
  - Subject Access Request procedure amended and £10 fee removed

1. Background and Purpose

As a local authority we collect, store, process, share and dispose of a vast amount of information as part of our duties under the existing Data Protection Act (1998) and other legislation. General Data Protection Regulation (GDPR) requirements, as a result of EU legislation are more stringent with enhanced rights for citizens and this will place a greater responsibility on the council. The council must continue to meet its statutory responsibilities effectively and **protect the personal information it holds throughout its life cycle;** from creation through storage, use, retention, archiving and deletion. A key focus of GDPR is for organisations to be more clear and transparent about what data is being processed and how. This is designed to give citizens confidence that their data is being handled appropriately. The principle of using and securing data is outlined in the Digital Strategy. Data is a valuable organisational asset and a key development is the creation of the Newport Intelligence Hub. This team, developed from the existing Spatial Data team is designed to maximise the value of data to the organisation, especially for use in operational, tactical and strategic decision making by the organisation. This requires processing of information in line with GDPR.

The actions outlined in this report form part of the People and Business Change service plan and further detail incorporated in the Digital team annual business plan. Information Risk is also considered in the Corporate Risk Management Strategy and Register.

1.1.   Purpose of the Report and Benefits

The purpose of this report is to provide an assessment of the information governance arrangements for the council and identify where action is required to address weaknesses and make improvements.

The benefits of this report are as follows:-

- Provide an overview of the council's information governance arrangements

- Highlight the importance of information governance to the organisation, the risks faced and the current level of risk

- Where relevant this report will compare performance with previous years and with the aim of continuous improvement

- This is the sixth Annual Information Risk Report. Last year's report referenced a five year position. This report focuses on the last year only.

- Identify and address weaknesses and develop an action plan

- Reduce the risk of failing to protect personal data and any subsequent reputational and financial penalties. At the time of writing, the Information Commissioners Office (ICO) can issue a fine of up to £500,000 for data breaches. As detailed last year, the fines associated with General Data Protection Regulation (GDPR) come in to place on 25th May 2018 at which point the maximum fine is 20 Million Euros or 4% of turnover. In cases where data breaches are referred to the ICO, its investigations highlight the importance of effective governance arrangements to reduce risks

- Ensure that appropriate risks are escalated to the Corporate Risk Register

2. Current Position

This part of the report identifies the council's current position in relation to information governance; this includes a number of external compliance requirements. In 2015 the Digital Strategy was developed which highlights the importance of effective information management and data sharing with robust information security to protect business and citizen data from threats, loss or misuse.

2.1.   Compliance and Audit

The council is subject to accreditation to the Public Services Network (PSN) by the Cabinet Office. The council is also required to comply with the Payment Card Industry Data Security Standards (PCI-DSS) when it handles card payments for customers. In addition, the council is subject to audit from the Wales Audit Office to ensure appropriate information governance is in place.

Public Services Network (PSN) compliance

In line with PSN requirements, an annual IT Health Check was undertaken with an approved contractor. As a result of some scheduling issues, there was delay in undertaking the Annual IT Health Check. Following the original draft of this report, a PSN submission was made in May 2018. This submission was rejected by the Cabinet Office due to some outstanding vulnerabilities identified in the Remediation Action Plan. These vulnerabilities were prioritised by the IT Service and the majority are now completed. At the time of publication a resubmission has been made to the Cabinet Office and we are awaiting the outcome. There are always challenges to compliance given the variety of risks and work is required throughout the year to protect the council's data and systems. Risks around cyber security have increased and this is a challenge to all organisations whether public or private sector. The council is committed to continued compliance with PSN standards.

General Data Protection Regulation (GDPR)

General Data Protection Regulation (GDPR) is a regulation by which the European Parliament, the European Council and the European Commission strengthens and unifies data protection for individuals within the European Union (EU). GDPR applies in the UK from 25 May 2018. As well as greater responsibilities on data controllers the theme is to be more open and transparent to citizens in terms of how their data is processed.

There are major implications as a result of GDPR and this is a standard agenda item for the Information Governance Group.

A summary of some of the changes are detailed below:

- The maximum fine is 20 Million Euros or 4% of turnover
- Greater requirement to document the personal data held
- Data breach reporting will become mandatory for certain data breaches
- Enhanced rights for data subjects including improved privacy notices and increased focus on consent that must be unambiguous and not assumed
- Specific guidance relating to children and their rights
- Requirement to establish legal basis for sharing beyond "legitimate interests"

- The removal of maximum fee for Subject Access Requests and reduction in days to process (from 40 calendar days down to 30)
- Requirement for Data Protection Impact Assessments
- Requirement for Data Protection Officer
- Further consideration of data stored outside the EU

A GDPR Task and Finish group was established with representation from each service area. With the assistance of the group, Newport City Council has made progress in the following areas;

- Awareness raising – The task and finish group has ensured that GDPR is the subject of discussion at the various service area management meetings. The Information Management team has attended service area management meetings to provide specialist input, including a meeting of the heads of secondary schools in Newport. An intranet presence has been set up and content uploaded. E-bulletins have been issued to provide corporate updates.
- Communicating Privacy Information – The task and finish group have undertaken a forms audit to understand what types of personal data we are collecting from individuals and to establish a lawful basis for processing this data. Under GDPR, Newport City Council will need to demonstrate proactively to individuals, how we are processing their data. A draft Corporate Privacy Notice has been created and published to allow us to be more accountable and transparent about this.
- Consent – The rules around consent have been significantly strengthened under GDPR. A consent checklist has been drawn up to assist mangers/service areas who rely on consent as the lawful basis for processing personal data.
- Data Protection Impact Assessments – DPIA's are now mandatory for new technology implementations and projects that involve systematic monitoring of individuals and/or the large scale processing of special category data. It is envisaged that the Customer Relationship Management and Civil Parking Enforcement projects will require a DPIA, but the screening process will ultimately determine this.
- Incident Reporting – The Information Security Incident Reporting Policy has been amended and published, to align us with the requirements of GDPR. As noted above, the maximum fine is now 20 Million Euros or 4% of turnover and there is a specific requirement to notify the ICO of significant breaches within 72 hours. In certain circumstances, there will be a requirement to notify data subjects of breaches of their data.
- The Information We Hold – The accountability principle states that we should document the data that we hold along with records of processing activities. Newport City Council already manages an Information Asset Register which is based upon the systems that have been identified as a priority. The task and finish group is currently working to expand this register to other areas of the authority, and to include paper records.
- Individuals Rights – Individuals rights are being strengthened under GDPR and this will be reflected in the [privacy notices published](#) (see above). We have amended and published our Subject Access Request procedure, to align us with the requirements of GDPR. The discretionary £10 fee has been removed and we have formally reduced the amount of time that we have to process a request, from 40 calendar days, down to 1 month.
- Data Processor Responsibilities – Data Processors (organisations who process personal data on our behalf/contractors) will have further obligations under GDPR, and we need to include these obligations within our contracts with them. We have held discussions with the procurement team and the legal team to implement new contract clauses from 25th May 2018 and we are looking to communicate the changes in the law to existing contractors.

- Staff Training – The existing Information Security Training has been updated to cover all aspects of GDPR. An on-line version of the training will be created to cover any shortfall in training requirements.

Payment Card Industry Data Security Standards (PCI-DSS)

The council was previously compliant with Payment Security Industry (PCI) Data Security Standards. A previous audit carried out in conjunction with the internal audit team identified issues to be addressed. This action plan is not yet complete and this is currently being pursued by the SRS with the Information Management team. Accordingly, the council's PCI compliance has lapsed to ensure these issues are formally resolved to meet PCI requirements. Security scans continue to be carried out quarterly to ensure card data is secure when it is transmitted across the internet to the council's payment providers. No issues have been addressed by these scans which mitigates the risk of current non-compliance.

Wales Audit Office (WAO)

The Wales Audit Office (WAO) carries out audits annually which involve IT and Information Governance. The WAO visited to review a number of items in May 2016. One key area of improvement expected is to the council's business continuity and disaster recovery plans. Phase 1 of the project is complete but phase 2 now needs to be carried out by the Shared Resource Service (SRS). Information on the improvements being made are detailed further in the Business Continuity section of this report. Wales Audit Office is planning a 'Digital Risk Diagnostic' with the council with dates to be scheduled. This will provide an important external view of digital services.

2.2.   Information Governance Culture and Organisation

On 1st April 2017, the council formally became a partner of the Shared Resource Service (SRS) as detailed further below. This is a major organisational change that affects governance for the council. The client side role sits within the Digital team and this relationship has developed since joining the partnership.

Information Governance Culture

The information governance culture has previously been investigated by virtue of staff surveys. These demonstrated good staff awareness of information governance issues and good buy in. Consideration will be given to a further survey to staff.

Organisation

The council's Senior Information Risk Owner (SIRO) role, responsible for Data Protection within the organisation, is part of the Head of Law and Regulation role. Day to day operational management is provided by the Information Management team that reports to the Head of People and Business Change. In line with requirements for GDPR, options are being considered for the role of Data Protection Officer which will be incorporated in to an existing job role as appropriate.

Data Protection Officer Role

Under General Data Protection Regulation (see section above) the council needs to specify its Data Protection Officer. Following a review of possible options this role was agreed to fit within the duties of the existing Digital Services Manager post. This has been formally agreed by the organisation and the Information Commissioner's Office (ICO) informed accordingly.

Shared Resource Service (SRS) - The IT Service became a partner in the Shared Resource Service (SRS) on 1/4/17. As well as Newport City Council the SRS is made up of Torfaen County Borough Council, Monmouthshire County Council, Blaenau Gwent County Borough Council and Gwent Police. This represents a significant organisational change in the delivery of IT services. There is SRS representation on the council's Information Governance Group as well as other groups such as the council's Digital Board. The client side role is managed by the Digital team and this important relationship in service delivery as well as information governance will develop over time. Specific Governance arrangements are in place for the SRS including a Strategic Board, Finance and Governance Board and a Business and Collaboration Board.

Councillor Data Protection

Following guidance from the ICO, all councillors were registered as data controllers under the Data Protection Act. This is specifically for processing personal data in their advocacy role. Councillors will be registered every year on this basis.

Information Asset Register - the development of an Information Asset Register, based on a template from The National Archives was completed for priority systems during 2016/17. This identifies the owner of information, the information stored within the system, how this is shared and various other pieces of information. This is being extended to meet the requirements of General Data Protection Regulation (GDPR) as detailed elsewhere in the report.

An important aim of this report is to ensure that members and senior officers are aware of the information security responsibilities of the council and to enable guidance to be provided. Council elections took place in May 2017 and there were a number of changes to members as a result. The annual risk report represents a useful opportunity for the Scrutiny Committee for Community Planning and Development to comment and make suggestions for scrutiny of the past year's performance and improvements going forward. This has been beneficial in shaping the actions going forward.

The Information Governance Group meets quarterly chaired by the Strategic Director – Place. This ensures that there is no conflict of interests of the operational lead for information governance also being the chair of this group. Strategic information governance issues are discussed by this group with standard agenda items that includes GDPR Membership of the group includes representation from the Shared Resource Service (SRS) which will be a major contributor to this work.

Schools are "data controllers" under the Data Protection Act and therefore need to be equipped to handle data appropriately. Guidance is provided to schools by staff in Education and Information Management. School representation was provided on the GDPR task and finish group.

1.1. Communications and Awareness Raising

Employees are often the weakest link in terms of preventing incidents. The information security incidents section reflects this and technical measures will never be totally effective. Awareness for employees is vitally important and this is generally achieved via staff training together with other forms of communication to improve awareness.

Staff Guidance

Regular reminders of good practice have been provided in the weekly staff bulletin and on the intranet on various important subjects including GDPR.

An information security leaflet is provided to all staff attending training and is provided to other staff as necessary. The team regularly assess information from the Information Commissioner's Office (ICO) to ensure that key messages are communicated to employees including good and bad practice.

Training Courses

The council continues to provide classroom style training to staff to provide the most interaction possible and improved learning experience. This complements e-learning required to be completed by new starters. The content had minor updates to reflect events and keep it relevant. A major revision of the training content is planned to reflect GDPR (see further details within this report). The courses run are:-

- Social Services courses
- Corporate courses
- Councillor courses
- Schools courses
- Other courses and presentations
- Information Management team training
- E-learning

Training courses represent a continued commitment to information security by the council. Training is a key area as people are generally considered the weakest link in relation to information security. There will never be totally comprehensive technical measures to protect data. Training provided to staff is a key part of investigations carried out by the Information Commissioner's Office (ICO) as highlighted in the 'Security Incidents' section below. **Attendance on classroom training courses this year is the highest ever completed by the organisation with a particular focus on Social Services staff** as detailed below.

Social Services Courses

Social Services employees continue to represent a high risk group due to the nature of the information they handle as part of their roles and training is compulsory for these staff. There has been a particular emphasis on Social Services training following a serious incident reported to the Information Commissioner's Office (ICO) in 2015/16.Prioritisation of staff training has been carried out and additional courses were run to meet these demands. In 2017/18 the number of staff attending was 237 compared with 144 in 2016/17. **This is the highest number of Social Services staff trained in a single year.**

A breakdown per year is included below.

Year	Number of staff who attended
2017/18	237
2016/17	144
2015/16	147
2014/15	182
2013/14	226

Feedback from staff attending courses is gathered for each training course held and continues to be positive.

Corporate Courses

These courses are scheduled on a monthly basis, primarily for staff other than Social Services although the content of courses was consolidated in 2015/16. The number of staff attending the corporate course was 114 compared with 118 in 2016/17. Attendance has been consistent over a number of years. Senior managers continue to be targeted and checks on attendance will continue.

Year	Number of staff who attended
2017/18	114
2016/17	118
2015/16	114
2014/15	152
2013/14	93
2012/13	57

Feedback from staff attending courses is gathered for each training course held and continues to be positive.

Councillor Courses

No Councillor training took place this year although training has been carried out previously. All councillors, like all council staff, need to undertake mandatory e-learning before they are provided with access to the council's network. As detailed elsewhere in this report, all Councillors have been registered as data controllers under the Data Protection Act based on the processing they carry out in their advocacy role for constituents. Following discussion it was agreed that councillor training sessions be arranged probably in Autumn 2018.

Schools Courses

No specific information security courses for schools were run during 2017/18.Schools have been engaged with in relation to GDPR including representation on the task and finish group. Specific awareness raising sessions on GDOR were held with Primary and Secondary Head Teachers.

Other Courses and Presentations

For consistency and operational purposes staff are encouraged to attend standard corporate course where possible. Accordingly no other courses were run during the year.

Information Management Team Training

As a result of a vacancy both existing members of the Information Management team hold the British Computer Society (BCS) Certificate in Data Protection. One of the team attended a BCS conversion course for GDPR. Following recruitment it is anticipated that the new staff member will attend a BCS GDPR course.

E-Learning

All staff that need access to the council's computer network are required to undertake e-learning before they can access the network and this e-learning was revised during the year. This provides staff with an appreciation of their obligations in conjunction with a signed form to request access and agree to abide by the council's guidance. The e-learning is also published on the intranet as reference to staff and as a refresher.

Information Policy Development

Policies form an invaluable way of documenting legal requirements and best practice. They provide guidance for employees to ensure information governance is integrated into the way the council operates. As well as developing new policies, it is also necessary that existing policies are updated to ensure that they remain fit for purpose, including any changes as a result of the partnership with the Shared Resource Service (SRS). Staff are reminded of these policies where appropriate.

Updated policies

To ensure the Information Security Incident Reporting Policy reflects changes required for GDPR (see elsewhere in the report) this policy has been reviewed and updated accordingly. Policies are also reviewed generally to ensure that they are still valid and up to date.

Staff are made aware of policy changes with reminders through the regular staff bulletin. All policies use 'key messages' for ease of understanding and are published as part of the overarching Information and IT Security Policy and on the Council's intranet, with appropriate version control.

2.4. Information Risk Register

An information risk register is maintained that identifies key information risks, their likelihood, impact and the measures in place to mitigate the risk. The risk register is regularly shared with the Information Governance Group to keep them informed of risks and is maintained by the Information Management team. The biggest risk identified is that of cyber security as the global threats have increased. Following guidance from central government staff guidance has been provided.

Information risks are considered as part of the council's Annual Governance Statement and the Corporate Risk Register. The Chief Internal Auditor is a member of the Information Governance Group which helps to join up services. As above cyber security is considered one of the highest risks currently. High level information risks may be escalated up in to the Corporate Risk Register. Currently no information risks are identified as high level risks in the corporate reports. The control strategies for information risk are detailed within this report.

2.5. Information Security Incidents

All information security incidents are reported, logged and investigated. Information security incidents range from lost phones/other devices, password issues all the way to data breaches where data is lost or passed to the incorrect recipient. Lessons need to be learned from these incidents to improve practice in future to minimise the risk of recurrence. In line with GDPR, serious incidents that meet certain criteria must be communicated to the ICO within 72 hours and data subjects informed without delay.

34 security incidents were recorded in 2017/18 compared with 43 in the previous year. This is the lowest number of recorded incidents during the period that the information risk report has been produced. It is difficult to establish whether this reflects an improved position or a reduced level of reporting. Previous consistency over the number of incidents would suggest that the reduced number of incidents is a positive sign.

Details of reported incidents over previous years are provided below:-

Year	Total incidents	Disclosed in Error	Lost or Stolen Hardware	Lost or Stolen Paperwork	Non secure disposal – paperwork	Other - non principle 7 incident	Other - principle 7 (security of personal information) incident	Technical security failing
2017/18	34	18	6	4	0	0	4	2
2016/17	43	25	5	0	0	1	8	4
2015/16	62	23	12	2	0	9	11	5
2014/15	66	14	23	0	2	18	0	9
2013/14	64	14	9	6	1	8	4	22
2012/13	63	No split by category available						

Analysis by category is always to some extent subjective as incidents could easily be categorised in more than one category. Therefore, these categories should be seen as indicative only.

As usual, the majority of security incidents were not of major significance. Some of the themes which are similar to previous years are as follows:-

- Incidents arising as result of procedures not being followed correctly – human error
- E-mails sent to the incorrect recipient or including information that that shouldn't have been included
- Paper documents sent to the incorrect recipient or including information that that shouldn't have been included
- Lost mobile devices (with no personal data so low risk)
- Some personal printed information left on printers internally

The increased used of the corporate Electronic Document Management System (EDMS) and the further roll out of the Xerox Mail solution will continue to reduce the amount of paper handled and reduce the potential for mail errors.

The most significant incident during this year was one where old paper records where accidentally left in a property that was sold. These paper records were found by the new owner who notified the council. These records were collected from the new owner and stored/destroyed appropriately. The quantity of paper records and the type of information contained it were significant enough for this to be reported to the ICO. This incident was reviewed internally by the Information Management team with the service concerned and improvements made as a result. The ICO investigated the incident thoroughly and ultimately too no action against the council. Preventative measures taken and a comprehensive response to questions raised by the ICO were important factors in this decision making process.

All information security incidents are investigated with incident reports compiled following discussion with those involved in the incident. An overview is also reported to the SIRO and Information Governance Group.

2.6. Information Sharing

Partnership and collaborative working drives sharing of increased amounts of information between the council and other organisations. The Wales Accord on the Sharing of Personal Information (WASPI) requires public sector organisations to follow agreed guidance in the development of Information Sharing Protocols (ISP's). The council signed up to WASPI in January 2011. The Information Management team leads on this work and has developed a number of ISP's with services and other organisations. Documentation for WASPI is being reviewed by the WASPI Team in NWIS to ensure that it is appropriate for GDPR. A full list of the Council's ISPs is published on the Intranet. The following represents developments in 2017/18:

Information Sharing Protocols (ISP's)

The Flying Start ISP went through the formal quality assurance process so is now complete. No Information Sharing Protocols have been completed and quality assured during this year.

Data Disclosure Agreements (DDA's)

Data Disclosure Agreements (DDA's) are for one way disclosure of information from one organisation to another. These are recommended as part of the WASPI initiative and are seen as best practice for formalising such information disclosure.

Data Disclosure agreements have been developed as follows:-

Finalised DDA's in 2017/18:
Primary school to secondary school data transfer
Primary school and Assessment Foundation
WCCIS system for system go live

2.7. Business Continuity

There is an ever increasing reliance on digital technology to support business activities and it is therefore important to maximise the availability of systems. Increased resilience was a factor in the decision to join the Shared Resource Service (SRS).

As a result of previous guidance from the Wales Audit Office, the council is part way through a large project to improve business continuity. To date, new hardware has been set up with the migration of backups of key systems from tape to disk. The next phase is to provide access to systems should both server rooms at the Civic Centre not be available. This is being progressed by the SRS.

1.1. Technology Solutions

A number of technical solutions are in place to minimise risk to information and the corporate network generally. PSN and PCI compliance together with the development of business continuity requirements continue to drive technical improvements for information governance. Wales Audit Office annually review the controls applied to key financial systems (also reported to Audit Committee).   As a result of our partnership with the Shared Resource Service, the council will pursue options for collaboration and simplification wherever practical.

Microsoft Office 365
The council plans to move to Microsoft Office 365 to provide improved collaborative, agile working facilities and information security.

Digital Champions
The council has approximately 50 "Digital Champions" who are advocates for the use of digital technology. They provide a key contact point for services using digital technology. They are one method of communicating messages to staff and also for testing the application of new systems.

Mobility solution
The use of a mobility solution has been rolled out for agile workers. This has improved the ability for users to access their information whilst away from their usual place of work. Staff are able to work from anywhere where a wireless network is available, as if they were sat at their desk, which also reduces the requirement to carry paper documents. A security update to the solution has been rolled out.

Secure/Large File transfer solution
The roll out of the Egress Switch has now been completed with 2,590 users currently. This enables the secure transfer of e-mails and associated documents to organisations and individuals without secure e-mail facilities. The solution provides the ability to restrict access to specific documents and audit access to the information provided. It also allows large files to be safely shared via email. The solution has enhanced Data Loss Prevention (DLP) facilities to scan e-mail for personal data. These facilities were made live during the year which prompts users to encrypt e-mail if they include certain pieces of sensitive data. In line with the implementation of Egress Switch generally, the council will remove personal network storage for staff wherever possible.

Identity Management
Microsoft Forefront Identity Management (FIM) software has been rolled out to enable users to reset network passwords themselves.

Xerox Mail "hybrid mail"

A new "hybrid mail" system continues to be rolled out to streamline the production of paper and electronic outputs. This enables documents to be sent to production printers in the print room and then processed through the mail room folder/inserter machine. This improves security by ensuring that print outputs are split in to envelopes automatically in the folder/inserter machine. The system needs to be rolled out to other parts of the organisation to maximise the benefits to the council. This solution provides financial savings and reduces information risk.

Desktop technology

The council has increased the percentage of laptops as part of its total number of computers used. This is to encourage more flexible and agile working with access to information and records from a variety of locations. Laptops continue to represent about 65% of all devices.

Laptops and desktop PCs

- All corporate laptops are protected using an end point protection solution
  - Encryption solution is used
  - A solution for schools laptops is under review
- Devices managed using Active Directory group policy management
- Mobile VPN for secure flexible and remote working as above
- All desktop PC's are protected using an end point protection solution
- Storage on networked home drives is recommended
- Unified Communications telephony solution has been deployed to 2200 desktop users across the council and including voicemail and the ability to access telephony from non council locations.

Multi-Function Devices

- 'Follow Me' print is available to all users, who are able to access Council printers from any location. A new Multi-Function Device (printer/copier) contract was rolled out during this year with increased security features together with enhanced scanning facilities to drive the move to digital.

Remote Access Solutions

The council's secure VPN (Virtual Private Network) solution is used by ad-hoc agile workers and suppliers to identify and resolve issues with systems which they support. Supplier accounts are disabled when not in use and they need to ring IT before they are given access. All users needing access have to be authorised and are issued with a token for two-factor authentication, a small number of suppliers who may be required to support IT systems outside IT hours are also issued with a token.

Firewalls

Corporate firewall appliances are in place to protect the council's network from untrusted networks and a separate firewall protects the PSN network.

Wireless Staff Access

Wireless Access points are provided in many council buildings. This includes appropriate security controls in place. Improvement to this infrastructure are planned for 2018/19.

Wireless Public Access

Wireless public access is provided in select council locations and this is protected using appropriate security measures where users can create logins for a limited period. Public Wi-Fi is also now available as part of the 'Digital Newport' work in the city centre (Newport City Connect) 52 public buildings and on public transport (NewportCommunityCloud). Friendly Wi-Fi accreditation has been achieved for this set up.

Physical Security

Major buildings (Civic Centre and Information Station) are limited to staff with physical access tokens and alarmed outside of opening hours. As detailed in the physical access policy:

- IT facilities must be located in secure areas protected from unauthorised access
- Any visitors to IT and Information secure areas must be signed in and accompanied at all times
- Computer rooms are subject to additional security measures to protect them from unauthorised access, damage and interference.

The policy and Building Access policy also require staff to display identity badges at all times.

Digital and Technology Developments

The council's Digital Strategy outlines strategic objectives including a move to more 'cloud' based technologies.   There are inherent risks in this change, with other organisations effectively holding the council's data. There will be on-going work to ensure that appropriate controls are in place.

Financial Systems

Wales Audit Office annually review the controls applied to key financial systems (reported to Audit Committee)

2.8.   Records Management

Resource issues slowed progress with the ongoing implementation of the corporate Electronic Document Management System (EDMS) across services. This resource issue has now been resolved and further progress is expected over the forthcoming year. This will include major updates to the system for both Social Services and corporate systems. EDMS provides the council with a modern, efficient, electronic system for managing documents, improving the way information and documents are used and the flow of information around the council. Documents are scanned on receipt into the mail room, and made available to services in the EDMS system.

There have been capacity issues with the council's Modern Records facility at the Civic Centre as a result of building moves. Additional space has been developed to provide further capacity. Options are being considered for the digitisation of some of the paperwork to provide alternative uses for the existing space.

2.9.   Freedom of Information and Subject Access Requests

As a public authority, the Council also handles requests for information and data. There are risks associated with responding to Freedom of Information and Subject Access requests. With Freedom of Information requests, care should be taken not to include any personal information as part of responses, for instance when sending out spread sheets that might originally include personal data.

Freedom of Information

This is the fourth time that the number of Freedom of Information (FOI) requests has been included. The number of requests received in 2017/18 was 1037 which is the first reduction in request numbers since records began in 2011/12. This represents 50 less requests than last year, a reduction of 4.6%. It is difficult to draw any firm conclusions as there is always an amount of variation, but it is believed that the proactive publication of data has had a positive effect by reducing the number of requests to some extent. Analysis shows less requests than 2016-17 for 6 out of 8 Service Areas with significantly more requests for Regeneration, Investment and Housing. Further analysis is required to understand any specific themes. Performance for 2017/18 was 88.3% of requests responded to within 20 working days. This was above the target of 88% of requests.

The previous year there were issues in certain areas of the council and performance in these areas have now improved. This year's performance was as a result of an increasing number of requests received and specific issues in certain areas of the council. During this year 194 of the requests were received via the online form.

A breakdown per year is included below.

Year	Number of requests	Performance (Target)
2017/18	1037	88.3% (88%)
2016/17	1087	84.1% (88%)
2015/16	914	92.3% (87%)
2014/15	895	87.7% (87%)
2013/14	869	87.1% (87%)
2012/13	698	90.4% (87%)
2011/12	540	84.4% (87%)

The existing system for managing FOI requests has been extended for a further year with options being considered for future years.

Publishing data

Government and ICO guidance encourage the publication of data as good practice for public bodies and this is referenced in the ICO model publication scheme as part of our commitment to openness and transparency. The transparency page was developed to improve signposting of council data.

This page includes:-
- Council spend over £500
- Councillor allowances and expenses
- Business rates data
- Public health funerals
- Council pay and grading including gender pay gap information (new)
- Pupil numbers in Newport
- Newport Matters production costs

Gender pay gap information has been added this year following new regulation. Further appropriate data sets will be added as they are identified. This data is free to re-use under the terms of the Open Government Licence.

Subject Access Requests

Subject Access Requests (SAR's) are requests for personal information requested by the data subject and care needs to be given to ensure that personal information relating to other data subjects is removed. General Data Protection Regulation means that there will be no fee chargeable from May 2018 and this fee was removed in March 2018 in preparation for the new legislation. The personal information request form used to identify specific subject areas for requests as well as gathering details of the requestor was amended to reflect the removal of any fee. It is crucial to gather proof of identity so personal data is not disclosed to a third part accidentally.

3. Risk Management and Associated Action Plan

As highlighted above the organisation has carried out a comprehensive programme over 2017/18 including particular emphasis on General Data Protection Regulation (GDPR). GDPR means that organisations need to be clearer and more transparent about how they process data. Organisations need to get a better understanding of what data they hold and the legal basis for the processing. Citizens are also provided with enhanced rights. Information risks change regularly and it is important to monitor these and take appropriate steps to mitigate. Whilst it is not anticipated that excessive fines will be issues to organisations by the ICO, the theoretical maximum fine is now 20 Millions Euros.

Maintaining compliance with Public Services Network and Payment Card Industry standards is challenging. This work is now dependent on the SRS to resolve on behalf of the council in conjunction with the Information Management team. Wales Audit Office will continue to provide an independent review of practice and a digital review is planned in early 2018.

The Information Commissioner's Office (ICO) took no action against the council as a result of the incident referred to the ICO by the council. Incidents continue to be investigated when they arise to respond to the incident effectively and learn lessons to minimise the likelihood of re-occurrence.

The Information Governance Group continues its important work of monitoring risk across services and providing strategic direction with representation form the Shared Resource Service (SRS) and this will require a different method of operation. The SRS client side role has been developed and this is recognised as an important area to meet the digital needs of the council as an SRS partner organisation. The aim is for improvements in information security across all partners by a simplified and standardised infrastructure where possible and plans are being developed by the SRS to this end.

The council maintains a strong commitment to information governance as demonstrated by the organisation and activities detailed within this report.

3.1.   Risk Management

Risk	Impact of Risk if it occurs* (H/M/L)	Probability of risk occurring (H/M/L)	What is the Council doing or what has it done to avoid the risk or reduce its effect	Who is responsible for dealing with the risk?
Staff unaware of information risks and data breach occurs	H	L	Staff awareness raising especially around GDPR Provision of information security training Intranet content and staff bulletins Development of new policies and update of existing ones	Digital Services Manager (DSM) in conjunction with Information Management team
PSN (Public Services Network) accreditation not gained	H	L	Progress resolution of vulnerabilities identified by IT health check Evidence information governance arrangements as detailed in this document Extension of Information Asset Register and improved governance arrangements Continued engagement with Members	Digital Services Manager (DSM) in conjunction with in conjunction with SRS
Delivery of IT Service by Shared Resource Service (SRS) provides less control	M	M	Develop relationship with the SRS Develop client side role to provide strategic input and performance monitoring	Digital Services Manager (DSM) in conjunction with Head of PBC / SRS management
Unprepared to implement EU General Data Protection Regulations	M	M	Staff Awareness raising especially senior management Task and Finish Group creation and management Regular discussion at Information Governance Group	Digital Services Manager (DSM) in conjunction with Head of PBC / SRS management
PCI- DSS (Payment Card Industry Data Security Standards) compliance not achieved	M	M	Complete actions identified in audit report Resubmission of self-assessment questionnaire and successful compliance achieved Continue technical scanning service to ensure no technical concerns	Digital Services Manager (DSM) in conjunction with in conjunction with SRS
Technical Solutions are not available to meet the needs of service	H	L	Egress Data Loss Prevention (DLP) system rolled out Continued roll out of Xerox Mail solution Encrypted laptop devices New Multi-Function Devices	Digital And Information Manager (DAIM) in conjunction with

delivery and data breach occurs			(printer/copier) has increased security features Data stored on servers and not on local devices unless encrypted Review solutions, identify and plug any gaps Maintain health check and compliance requirements Review the security of cloud based technical solutions considered	Information Management team
Information is not shared appropriately and securely	H	L	Development of new Information Sharing Protocols and Data Disclosure Agreements and review of existing ones Advice and guidance	Digital Services Manager (DSM) in conjunction with Information Management team
Critical IT systems are not available to services	H	L	Continue to review and refine priorities for critical IT systems Implement disaster recovery/business continuity improvements at Shared Resource Service (SRS) Work with SRS to develop consistent IT system priorities across partners where possible	SRS in conjunction with Digital Services Manager and services
Information security is not considered for new projects	M	L	Extend the implementation of Data Protection Impact Assessments Use ICO process including screening	Digital Services Manager in conjunction with services

3.2   Action Plan

Action	Deadline
Compliance and Audit	
PSN accreditation	
Follow up on Remediation Action Plan to ensure PSN compliance	Sep 18
EU General Data Protection Regulation (GDPR)	
Review Information Commissioner's Officer guidance on GDPR	On-going
GDPR to be discussed as standard item at Information Governance Group	On-going
Review legal basis for data processing	On-going
Information Asset Register to be extended	Dec 18
Finalise priority privacy notices for the organisation	Nov 18
Develop Data Protection Policy based on existing Information and IT Security Policy together with the corporate privacy notice	Mar 19
Conduct Data Protection Impact Assessments (DPIA's) where necessary	On-going
DPIA for new CRM system	Dec 18
DPIA for Office 365	Nov 18
PCI accreditation	
Payment Card Industry Data Security Standard actions as a result of audit to follow prioritised PSN work	Mar 19
Information Governance Culture and Organisation	
Develop and manage relationships with Shared Resource Service (SRS)	On-going
Contribute to information governance considerations across all SRS partners	On-going
Quarterly meetings of the Information Governance Group to oversee information risk management in conjunction with other stakeholders including Shared Resource Services representation	On-going
SIRO and Cabinet Member to be briefed on relevant information governance issues	On-going
Agree post to undertake Data Protection Officer (DPO) duties	May 18
Members updated through Annual Information Risk Management Report, including review by Scrutiny Committee	Nov 18
Communications and Awareness Raising	
Regular information security training sessions corporately and for Social Services including additional monthly courses to meet demand	On-going
Target senior managers for information security training.	On-going
Provide regular reminders and checks on attendance corporately and in Social Services	On-going
Information security training courses for councillors to be provided	Nov 18
Further policies and guidance will be developed to support the organisation	On-going
Existing policies and guidance will be reviewed and updated including reference to the information risk register to identify gaps in identified risk and supporting policies.	On-going
Provide advice and guidance to support schools with the Education service.	On-going
Information Risk Register	
Management of the information risk register	On-going
Information Security Incidents	
Investigation of security incidents and identification of issues to be followed up	On-going
Information Sharing	
Further Information Sharing Protocols will be developed to support collaborative working	On-going
Review existing Information Sharing Protocols	On-going
Develop additional Data Disclosure Agreements as required	On-going

Business Continuity	
Complete disaster recovery/business continuity improvements following previous WAO review.	Mar 19
Work with Shared Resource Service to consider alignment of priority systems across partners	Mar 19
Technology Solutions	
As a result of our partnership with the Shared Resource Service, the council will pursue options for collaboration and simplification wherever practical.	On-going
Roll out of Office 365	Dec 18
Reduce access to cloud based personal network storage systems for staff	On-going
Extend use of Xerox Mail solution to improve mail distribution processes	On-going
Consider options and controls required for cloud-based systems	On-going
Review technical solutions to ensure they meet information governance needs	On-going
Consider the need for new technical solutions to address weaknesses	On-going
Records Management	
Continued roll out of EDMS solution across council	On-going
Review options for Modern Records and storage	On-going
Freedom of Information and Subject Access Requests	
Freedom Of Information	
Publication of further open data for suitable data sets	On-going
Identify and procure a new FOI system if required	Dec 18
Subject Access Requests	
Review Subject Access Request processes in line with GDPR	Mar 18
Extend use of EDMS solution for redaction of Subject Access Requests	Mar 18
Extend use of FOI request system for managing Subject Access Requests	Mar 18
New projects	
Carry out Data Protection Impact Assessment for relevant projects in conjunction with GDPR requirements	On-going

Agenda Item 8

Scrutiny Report

Overview and Scrutiny Management Committee

Part 1

Date: 15 November 2018

Subject   Scrutiny Adviser Reports

Author   Scrutiny Adviser

The following people have been invited to attend for this item:

Invitee:	Role
Liz Blayney – Scrutiny and Governance Manager	**Present the Committee with the Scrutiny Adviser Reports for discussion and update the Committee on any changes.**

Section A – Committee Guidance and Recommendations

1   Recommendations to the Committee

The Committee is asked to:

Committee's Work Programme:
1.1   Consider the Committee's Forward Work Programme (Appendix 1):

Action Plan
1.2   Consider the Action Plan from the meeting on 20 September 2018 (Appendix 2);

Scrutiny letters and responses
1.3   Consider the responses to the letters sent by the Chair on behalf of the Committee (**Appendix 3**);

2   Context

Background

2.1   The purpose of a forward work programme is to help ensure Councillors achieve organisation and focus in the undertaking of enquiries through the Overview and Scrutiny function. Effective work programming is essential to ensure that the work of Overview and Scrutiny makes a positive impact upon the Council's delivery of services.

2.2   Further information about the work programming process, including the procedures for referring new business to the programme, can be found in our Scrutiny Handbook on the Council's Scrutiny webpages (www.newport.gov.uk/scrutiny).

2.3   The Centre for Public Scrutiny's Good Scrutiny Guide recognises the importance of the forward
       work programme. In order to 'lead and own the process', it states that Councillors should have
       ownership of their Committee's work programme, and be involved in developing, monitoring and
       evaluating it. The Good Scrutiny Guide also states that, in order to make an impact, the scrutiny
       workload should be co-ordinated and integrated into corporate processes, to ensure that it
       contributes to the delivery of corporate objectives, and that work can be undertaken in a timely
       and well-planned manner.

Forward Work Programme Updates

2.4   The Committee's work programme was set in June 2018, including estimated timescales for
       when the reports will be considered by the Committee. This programme is then managed and
       implemented by the designated Scrutiny Adviser for this Committee under the direction of the
       Committee Chairperson.

2.5   The Committee agreed to keep a degree of flexibility within its work programme to enable the
       Committee to respond to urgent / emerging issues. This item is an opportunity for the Committee
       members to raise any suggested additions to the work programme.

Action Sheet – 20 September 2018

2.7   Attached at **Appendix 2** is the action sheet from the Committee meeting on 20 September 2018.
       The responses to completed actions are included in the table.

2.8   For the actions that do not have a response – these will be included on the action sheet at the
       next meeting to ensure that the Committee can keep track of outstanding actions.

Scrutiny letters and responses

2.6   The Scrutiny Committee received a response from the Leader of the Council relating to the letter
       sent after the meeting of 26 July 2018 (**Appendix 3**).

3   Information Submitted to the Committee

3.1   The following information is attached:

Appendix 1:   The current Committee forward work programme;
Appendix 2:   Action Sheet – 20 September 2018 Committee meeting;
Appendix 3:   Scrutiny letters and responses

4.   Suggested Areas of Focus

Role of the Committee

The role of the Committee in considering the report is to:

- **Forward Work Programme**
  Consider:
    - Are there any amendments to the topics scheduled to be considered at the next Committee meeting?
    - Are there any additional invitees that the Committee requires to fully consider the topic?
    - Is there any additional information that the Committee would like to request?

- **Action Sheet** – 20 September Meeting
  Consider:
    - The responses to the actions from the meeting;
    - Are you satisfied that you have received the necessary information?
    - Are there any further issues arising from the responses that you would like to raise?
    - For the actions that do not have responses – these actions will be rolled over to the next meeting and reported back to the Committee.

- **Scrutiny letters and response**
  Consider:
    - Are you satisfied with the response to the letter?
    - Does the response require further action from the Committee?

Section B – Supporting Information

5   Supporting Information

5.1   The Corporate Assessment, and the subsequent follow up assessment provide background information on the importance of good work programming. Specific reference is made to the need to align the Cabinet and Scrutiny work programmes to ensure the value of the Scrutiny Function is maximised.

5.2   The latest Cabinet work programme was approved by the Cabinet on a monthly basis for the next 12 months and includes the list of reports scheduled for consideration. Effective forward planning by both Cabinet and Scrutiny needs to be coordinated and integrated in relation to certain reports to ensure proper consultation takes place before a decision is taken. A link to the Cabinet work programme is provided here to the Committee as part of this report, to enable the Committee to ensure that the work programmes continue to reflect key decisions being made by the Cabinet.

6   Risk

6.1   If proper work programming procedures are not put in place, the organisation and prioritisation of the work programme is put at risk. The work of Overview and Scrutiny could become disjointed from the work of the rest of the Council, which could undermine the positive contribution Overview and Scrutiny makes to service improvement through policy development.

6.2   This report is presented to each Committee every month in order to mitigate that risk. The specific risks associated with individual topics on the work programme will need to be addressed as part of the Committee's investigations.

7   Links to Council Policies and Priorities

7.1   Having proper work programming procedures in place ensures that the work of Overview and Scrutiny makes a positive impact upon the Council's delivery of services, contributes to the delivery of corporate objectives, and ensures that work can be undertaken in a timely and well-planned manner.

6   Financial Implications

6.1   There will be financial consequences for some of the reviews undertaken. These will be commented upon by the Head of Finance as the reports are presented. The preparing and monitoring of the work programme is done by existing staff for which budget provision is available.

7   Background Papers

- The Essentials - Wellbeing of Future Generation Act (Wales)
- Corporate Plan
- Cabinet Work Programme
- The Corporate Assessment and follow up assessment.

Report Completed: November 2018

Thursday 20 December 2018 (ADDITIONAL MEETING) at 10am		
Topic	**Role / Information required**	**Invitees**
Corporate Plan – Recommendations Monitoring	To consider how effectively the Committee's recommendations made in relation to the Corporate Plan have been implemented. Update from the Chief Executive on the implementation of the recommendations.	- Councillor Wilcox, Leader - Will Godfrey, Chief Executive - James Harris – Strategic Director – People - Bev Owen, Strategic Director - Place
Thursday, 7 March 2019		
Topic	**Role / Information required**	**Invitees**
Annual Corporate Safeguarding Report	To consider how the Council is carrying out its corporate safeguarding responsibilities and make comment or recommendations to Cabinet. It is best practice for the annual Corporate Safeguarding to receive comments and recommendations from Scrutiny before going to Cabinet.	- James Harris – Strategic Director – People - Sally Ann Jenkins – Head of Children and Young Peoples Services
Performance Management Strategy – Recommendations Monitoring	To consider how effectively the Committee's recommendations made in relation to the Performance Management Strategy have been implemented. Update from the Head of People and Business Change on the implementation of the recommendations.	- Rhys Cornwall – Head of People and Business Change

Thursday, 31 January 2019		
Topic	**Role / Information required**	**Invitees**
Draft Budget Proposals 2019/2020	To receive the comments and recommendations made by the other Scrutiny Committees, and question the Officers on any issues with Budget Process and Public Engagement. Make recommendations to the Cabinet relating to the Budget Process and Public Engagement Confirm the final list of comments to be forwarded to the Cabinet for information	- Meirion Rushworth - Head of Finance; - Rhys Cornwall – Head of People & Business Change - Cllr D Williams – Chairperson of the Performance Scrutiny Committee – People; - Cllr C Evans – Chairperson of the Performance Scrutiny Committee – Place & Corporate.

	Agenda Item	Service area / Performance measure	Action	Responsibility	Outcome
1	Wales Audit Office – 'Scrutiny Fit for Future?'	**Law and Regulation**	Establish ways of improving communication between Scrutiny and the Executive	Democracy and Communications Manager	These recommendations have been noted and actions to address this issue being looked into. An update on this will be provided in as part of the Mid-year review of the Scrutiny Annual report.
2			Look at ways of synchronising the Scrutiny and Cabinet Forward Work Programme	Democracy and Communications Manager	
3			Develop Scrutiny specific training for the Executive	Democracy and Communications Manager	
4			Look at improved methods of holding the Executive to account	Democracy and Communications Manager	
			Provide a Scrutiny training resource based on 'test cases'	Scrutiny and Governance Manager	This request has been noted, and will be discussed with the Scrutiny Chairs.
6		**People and Business Change**	Improve ways of providing Scrutiny with better comparable data from previous years and other Local Authorities	Head of People and Business Change	This has been forwarded to the relevant officers to be considered for future reporting. .
7		**Law and Regulation**	Refer to the PSC – Place and Corporate to look into the £400,000 overspend on a traveller site	Scrutiny Adviser	Completed
8	Forward Work Programme Update	**Scrutiny**	The Committee **approved** the report and the items to be considered during the next two meetings.	Scrutiny Adviser	Work programme updated.

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Councillor John Guy
Chair
Overview and Scrutiny Management Committee
Newport City Council
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16 October 2018

Dear Councillor Guy

Thank you very much for your letter dated 22 September 2018 detailing recommendations from the Overview and Scrutiny Management Committee regarding public engagement. As you know, ensuring that the public have the opportunity to engage in decisions that affect the services that they value is incredibly important to the Cabinet. Whilst I feel we have made significant progress I do recognise that we have some way to go with this agenda.

Officers have undertaken a comprehensive review of engagement across the Council and will be reporting back to the Committee in due course. I believe that the recommendations contained within that report provide answers to the questions you pose. However, below I have provided an additional response to each of your three questions.

<u>OSMC Recommendations</u>

1. Make necessary plans to put in place arrangements to ensure that the public consultation of the budget proposals begins as early as possible this year.

Response

When and how we consult on budget proposals is somewhat constrained by the timing of the final budget allocation from Welsh Government, which tends to be towards the end of December. I have, however, asked officers to undertake a 'pre-budget' engagement exercise to gather views of the public on a range of services. This work has already begun and will continue through the autumn.

We will of course, wherever possible, undertake early engagement and consultation on proposals when able.

2. Consider and plan how the Council will move up the Hierarchy of Engagement, and monitor the progress towards implementing this. The Committee considers that involving the public in the budget saving process was a key priority for developing how it engages with the public.

Response

Within the review of engagement, officers have proposed a number of recommendations, which will be presented to the Committee. I think this offers an opportunity for the Committee to provide additional insight and challenge to ensure that the Council is doing all it can to make progress in this area.

3. Establishes and develops relationships with the Universities in Newport, to establish links with relevant students who may be interested in undertaking research on behalf of the Council as part of their degree programmes.

Response

Thank you very much for this suggestion. I have asked officers to look into this potential opportunity and to report back in due course.

Yours sincerely

Cynghorydd / Councillor Debbie Wilcox
Arweinydd / Leader
Cyngor Dinas Casnewydd / Newport City Council