Report

Audit Committee

Part 1

Date: 26th March 2015

Item No: 5

Subject	**Monitoring Regulatory Reports**
Purpose	To provide Audit Committee with information about the regulatory reports that have been received by the Authority and the arrangements to follow up on any recommendations made.
Author	Hannah Brayford, Project Manager
Ward	All
Summary	This report details all of the regulatory reports that have been received by the authority from our main regulators, Wales Audit Office (WAO), Care and Social Services Inspectorate Wales (CSSIW) and Estyn.

Each of the regulatory reports contains recommendations or proposals on areas of service delivery where the authority can make improvements. It is important that the authority take note of these proposals and make plans to implement the findings and to monitor the progress of the plans |
| **Proposal** | 1. To note the contents of the report.
2. To receive a further update in September 2015 |
| **Action by** | Heads of Service |
| **Timetable** | Immediate |

This report was prepared after consultation with:

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

Signed

Background

This report builds on the information provided to the Audit Committee on 19th September 2013 and 21st November 2013, and 27th March 2014. Earlier reports contain details of regulatory reports that have been received by the authority since April 2011. However for ease of reading this report only includes details for 2013 onwards. Review from our main regulators are included, Wales Audit Office (WAO), Care and Social Services Inspectorate Wales (CSSIW), Estyn and more recently, Her Majesty's Inspectorate of Probation (HMIP)

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New Information for this report

- The authority have received the CSSIW Annual Review and Evaluation of Performance and this was considered by Scrutiny and Cabinet in February 2015. The balanced report highlighted areas for development and improvement alongside areas of good practice within social services and identified five areas for follow up by CSSIW in the next year.

- A Certificate of Compliance issued by the WAO after an audit of the Improvement Plan 14/15 was considered by Cabinet in November 2014.

- Upcoming reviews include Information Governance, Adult Services, and an Estyn review of Regional School Improvement Services

Monitoring WAO proposals for Improvement and recommendations

To date, the monitoring of the proposals for improvement made by WAO are reported to Cabinet, whereas the monitoring arrangements for CSSIW and Estyn reports are through Scrutiny. Progress monitoring reports for the WAO proposals for improvement are reported to Cabinet on a quarterly basis. These quarterly reports to Cabinet include updates of the open Proposals for improvement and the recommendations arising from the Corporate Assessment.
The latest update on the Proposals for Improvement is included in appendix 2

Links to the Cabinet papers can be found below:
Cabinet 18th February 2013 (page 37 onwards)
http://www.newport.gov.uk/stellent/groups/public/documents/report/cont708062.pdf
Cabinet 10th June 2013 (page 39 onwards)
http://www.newport.gov.uk/stellent/groups/public/documents/report/cont712323.pdf
Cabinet Report 9th September 2013 (page 39 onwards)
http://www.newport.gov.uk/stellent/groups/public/documents/report/cont715496.pdf
Cabinet Report 11th November 2013 (page 41 onwards)
http://www.newport.gov.uk/stellent/groups/public/documents/report/cont718090.pdf
Cabinet Report 17th March 2014 (page 42 onwards)
http://www.newport.gov.uk/stellent/groups/public/documents/report/cont722104.pdf
Cabinet Report 9th June 2014 (page 62 onwards)
http://www.newport.gov.uk/stellent/groups/public/documents/report/cont724223.pdf
Cabinet Report 8th September 2014 (page 42 onwards)
http://www.newport.gov.uk/stellent/groups/public/documents/report/cont727364.pdf
Cabinet Report 8th December 2014 (page 44 onwards)
http://www.newport.gov.uk/stellent/groups/public/documents/report/cont730383.pdf
Cabinet Report 16th March 2015 (page 46 onwards)
http://www.newport.gov.uk/stellent/groups/public/documents/report/cont733719.pdf

WAO Local Studies

WAO Undertake a programme of work at the council about our local arrangements. The findings of the performance work are published in two letters to the council and the data quality review report. Local Studies currently underway are:

- Corporate Assessment Review
- Gwent Frailty Follow up

WAO National Studies

In addition to the local work that WAO undertaken at the council they also carry out a number of national studies each year on various topics. The outcomes of these studies are to identify trends across Wales and to identify best practice. We have been asked to participate in the following National Studies over the next few months.

- Value for money study on early termination and severance payments
- Gwent wide review – Social Services, managing the financial challenges
- All Wales Local Government Improvement Study: Independence of Older People
- All Wales Local Government Improvement Study: Delivering with Less: Leisure Services

Roles and Responsibilities

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

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

- 'Whole Authority' reports are those that cover the governance of the authority or the whole scope of the regulator. Examples of this would be the Corporate Assessment, Improvement Letters, Estyn Inspection of Local Authority Services, and the CSSIW Annual Review and Evaluation of Performance. These reports will be considered by Cabinet and final reports will generally be presented by the regulator that authored the report.
- 'Specific Review' reports are those on a single topic, e.g. Waste Management or Regeneration. These reports will be considered by the relevant Cabinet Member.

Financial Summary

▪ There are no specific financial implications from this report

Risks

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

* Taking account of proposed mitigation measures

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

Options Available
For information

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

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

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

Background Papers
See links in report
'Regulatory Reports Review' Audit Committee (19/09/13)
'Monitoring Regulatory Reports' Audit Committee (21/11/13)

'Monitoring Regulatory Reports' Audit Committee (27/03/14)
'Wales Audit Office: 2014/15 Performance Audit Work and Fees (18/09/14)
'Monitoring Regulatory Reports' Audit Committee (27/11/14)

Dated: 10th March 2015

Appendix One
Details of Regulatory Reports

Key: The following acronyms are used in the table below

LCL Scrutiny	Leisure, Caring and Learning Scrutiny Committee (post May 2012)
CPD Scrutiny	Community Planning and Development Scrutiny (post May 2012)
SRS Scrutiny	Streetscene, Regeneration and Safety Scrutiny Committee (post May 2012)
CFS	Service Area: Children and Family Services
CIS	Service Area: Customer and Information Services
P&T	Service Area: People and Transformation
RRS	Service Area: Regeneration and Regulatory Services
L&S	Service Area: Law and Standards

Education (Estyn Regulatory Reports)

Service Area	Report / Review and date	Reported to	Comments / follow up
Education	Inspection Pupil Referral Unit October 2012 http://www.newport.gov.uk/stellent/groups/public/documents/report/cont710582.pdf (report) http://www.newport.gov.uk/stellent/groups/public/documents/report/cont710585.pdf (Action plan)	LCL Scrutiny 17th April 2013	Action plan appended to the report. Estyn make 7 recommendations for improvement
Education	Pupil Referral Unit Monitoring http://www.newport.gov.uk/stellent/groups/public/documents/report/cont712697.pdf	LCL Scrutiny 12th June 2013	Follow up report by Estyn on the 7 recommendations made in October 2012.
Education	**UPCOMING: Review of regional school improvement services (EAS)**	**LCL Scrutiny**	**Fieldwork for the review was undertaken in mid-November, the conclusions of the review are expected in the Spring.**

Social Services (CSSIW Regulatory Reports)

Service Area	Report / Review and date	Reported to	Comments / follow up
Adults	WAO report on Gwent frailty November 2012 http://www.newport.gov.uk/stellent/groups/public/documents/report/cont709310.pdf	CPD scrutiny 13th March 2013	No specific action plan included as proposals apply to the whole of Gwent. Follow up: Cabinet 9th September and CPD Scrutiny on 23rd October
CFS	Inspection Report for Children and Family Services February 2013 http://www.newport.gov.uk/stellent/groups/public/docum	LCL Scrutiny 12th June 2013	Action plan included in the report

Service Area	Report / Review and date	Reported to	Comments / follow up
	ents/report/cont712699.pdf		
Social Services	CSSIW Annual Review and Evaluation of Performance 2012/13 http://www.newport.gov.uk/stellent/groups/public/documents/report/cont720831.pdf	Cabinet 10th February 2014	CSSIW have identified 12 areas for potential Improvement and Development
Social Services	CSSIW Annual Performance Evaluation Report 2013/14 http://www.newport.gov.uk/stellent/groups/public/documents/report/cont732574.pdf	Cabinet 9th February 2015 LCL Scrutiny 18th February 2015	A CSSIW evaluation of the Annual Report of the Director of Social Services. CSSIW highlight areas for development and improvement, and five areas for follow up during the next year.
CFS	HMI Probation Inspection Full Joint Inspection of Youth Offending Work in Newport	Local Service Board 3rd March 2015	The report contains 12 recommendations and a plan is in place to implement the changes necessary.
CFS	**UPCOMING: WAO review of Safeguarding**	**LCL Scrutiny 15th April 2015**	**The review includes six proposals for Improvement the will be monitored on a quarterly basis alongside the other open proposals for improvement that the authority has received.**
CFS	**UPCOMING: CSSIW National Inspection Safeguarding and Care Planning of looked after children and care leavers, who exhibit vulnerable or risky behaviours**	**LCL Scrutiny 15th April 2015**	
Adults	**UPCOMING: CSSIW Inspection of Adult Social Services**	**Spring 2015**	**Fieldwork to be undertaken at the end of November. Outcomes from the review expected in the Spring**

Other Service Areas and Corporate Reports (WAO Regulatory Reports)

Service Area	Report / Review and date	Reported to	Comments / follow up
ALL	WAO Improvement Assessment Letter 2 December 2012 http://www.newport.gov.uk/stellent/groups/public/documents/report/cont705797.pdf (Cover) http://www.newport.gov.uk/stellent/groups/public/documents/report/cont705798.pdf (Report)	Cabinet 14th January 2013	A further seven proposals for improvement are made in this report. All proposals are included in the quarterly monitoring to Cabinet
RRS	Asset Management August 2012 http://www.newport.gov.uk/stellent/groups/public/documents/report/cont706586.pdf	SRS Scrutiny 21st January 2013	Action plan included in report of January 2013 and proposals are being monitored through the quarterly report to Cabinet.

Service Area	Report / Review and date	Reported to	Comments / follow up
RRS	WAO regeneration http://www.newport.gov.uk/stellent/groups/public/documents/report/cont706588.pdf	SRS Scrutiny 21st January 2013	Action plan included in report of January 2013 and proposals are being monitored through the quarterly report to Cabinet.
ALL	Corporate Assessment September 2013 http://www.newport.gov.uk/stellent/groups/public/documents/report/cont717470.pdf (Cover) http://www.newport.gov.uk/stellent/groups/public/documents/report/cont716631.pdf (Report)	Cabinet 21st October 2013	The report contains 7 proposals for Improvement that are updated in the quarterly monitoring report to Cabinet (November 2013). The report also contains 6 Recommendations. The statement of response can be found on the link below and the Recommendations will be monitored through the next quarterly monitoring report (March 2014) http://www.newport.gov.uk/stellent/groups/public/documents/article/cont717942.pdf
P&T	Review of Transformation Programme http://www.newport.gov.uk/stellent/groups/public/documents/report/cont718071.pdf	Joint Scrutiny Meeting 11th November 2013	WAO Report contains 4 proposals for Improvement and included in the report to scrutiny is an action plan to address these. Monitoring will be undertaken through the quarterly Cabinet report and an update on the action plan will be presented to Scrutiny in November 2014
ALL / L&S	Good Scrutiny? Good Question! Wales Audit Office Scrutiny Improvement Study, Newport City Council Self Evaluation http://www.newport.gov.uk/stellent/groups/public/documents/report/cont718067.pdf	Joint Scrutiny Meeting 11th November 2013	Strengths and weaknesses are discussed in the report and an action plan is also provided
P&T	Review of Neighbourhood Working http://www.newport.gov.uk/stellent/groups/public/documents/report/cont719051.pdf	SRS Scrutiny, 9th December 2013	The report contains 3 proposals for Improvement and an action plan for addressing these. Quarterly monitoring will be undertaken as part of the reports to Cabinet
ALL	WAO Improvement Assessment Letter 2 http://www.newport.gov.uk/stellent/groups/public/documents/report/cont720830.pdf	Cabinet 10th February 2014	Two proposals for improvement will be monitored by the quarterly report to Cabinet
ALL	WAO Certificate of Compliance: Audit of Improvement Plan 14/15 http://www.newport.gov.uk/stellent/groups/public/documents/report/cont729426.pdf	Cabinet 10th November 2014	A certificate was issued to confirm that the authority has complied with the requirements of the Local Government Measure 2009 with regards to Improvement Planning 14/15
P&T	WAO HR Review http://www.newport.gov.uk/stellent/groups/public/docu	CPD Scrutiny 19th November 2014	An update on the progress made towards the recommendation made in the Corporate

Service Area	Report / Review and date	Reported to	Comments / follow up
	ments/report/cont730050.pdf		Assessment. There are no new actions arising from the report
P&T	WAO Whistleblowing http://www.newport.gov.uk/stellent/groups/public/documents/report/cont730049.pdf	CPD Scrutiny 19th November 2014	The WAO contains 6 proposals for improvement and an action plan setting out how improvements will be delivered is also included in the report. The proposals will be updated through the next quarterly monitoring report (March 2015)
ALL	WAO Certificate of Compliance: Annual Review of Performance 13/14	Cabinet 8th December 2014	A certificate was issued to confirm that the authority has complied with the requirements of the Local Government Measure 2009 with regards to its Assessment of Performance 13/14
CIS	**UPCOMING: WAO Information Governance**		
ALL	**UPCOMING: WAO Corporate Assessment Review**		**A follow up of the original Corporate Assessment undertaken in 2013**
ALL	**UPCOMING: WAO Data Quality Review**		**An assessment of the accuracy of the performance data produced by the authority**
FIN	**UPCOMING: WAO Financial Position**		

Appendix Two
Update on Wales Audit Office Proposals for Improvement and Recommendations
(Being reported to Cabinet on 16th March 2015)

Regeneration

Ref	Proposal	Progress update to the end of December 2014	Actions planned next quarter	Expected close down date	Responsible Officer
29	Ensure that its Economic Development Strategy and Master Plan clearly relate to the relevant objectives in the Community Strategy and Improvement Objectives and to each other, to help the Council assess their contribution to its improvement programme and to achieving the Council's strategic priorities.	Preparatory work to put in place a revised economic development / regeneration framework for the city. When implemented this will: - Ensure vitality and viability of the city centre is safeguarded - Increase employment - Fewer empty shops and vacant/derelict buildings - Provide growth within local economy - Increase footfall in city centre and increase level of tourism and use of city as a sporting venue	Work is now underway on a new Regeneration Strategy encompassing the proposed new regeneration model.

This will link to the objectives of the Community Strategy and Improvement programme. An action plan will be produced as part of the new Regeneration Strategy outlining outcomes, targets & milestones. | By close of 2014/15 | Head of Regeneration and Regulatory Services |
30	Prioritise its actions and, against those actions, consistently include more details regarding outcomes, targets, deadlines, resources, milestones, risk factors and mitigating actions, which can be used to monitor progress, measure success and establish improvement.				
31	Strengthen the setting of outcomes and targets for regeneration schemes and projects, and ensure sufficient performance information is available to maintain monitoring and evaluation.				
32	Include more details on time, budget and resources in regeneration documents such as project initiation documents to enable assessment of value and cost effectiveness.				

Letter 2
Considered by Cabinet in January 2013
http://www.newport.gov.uk/stellent/groups/public/documents/report/cont705797.pdf
All proposals superseded by proposals and recommendations made in the Corporate Assessment

Proposals for Improvement from the Corporate Assessment
Considered by Cabinet in October 2013

Ref	Proposal	Progress update to the end of December 2014	Actions planned next quarter	Expected close down date	Responsible Officer
40	The Council should: • develop and implement an appropriate engagement and communication strategy that both communicates the new mission and organisational framework, and also supports cultural changes within the organisation; • ensure that it has in place the people and resources capable of implementing the organisational framework and delivering subsequent service changes; and • engage the Fairness Commission when developing improvement priorities as well as budget proposals.	This has been a particularly active quarter for the council in terms of staff communications and engagement. It is at this time of year the council considers and proposes its annual budget. There has therefore been a concentrated period of both internal and external comms created which was underpinned by the new mission and organisational framework that the council is working to. Many staff will have been directly involved with the budget setting process within their service area. Staff were also invited to provide their challenges and suggestions to the council's budget using Yammer, a closed social media platform. Many staff also live in the Newport boundary, and would have received regular updates through the council's website, press releases and Newport Matters delivered direct to their homes.	This will include weekly ebulletins, staff newsletter, info point noticeboards and intranet. The council will maintain its increased momentum of staff communications, and will work closely with all service areas to make sure key initiatives and changes are communicated in a timely manner to those both directly affected and a wider council audience when appropriate. During this quarter the council is reviewing and refreshing is comms plans for the council's change and efficiency programmes, making sure they reflect any changes coming from the council's agreed budget priorities for the 2015/16 financial year.	Ongoing	Head of People and Transformation / Head of Finance

Ref	Proposal	Progress update to the end of December 2014	Actions planned next quarter	Expected close down date	Responsible Officer
		The council's leadership team has put a renewed focus on its quarterly senior management forum. A revamped agenda and dates well in advance have all helped reach near 100% available attendance at such events. The council has relaunched its values of open, accountable and united to staff, communicating that these were derived from staff preferences. The council has also engaged in a programme to prepare and participate in an Investors in People evaluation. This has included a cross-council working group, staff focus groups and a new desktop display of core council messages. The Chief Executive continues to regularly use the intranet to inform our workforce of the challenges we face, and how we will approach those challenges.			

Ref	Proposal	Progress update to the end of December 2014	Actions planned next quarter	Expected close down date	Responsible Officer
42	Develop a clearer understanding of the collaborative projects taking place across the Council and an agreed and widely communicated approach to the management of collaboration. The approach should help the Council to ensure that collaborations are providing value for money outcomes for Newport's citizens.	Details of collaborations and partnerships are included in the service planning and review process, and through the annual governance statement. A clearer understanding of the councils collaborative activity is now available			
43	Evaluate the new structures of the LSB to ensure that terms of reference are clear, that the groups are inclusive (particularly of third sector and private sector partners), and that roles are not duplicated.	Evaluation consultation period came to an end November 30th 2013. Responses collated and analysed for presentation to LSB Report to be presented to SIP Board February 2014 Partnership Engagement Event held March 2104 Performance Management Framework reviewed and redesigned to simplify processes and ensure accountability and challenge	Recommendations made to the LSB in May 2014 for implementation during 2014-15	**Closed down May 2014**	Head of People and Transformation
44	Clarify timescales for updating and reviewing the Unified Needs Assessment and Single Integrated Plan and develop a communication strategy to ensure wider awareness of these key documents. Ensure that the process for selecting priorities is agreed, clear, transparent and widely communicated.	Consultation and communications events held with officers and wider partnership during March 2014 as part of wider Information plan and to agree priorities Regular newsletters provided on One Newport activities	Quarterly engagement events are being undertaken based on themes from the SIP to ensure continued information exchange with partners (latest held July 2014) Continue the delivery of specific third sector sessions through GAVO UNA process now sits within the framework for development of ward profiles	**Closed down March 2014**	Head of People and Transformation

Ref	Proposal	Progress update to the end of December 2014	Actions planned next quarter	Expected close down date	Responsible Officer
45	Strengthen the LSB's performance management framework to set out: • clearer and more detailed roles and responsibilities on what will be delivered by which organisations; • what performance information will be collected, where and when it will be monitored, and how progress and performance will be monitored; • mechanisms for dealing with underperformance; and • a stronger focus on performance and resource management across the LSB.	The mechanism for dealing with underperformance is firstly the SIP Board within their responsibilities to manage the delivery of the SIP and if this fails it is escalated to the LSB. . One Newport Local Service Board produced the first Annual Report detailing work undertaken during 2013/14 and this was presented to Scrutiny in June 2014 Review of the Performance Management Framework following year 1 of the SIP. This has led to the development of a revised Performance Management Framework. LSB meeting schedule changed so that there is better alignment for performance monitoring arrangements. Tighter processes for Peer Review introduced.	Undertake three engagement events with partners and members in March 2015 to assess progress being made and agree priorities for the coming year. Undertake further evaluation of engagement, systems and processes	This will be on going as part of a culture of continuous improvement.	Head of People and Transformation
46	Maintain the increased momentum of the Neighbourhood Working project and ensure that its planned impact on communities and citizens is achieved.	First Area Partnership meeting held in September 2013 to agree priorities and develop ideas for action plan. Action underway regarding Anti-Social Behaviour, Legal Highs and Family Engagement. All Ward Profiles are complete. Utilisation of lessons learnt within	Pilot project evaluation report will be presented to the SIP Board for further recommendations to LSB and NCC	March 2015	Head of People and Transformation

Ref	Proposal	Progress update to the end of December 2014	Actions planned next quarter	Expected close down date	Responsible Officer
		development of team around the cluster model Report accepted by LSB in November 2014 to acknowledge learning, accept recommendations and close project down. Further work will be taken forward as part of the Team Around the Cluster Project (TAtC), utilising data from the Ward Profiles.			

Proposals for Improvement from the Review of Transformation Programme
June 2013
http://www.newport.gov.uk/stellent/groups/public/documents/report/cont718071.pdf

Ref	Proposal	Progress update to the end of December 2014	Actions planned next quarter	Expected close down date	Responsible Officer
47	**Co-ordinated and strategic approach to change, efficiency and effectiveness** P1 Develop a more strategic, coherent and outcome focused approach to transformation by: establishing a clear strategic vision and aims for what the programme seeks to achieve; ensuring that the programme incorporates all relevant activity needed to support what it is trying to achieve; developing mechanisms to effectively engage with service users and other stakeholders to better understand their needs and using this information to inform the	Completion of "Prospectus for Change" (Change Programme) which details a clear destination and route map for the organisation agreed by cabinet in October 2013. Approval of the 14/15 Council budget and change programme. Review of next iteration of the "Prospectus for Change" (Change Programme) in light of new financial challenge from the Welsh Government. The Change programme encompasses all Council activity including cross cutting and enabling initiatives	The council consider this proposal for Improvement to be complete.	March 2015	Head of People and Transformation

Ref	Proposal	Progress update to the end of December 2014	Actions planned next quarter	Expected close down date	Responsible Officer
	programme; ☐ensuring that the programme provides an effective mechanism to help the Council deliver its priorities and improvements; and ☐ensuring appropriate staff capabilities and capacity to take the programme forward.	Engagement with key internal groups using a variety of social media, direct e-mail contact , websites etc to inform, educate, consult and gain feedback on the new financial challenges faced by the Council and the identification of opportunities for service delivery and closure of the financial gap. The feedback received will be used to develop and enhance the programme, On-going recruitment process for Change Programme and Project Managers from a ring fenced Invest to Save fund designed to cover the programme until 2017. Invest to save fund updated to enable the implementation of the 15/16 Change Programme and the development of initiatives for 2016/17 onwards . Reviewing options for external support for the forward change programme. These are now determined and incorporated into the updated Invest to Save fund. Development and implementation of revised governance, progress monitoring and benefits realisation arrangements. Closer alignment of performance and improvement by the incorporation of performance into			

Ref	Proposal	Progress update to the end of December 2014	Actions planned next quarter	Expected close down date	Responsible Officer
		the Council's Improvement/Change function. On-going delivery of Project Management and Change Management courses across the council. Further development of the "Prospectus for Change" in line with the budget setting process to ensure the revised financial targets are met and the ideas for both internal and external consultation are incorporated into the overall programme. Further development and implementation of Stakeholder engagement at the individual project level and at the programme level to align with the 15/16 budget setting process. Completion of the 2015/16 Change programme and sign off of the 2015/16 MTRP at the Cabinet in February 2015. Implementation of the communication and engagement plan for the development of the 2015/16 Change programme complete.			
48	**Promote greater awareness of the programme**	The consistent terminology to describe the programme is the	The council consider this proposal for Improvement to be complete.	March 2015	Head of People and

Ref	Proposal	Progress update to the end of December 2014	Actions planned next quarter	Expected close down date	Responsible Officer
	P2 Raise the profile and promote greater awareness of the programme and what it aims to achieve by: clarifying the terminology used to describe the programme and using this consistently in all internal and external communication; clearly communicating the aims and scope of the programme to staff, councillors and externally to stakeholders; promoting the programme (and its achievements), for example on the Council website and in newsletters, together with inviting comments and feedback; promoting ownership of the programme through staff appraisals, training and development; and consider the introduction of change advocates at service level to act as a catalyst for bringing forward new ideas and promoting new ways of working.	Change programme. This is now used to communicate with all stakeholders and is incorporated into the budget setting communication plan, The Change programme has been communicated to a wide range of internal and external stakeholders via a range of channels and comments and feedback received. Development of the budget setting communication and engagement strategy for 15/16. This includes relevant communication and engagement/consultation with key internal and external stakeholders. This is now complete for the budget setting process. Delivery of initial communications for the 15/16 period with internal and external stakeholders regarding the budget setting process and revision to the change process necessary to underpin the financial and non-financial targets. Change programme awareness now incorporated into the staff inductions. Heads of Service identified as the key change advocates within each of the service areas and have acted as the catalyst within each of the			Transformation

Ref	Proposal	Progress update to the end of December 2014	Actions planned next quarter	Expected close down date	Responsible Officer
		service areas for the development of the Change programme. Communicate , promote and engage with all key stakeholder in line with the communication and engagement strategy. For the 15/16 budget setting process.			
49	**New focus on service improvement and value for money** P3 Instil a new focus on service improvement and value for money by: □clarifying the extent of improvement the Council wants to make through the programme and supporting this with appropriate measures and targets to monitor progress, particularly focusing on service quality, performance, customer experience and the difference the Council wants to make to the lives of local citizens; □jointly reporting savings and performance information to help evaluate the impact of the programme on service performance and assess whether value for money is improving; □continuously challenging performance through benchmarking with other councils and service suppliers and integrating this with programme monitoring and reporting;	Performance team now merged into the Council's Business Improvement function. Alignment of the Change Programme, Budget and Performance reporting to relavent boards, Improvement measure and target developed for the Change programme and incorporated into the Council's performance management framework and reporting mechanisms. Change Programme reporting dashboard incorporating performance, savings and budgetary Information reported monthly to the Change Programme Board and the Cabinet Member. High level portfolio and all council dashboards bring together finance, performance and change information along with people related information and risk management	Develop appropriate improvement measures and targets for individual initiatives and monitor using existing governance processes and mechanisms. Identify appropriate Benchmark comparators and incorporate within the Change Programme reporting process.	ongoing	Head of People and Transformation

Ref	Proposal	Progress update to the end of December 2014	Actions planned next quarter	Expected close down date	Responsible Officer
	developing more consistent mechanisms to obtain feedback from users and using this to take corrective action and inform future changes to service delivery; and continuing to develop a performance culture in which service managers are accountable for service performance and efficiency.	Social media "Yammer" being utilised internally to gain feedback from users across the Council. Development of performance culture – Embed review of performance into the service area management meetings-. Social Services, streetscene, Regeneration and Regulatory Services, CLL and Education.. Through project governance processes service users are consulted on proposed changes to service delivery and feedback is used to inform the direction of future activity. Increased alignment of the Change programme with the Councils performance framework. Staff involved in budget consultation process and underlying change programme proposals			
50	**Learning and evaluation** P4 Strengthen the arrangements to capture and share learning by: more consistent evaluation of reviews at key stages and on completion; strengthening mechanisms to capture, share and apply learning on a corporate basis; and	Gateway review process and post implementation reviews defined as part of the Newport Programme and Project Management methodology. Lessons Learned log completed and circulated to key stakeholders for the Budget setting process and development of the Change programme for the 14/15 financial	Complete lessons learned report for 2015/16 budget setting process. Roll out of the Gateway Review process and post implementation review process across all initiatives within the Change Programme.	ongoing	Head of People and Transformation

Ref	Proposal	Progress update to the end of December 2014	Actions planned next quarter	Expected close down date	Responsible Officer
	establishing mechanisms to systematically obtain post-implementation feedback from staff and managers, for example to assess the impact on staff capacity, identify training and IT needs and learn from their experience.	period Lessons Learned log completed for the Norse Property Joint Venture, Street cleansing and Refuse.	Ensure adherence to the gateway review process and post implementation review process by embedding within the governance process for the Change programme. Review options for disseminating and apply learning on a corporate basis		

Data Quality Review
October 2013
http://www.newport.gov.uk/stellent/groups/public/documents/report/cont720069.pdf

Ref	Proposal	Progress update to the end of December 2014	Actions planned next quarter	Expected close down date	Responsible Officer
54	The Council should address gaps and weaknesses in its data quality arrangements and ensure that they are consistently adopted across the Council, in particular: ensure an up-to-date list of data compilers is available to appropriate officers; undertake refresher training for data compilers and other appropriate officers; clarify roles and responsibilities of officers in data quality arrangements including the timing of Internal Audit's involvement;	The Operational Performance Network met on 12th November. Topics discussed at the meeting included a self-assessment and DQR presentation, details on updating local definitions and self-assessments along with the timescales for their completion, additional training needs and FAQs. There was also a self-assessment 'surgery' and round table where the group shared issues around self-assessments, etc. New local definition forms to be available and uploaded on the Virtual Library (November).	Chaser of any remaining self-assessments to be conducted at the end of February. An OPN meeting to be set up end of Feb/beginning of March as the virtual library which retains all the performance documents (including self-assessments and local definitions) will be decommissioned in March. The IT service will be attending the meeting to train members on the new SharePoint provision which will store this data in future.	Though next DQR report	Head of People and Transformation

Ref	Proposal	Progress update to the end of December 2014	Actions planned next quarter	Expected close down date	Responsible Officer
	☐☐develop, agree and communicate the processes for: – establishing new performance measures; – amending performance measure definitions; – ensuring performance measure definitions are consistently and accurately described; – addressing audit amendments and qualifications; and – amending outturn figures after initial submission to the Welsh Government.	Due to additional staff changes there are new members of the OPN and a refresher of roles and responsibilities was given at the November meeting. Self-assessments timescales: NSI, PAM completed by December 2014 and the remainder by the end of February 2015. New compiler and review details to be supplied via OPN contacts and uploaded to the (virtual library/SharePoint – TBA) Regular updates/alerts fed to the OPN and others via the Performance Network pages on Yammer.	The next OPN meeting will outline tentative submission dates for 2014/15 data and discuss the proposed performance 'cycle' for the year ahead.		

Improvement Assessment Letter 2
February 2014

Ref	Proposal	Progress update to the end of September 2014	Actions planned next quarter	Expected close down date	Responsible Officer
56	Ensure that the Council's overall statements and red, amber green ratings evaluating its success in achieving its improvement objectives are signed off through the appropriate officer and member governance	Overall assessments for the November Improvement Plan update report (Q2) onwards are discussed and agreed with each of the lead officers for the Improvement Objectives	Overall assessments and evaluation for this report were agreed by each of the lead officers and an overview of progress as a whole was discussed at the Change and Efficiency Board meeting (Directors and Heads of	November 2014 (IAL2) Completed	Head of People and Transformation

Ref	Proposal	Progress update to the end of September 2014	Actions planned next quarter	Expected close down date	Responsible Officer
	mechanisms.		Service present)		
57	Ensure that the data in the Year End Review is correctly stated and consistent with reported data.	This is an annual event. Year end data is reported in July and the Year end Review will be published by 31st October 2014		November 2014 (IAL2) Completed	Head of People and Transformation

Recommendations from the Corporate Assessment received in October 2013

Recommendation 1

R1 The Council should ensure that members are provided with robust information at the earliest opportunity to enable them to inform, take and challenge choices and decisions effectively, and ensure that they are recorded and reported transparently. This includes the provision of:
 •Options appraisals.
 •The implications of the options, recommendations and decisions.
 •Fully costed business cases prior to initiating major programmes to support change. The financial impact of any significant proposed service changes should be reflected in medium-term financial plans directly where the change is certain to proceed or as a sensitivity if the change is not certain.

Progress to date:
- Responding to this recommendation is not the responsibility of one particular service area, it has implications for various people across the organisation.
- All Heads of Service are seen to have a role in providing members with robust information and in response to the Corporate Assessment this is now being addressed through the business planning process
- The Scrutiny Team are seen to have a role in raising awareness among officers of the procedures that are in place for reporting to members and challenging whether they are being adhered to (options, implications, recommendations and decisions).
- The Business Improvement Team are seen to be responsible for ensuring that fully costed business cases are developed
- The Report Template is to be amended to include options, appraisals and implications by the end of 2014 to coincide with the introduction of a new Document management process. The challenge will be ensuring compliance.

Future actions:
- Future compliance checking is to be carried out.
- The process developed for this years budget setting process will be reviewed and refined and will form the basis of the Council's approach to challenge and assure business cases using the gateway review process as the framework

Recommendation 2

R2 The Council should address with more urgency the weaknesses in its governance arrangements that
underpin its decision making to support improvement. This would include:
 R2.1 strengthening committee work programming arrangements to ensure they are timely, meaningful, informative, transparent, balanced, monitored, and joined up;

R2.2 reviewing and updating the Council's constitution ensuring that roles, responsibilities and accountabilities are clear, and that all members understand and apply their respective roles in relation to each other without compromising independence;

R2.3 empowering members to be more proactive and accountable for their roles and responsibilities;

R2.4 strengthening decision-making arrangements to ensure transparency and appropriate safeguards are in place;

R2.5 strengthening scrutiny arrangements to more effectively inform and challenge policies, options, decisions and actions, and hold Cabinet members, officers, partners and others to account more robustly to drive increased pace of progress and improvement;

R2.6 strengthening and mandating member and officer development and learning programmes based on competency assessments to improve skills and understanding to enable them to undertake their roles more effectively; and

R2.7 addressing information security and business continuity arrangements.

Progress to date
- Scrutiny Improvement Group (SIG) established; Regular meetings of the SIG and the Executive are now diarised.
- A development programme based on skills appraisal is being developed by way of the Democratic Services Committee. Meetings are progressing with members and a final report to the Committee is scheduled for February 2015. The Scrutiny Improvement Group is also looking at a programme of development for scrutiny members;
- The Scrutiny Improvement Group (SIG) Action Plan contains some twenty actions which are included in the SIG programme of work. Good progress is being made in implementing these actions and a review of progress was set out in the Scrutiny Annual Report 2014.
- An important feature of the action plan resulted from the Wales Audit Office's National Scrutiny Study. The Scrutiny Improvement Group was set up to implement this plan and to drive forward the improvement programme for Scrutiny.
- One of our most significant achievements this year has been to secure funding through the Welsh Government's Scrutiny Development Fund to hold the "Gwent Scrutiny Challenge 2014 The project started with a high profile, very well attended event on 6 June in the Riverfront Theatre, looking at experiences from the Mid-Staffordshire Inquiry and what lessons can be learned by local government about the quality of challenge within our organisations. We are now planning a series of training events within each authority to look at how the lessons can be applied and our skills improved
- The Composite Work Programme (CWP) continues to be used as an on-going programme and informs the work programme of the Council, Cabinet and Scrutiny Committees.
- A new generic model constitution has been developed by a group of lawyers for use in Local Government. There has been some delay in producing this document but it should be available late in 2014. Democratic Services Committee is taking the lead on this work and will use the model constitution to facilitate an overall review of the constitution as opposed to previous piecemeal approaches; The review and update of the constitution is now unlikely in 2014. The next phase of ensuring understanding and application will take place in 2015;
- A progress report on the development programme based on skills appraisal that is being followed by a small number of members was produced in July 2014. Based on the findings of this report the Democratic Services Committee agreed to further develop the programme; a final report on the process is to be considered by the DSC in February.
- A document that clarifies roles and responsibilities and standards for decision making and the relationships between the Executive and Scrutiny has been produced and considered by the joint meeting of the Scrutiny Improvement group and the Executive.

- Information Governance Group established ([Annual Risk Report](#) refers). The group is constituted, has met and the meetings have been minuted and have Terms of Reference: and a report containing proposals and action plan.

Future Actions:
- Composite Work Programme (CWP) will be produced as an on-going programme from summer 2014;
- A new generic model constitution is being developed by a group of lawyers for use in Local Government. This document will be available later in 2014. Democratic Services Committee is taking the lead on this work and will use the model constitution to facilitate an overall review of the constitution as opposed to previous piecemeal approaches;
- The review and update of the constitution is planned to be completed by the end of 2014. The next phase of ensuring understanding and application will take place in 2015;
- A progress report on the development programme based on skills appraisal that is being followed by a small number of members was considered by the Democratic Services Committee in July 2014. Based on the findings of this report a decision was taken to extend or further develop the programme;
- Produce document by autumn 2014 that clarifies roles and responsibilities and standards for decision making and feed this into the planned review of the constitution;

Recommendation 3

R3 The Council needs to quickly address weaknesses in its strategic financial planning and management to ensure that it is able to deliver its planned improvements. In doing so, the Council needs to:
- R3.1 strengthen medium-term financial planning with fuller consideration of demographics, projections and priorities as well as the management of risks that are linked to the risk register(s);
- R3.2 the delivery of financial savings needs to be monitored and reported more effectively at a corporate level as well as the investments being made to improve/maintain services;
- R3.3 strengthen the status of financial management at a strategic level and ensure that responsibility is aligned to corporate objectives and accountabilities; and
- R3.4 ensure there is sufficient challenge to ensure that savings/investment plans are delivered and any budget overspends are highlighted and addressed by early intervention.

Progress to date:
- There is now fuller consideration of demographics projections and priorities within the MTRP which was in place for the MTRP agreed in February 2014 and the subsequent medium term Change/Efficiency programme. The risk register has been reviewed and potential pressures have been identified for incorporation into the MTFP as part of the scene setting in September 2014 Cabinet – for 2015/16 budget
- Investments in the context of using reserves to fund invest to save decisions are agreed and signed off by both SLT and Cabinet. Savings are monitored through the on-going Financial Budget Monitoring process. The outcomes from this process are reported to SLT and the Change and Efficiency Board on a monthly basis by the Business Improvement Team. There are project management arrangements in place for the overall budget process.

- The Cabinet receives quarterly reports from the budget monitoring process that includes savings. The Annual Statement of Accounts makes explicit reference to savings.
- To strengthen the status and enhance responsibility and accountability summary reports to Cabinet and SLT now contain commentary from Heads of Service. This also helps to raise awareness of the financial position across the Council by ensuring that it is not perceived as a central issue but is linked to service delivery. Financial Management now greater part of strategic decision making and has more active role in determining remedial action to address overspends compared to the more passive monitoring that used to take place.
- Challenge is provided through consideration of summary budget monitoring reports by the Change and Efficiency Board, SLT and Cabinet. Challenge is increasingly focused on early intervention to prevent overspends occurring and recurring. There is now early identification of the risks of overspend with an accompanying explanation of what Heads of Service are doing to address any overspend and prevent recurrence through a timetabled set of actions.
- More explicit linkage to risk register from September 2014.

Planned future action:
- Necessary financial modelling tools (projections) to be developed by end of 2014.

Recommendation 4

R4 The Council should address weaknesses in its people management arrangements with more urgency to tackle long-term deficiencies to ensure it has the capacity and capabilities necessary to change and improve. In doing so, it should:
- R4.1 ensure that the 360° appraisal process is fully integrated into its arrangements to manage staff performance and development;
- R4.2 establish an integrated workforce and succession plan to support and develop the Council's current and future workforce to meet the organisational need;
- R4.3 address its longstanding organisational development deficiencies;
- R4.4 address manager capacity and capability to manage, both in terms of basic core management skills and in managing the performance of their staff;
- R4.5 establish much clearer and better communicated recruitment and retention strategy linked to workforce development, talent management, personal development and training; and
- R4.6 continue to improve the management of sickness levels, focusing on the areas where there is least improvement.

Progress to date:
- The Council is committed to the 360 process at Head of Service (HoS) level and above. All appraisals have been completed for 2013-14. At HoS level improvement actions are now being picked up in individual development plans.
- People Plan 2013-17 has been produced with reference to the Council's workforce and organisational needs. This Plan was approved by Cabinet in August 2013.
- Organisational Development (OD) team has changed. There is now extra support for strategic planning. Key priorities have been identified within a 12 month OD team plan (Business unit plan)
- A planned range of evaluations for learning and development interventions over 2014, one of the main sources of data will be the employee survey.

- a recruitment and retention strategy for social services based on the challenges faced on an on-going basis is in place and this is being used to pilot a specific recruitment and retention strategy.
- The Council has a sickness absence strategy in place and the overall picture is a constantly improving one with dedicated resources being deployed to work on this issue. The Council is concentrating on the most problematic area which is that of long-term sickness absence through targeting the top 10 long-term absentees in each service area and providing support for a return to work or considering terminating employment.
- Undertaken an external Investors in people assessment to further investigate weaknesses and strengths in relation to people management arrangements and to action plan priority areas
- Workforce development plan in draft

Recommendation 5 - No further action required

Recommendation 6
R6 Put in place arrangements that enable the Council to formulate, scrutinise, approve and publish its improvement objectives in a timely way to meet its statutory obligations under the Measure. In doing so, the Council should:
- R6.1 Develop a more comprehensive, open and transparent approach to public reporting.
- R6.2 Ensure that internal reporting is systematic, regular and getting to the right groups with a stronger focus on priorities.
- R6.3 Develop a clear and agreed approach to prioritisation of improvement objectives and the development of measures for these improvement objectives that involve scrutiny members at an early stage and a stronger approach to consultation.
- R6.4 Enable members to effectively challenge and scrutinise service performance:
    - R6.4.1 clarify the respective roles of Performance Board and scrutiny;
    - R6.4.2 ensure that both groups receive regular, high-quality, priority-focused performance information;
    - R6.4.3 ensure that meeting agendas allow for sufficient time for members to focus on (broad) underperformance in both; and
    - R6.4.4 provide training on effective challenge and scrutiny for members.
- R6.5 Further embed the approach to business and service planning and ensure that corporate and single integrated plans are included.
- R6.6 Improve the corporate approach to risk management.
- R6.7 Improve target setting to better reflect the service/performance standards the Council wants to achieve and ensure resources are allocated to deliver desired standards through the Medium-Term Financial Plan.

Progress to date:
- **Public reporting is now more comprehensive, open and transparent.** The Improvement Plan for 2014-15 was produced on time and covered more extensively in the Council newsletter *'Newport Matters'.* The Improvement Plan has been distributed in hard copy to Council facilities eg libraries and extracts are on display in public spaces eg the reception area in the Civic Centre.

- **Internal reporting is now systematic, regular and getting to the right groups with a stronger focus on priorities.** There is monthly reporting of NSIs PAMs and Improvement Plan measures by all Heads of Service. The data from all service plans is collated into a dashboard for SLT and summarised for the Change and Efficiency Board. Quarterly reporting on the Improvement Plan is considered by Cabinet and mid-year and end of year service plan reviews are considered by Scrutiny Committees.
- **The Council has developed a clear and agreed approach to prioritisation of improvement objectives and developed measures for these improvement objectives that involve scrutiny members at an early stage and a strong approach to consultation.** Consultation on Improvement Objectives was undertaken in December 2013 including consultation with the public, scrutiny committees and the Fairness Commission. A decision was then taken by Cabinet in January 2014 to agree the selection of Improvement Objectives for 2014-15. The detail of these objectives was considered by Scrutiny in February and March with further review by the Performance Board at the end of March. The final plan was approved by Cabinet and Council in April 2014. This approach will be continued in future years.
- **The respective roles of Performance Board and scrutiny have been clarified.** Members of Cabinet and Scrutiny met to discuss their respective roles in March 2014 and the roles of Performance Board and scrutiny was clarified at the Performance Board meeting in March 2014.
- **Both Performance Board and scrutiny receive regular, high quality, priority-focused performance information.** Performance Board meet quarterly and receive regular concisely reported monitoring information on each Improvement Objective contained within the Improvement Plan and also receive information on overall Council performance. Half yearly and end of year service plan reviews are considered by Scrutiny Committees.
- **Meeting agendas allow for sufficient time for members to focus on underperformance.** Meeting agendas for Performance Board are now prioritised to assess both 'looking forward' and 'looking back'. The latter is a mechanism to highlight underperformance and ensure that sufficient time is available to consider and address the underlying causes. The setting of appropriate agendas is complemented by timely briefing meetings with the Leader.
- **The Council is improving the training it provides to members on effective challenge and scrutiny.** The Democratic Services Committee has considered a schedule of member development activities and recognised that much of the training events were knowledge based rather than concentrating on the skills members need to fulfil their various roles. This is now being addressed and the Organisational Development Team is assessing the benefits of developing a programme based on needs identified by members. An initial report is to be considered by the Committee in July. The Scrutiny Improvement Group will examine the needs of members of scrutiny committees within its programme of work.
- **The Council has further embedded the approach to business and service planning and ensured that corporate and single integrated plans are included.** Service plans for 2014-15 have been based on more explicit guidance around demonstrating 'linkage'. Plans now include clear linkage to corporate plans and the link between the Single Integrated Plan and the Corporate Plan has also been made more explicit.
- **The Council is progressing work to improve the corporate approach to risk management.** Work is on-going to improve corporate risk management arrangements. A revised risk management strategy was considered by Cabinet and Audit Committee in May 2014 and an updated Corporate Risk Management Strategy and Register was agreed by Cabinet in September. This report was also considered by Audit Committee in September and the Risk Register will be updated quarterly.
- **Target setting reflects the standards the Council wants to achieve and resources are allocated to deliver desired standards through the Medium Term Financial Plan.** There is clear alignment between target setting within business plans and the Medium Term Financial Plan The targets and the allocation of resources reflect the Council's ambition and priorities in relation to decision to both invest to save and disinvest.

Summary:
There appears to have been very good progress in addressing this lengthy and far-ranging recommendation. Most parts have been met in full and would fall into the category of 'no further action'. The work that needs to be done to meet the whole of the recommendation in full can be summarised as developing and implementing a skills based training programme for members