Number of action	Original Document	WAO Proposal	Action	Progress Update - October 2013	By When	Status
29	**AIR 2013 Improvement Assessment Letter 1 2013**	R2: Address the outstanding proposals for improvement identified in the auditors generals work to date	Covered in Appendix A	NEW but Progress update given against individual actions above	Covered in Appendix A	Covered in Appendix A
30	**AIR 2013 Improvement Assessment Letter 1 2013**	R3: Address the 3 recommendations in the Auditor Generals report Evaluation of Social Services contribution to the Medium term financial plan.	See responses to 'Number of action: 52 to 57' as below	NEW -	TBA	Open
31	**AIR 2013 Improvement Assessment Letter 1 2013**	R4: 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		Draft Timetable being put together with SIF frameworks, IO timing arrangements form part of this.	Apr-14	Open
32	Customer Services Review (August 2013)	**P1: Governance and performance management**. Develop a more co-ordinated strategic approach to customer services. This should include developing and implementing a customer service strategy that supports the Council's strategic vision and improvement priorities.	Update information being sought from Customer Services Manager	An action plan is being developed and specific actions will be included in the next monitoring report. Report going to audit committee 5th Nov		Open
33	Customer Services Review (August 2013)	**P1: Governance and performance management.** Develop a more co-ordinated strategic approach to customer services. This should include establishing clear links between the customer service strategy document, Improvement Objectives and departmental service improvement plans.	Update information being sought from Customer Services Manager	An action plan is being developed and specific actions will be included in the next monitoring report		New
34	Customer Services Review (August 2013)	**P1: Governance and performance management.** Develop a more co-ordinated strategic approach to customer services. This should include ensuring the customer service strategy clearly sets out appropriate performance measures that enable the Council to manage, monitor, report and evaluate its strategy and other related strategies including its customer charter.	Update information being sought from Customer Services Manager	An action plan is being developed and specific actions will be included in the next monitoring report		New

Number of action	Original Document	WAO Proposal	Action	Progress Update - October 2013	By When	Status
35	Customer Services Review (August 2013)	**P1: Governance and performance management**. Develop a more co-ordinated strategic approach to customer services. Including customer services' performance measures in the Council's corporate performance reporting arrangements and ensuring they are subject to effective self-evaluation, challenge and scrutiny.	Update information being sought from Customer Services Manager	An action plan is being developed and specific actions will be included in the next monitoring report		New
36	Customer Services Review (August 2013)	**P1: Governance and performance management.** Develop a more co-ordinated strategic approach to customer services. This should include ensuring that the Council's equalities and Welsh language objectives are being delivered and reflected in the customer service strategy.	Update information being sought from Customer Services Manager	An action plan is being developed and specific actions will be included in the next monitoring report		New
37	Customer Services Review (August 2013)	**P1: Governance and performance management**. Develop a more co-ordinated strategic approach to customer services. This should include ensuring that the lead Cabinet Member for customer services has clearly documented responsibilities and is provided with regular performance information.	Update information being sought from Customer Services Manager	An action plan is being developed and specific actions will be included in the next monitoring report		New
38	Customer Services Review (August 2013)	**P1: Governance and performance management.** Develop a more co-ordinated strategic approach to customer services. This should include ensuring business cases are developed for service improvements that clearly set out and analyses the costs and benefits of the service improvement, and the expected improvements and the outcomes to be delivered.	Update information being sought from Customer Services Manager	An action plan is being developed and specific actions will be included in the next monitoring report		New
39	Customer Services Review (August 2013)	**P2: Information and data.** Strengthen the approach to evaluating and improving customer services in a proactive way. This should include collecting and analysing customer views and satisfaction data for e-mail and telephone correspondence.	Update information being sought from Customer Services Manager	An action plan is being developed and specific actions will be included in the next monitoring report		New

	Current		**Appendix B**

Number of action	Original Document	WAO Proposal	Action	Progress Update - October 2013	By When	Status
40	Customer Services Review (August 2013)	**P2: Information and data.** Strengthen the approach to evaluating and improving customer services in a proactive way. This should include corporately collating and analysing customer complaints and compliments and regularly reporting findings to Members.	Update information being sought from Customer Services Manager	An action plan is being developed and specific actions will be included in the next monitoring report		New
41	Customer Services Review (August 2013)	**P2: Information and data.** Strengthen the approach to evaluating and improving customer services in a proactive way. This should include considering re-instating the customer viewpoint panel or introduce another appropriate method of obtaining customer feedback.	Update information being sought from Customer Services Manager	An action plan is being developed and specific actions will be included in the next monitoring report		New
42	Asset Management (Land and Property) Strategy Review (September 2013)	**P1: Develop a robust Asset Management Strategy for its property and associated infrastructure.** The strategy should set out a vision for each type of asset that shows how it contributes to the delivery of the Council's priorities.	Further develop the existing draft strategy	Discussed at Asset Management Group (AMG) [Oct 13]	Apr-14	New
43	Asset Management (Land and Property) Strategy Review (September 2013)	**P1: Develop a robust Asset Management Strategy for its property and associated infrastructure.** The strategy should set targets for assessing progress, including the condition and suitability of each asset.	Complete update of building conditions survey	50% complete, remainder commissioned [Oct 13]	Apr-14	New
44	Asset Management (Land and Property) Strategy Review (September 2013)	**P1: Develop a robust Asset Management Strategy for its property and associated infrastructure.** The strategy should describe an overall plan for implementing the Strategy.	To form part of development proposals as above (item 42)	To form part of development proposals as above (item 42) [Oct 13]	Apr-14	New

Number of action	Original Document	WAO Proposal	Action	Progress Update - October 2013	By When	Status
45	Asset Management (Land and Property) Strategy Review (September 2013)	**P1: Develop a robust Asset Management Strategy for its property and associated infrastructure.** The strategy should be approved by members.	Further develop the existing draft strategy	Discussed at Asset Management Group [Oct 13]	Council Apr-14	New
46	Asset Management (Land and Property) Strategy Review (September 2013)	**P2:** Ensure that the individual service asset management plans are developed as soon as possible and are used to inform the Council's financial planning process.	Develop Service Asset Management Plan (SAMP) and consider impact on the Medium Term Financial Plan (MTFP)	SAMP pro-forma developed. Initial meetings held with Social Services (SS) and Leisure [Oct 13]	Jan-Mar '14	New
47	Asset Management (Land and Property) Strategy Review (September 2013)	**P3:** Finalise its current review of property performance data and agree which data should be monitored and reported at an officer and member level.	Improve building data collection and performance intelligence	Worked with software provider (Enterprise) to develop new software model. Stakeholders involved [Oct 13]	Apr-14	New
48	Asset Management (Land and Property) Strategy Review (September 2013)	**P4:** Develop and implement arrangements to monitor the delivery of the strategy.	Agenda updates on progress to Asset Management Group (AMG)	Initial WAO Report discussed at AMG (02/10/13). Further regular updates to be provided. [Oct 13]	Apr-14	New
49	Asset Management (Land and Property) Strategy Review (September 2013)	**P5: Formalise the role of the Asset Management Group to improve governance and accountability.** This should include reviewing the membership of the group.	Formalise AMG	Completed: Membership reviewed. Terms of referencing agreed. Reporting mechanism agreed. [Oct 13]	Oct-13	New

Number of action	Original Document	WAO Proposal	Action	Progress Update - October 2013	By When	Status
50	Asset Management (Land and Property) Strategy Review (September 2013)	**P5:** Formalise the role of the Asset Management Group to improve governance and accountability. This should include developing terms of reference to include responsibility for: i) leading on all corporate asset management issues; and ii) leading on decisions around individual assets.	Formalise AMG	Completed: Membership reviewed. Terms of referencing agreed. Reporting mechanism agreed. [Oct 13]	Oct-13	New
51	Asset Management (Land and Property) Strategy Review (September 2013)	**P5:** Formalise the role of the Asset Management Group to improve governance and accountability. This should include ensuring that meetings are recorded appropriately.	Formalise AMG	Completed: Membership reviewed. Terms of referencing agreed. Reporting mechanism agreed. [Oct 13]	Oct-13	New
52	Evaluation of Social Services contributions to the MTFP (September 2013)	**R1:** When contemplating a significant change to the way in which services are delivered, the Council should prepare a fully costed business case prior to initiating major programmes to support the change.	Update being sought from Acting Head of Corporate Finance	Waiting on action plan update from service		New
53	Evaluation of Social Services contributions to the MTFP (September 2013)	**R2:** The financial impact of 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.	Update being sought from Acting Head of Corporate Finance	Waiting on action plan update from service		New
54	Evaluation of Social Services contributions to the MTFP (September 2013)	**R3:** The Council should ensure that Members are provided with sufficient information at the earliest opportunity to enable them to make informed decisions.	Update being sought from Acting Head of Corporate Finance	Waiting on action plan update from service		New
55	Evaluation of Social Services contributions to the MTFP (September 2013)	**P1:** In order to ensure effective monitoring and evaluation of savings, the Council should implement a consistent approach to project management and monitoring savings, including benefits realisation, managing risks and identifying lessons learnt.	Update being sought from Acting Head of Corporate Finance	Waiting on action plan update from service		New

Number of action	Original Document	WAO Proposal	Action	Progress Update - October 2013	By When	Status
56	Evaluation of Social Services contributions to the MTFP (September 2013)	**P2:** Social Services should continue to maintain and develop the saving initiative worksheet they have developed and the Council should consider how this approach can be shared across the Council.	Update being sought from Acting Head of Corporate Finance	Waiting on action plan update from service		New
57	Evaluation of Social Services contributions to the MTFP (September 2013)	**P3:** The Council should undertake further analysis to identify the non-statutory services that it could prioritise to achieve a significant saving and those statutory services that could be re modelled to realise benefits in line with its corporate and service priorities.	Update being sought from Acting Head of Corporate Finance	Waiting on action plan update from service		
58	Information Management Review (November 2012)	P1: Formally assign the responsibilities and accountabilities of the Senior Information Risk Owner (SIRO). Ensure they are vested in a role that has sufficient seniority to deliver all elements of the SIRO function, in particular: **ownership of the information risk policy;**	Assign responsibility for SIRO, and clarify role and responsibilities of SIRO.	Assigned to Head of ICT and Customer Services by Corporate Management Team, and approved by Audit Committee 17 Sept 2013.	Feb-13	Complete
59	Information Management Review (November 2012)	P1: Ensure they are vested in a role that has sufficient seniority to deliver all elements of the SIRO function, in particular: **ownership of the information risk assessment;**	Develop an Information Risk Management Policy, which outlines all key roles and responsibilities. Compile Information Risk Registers for each service area, and Heads of Service (as Information Asset Owners) review and report on them quarterly.	Policy approved by Cabinet in Oct 2013. Information Risk Registers compiled, reviewed and first quarterly return submitted by Heads of Service. This will be repeated quarterly.	Nov-13	Complete
60	Information Management Review (November 2012)	P1: Ensure they are vested in a role that has sufficient seniority to deliver all elements of the SIRO function, in particular: **champion information issues at a senior level.**	Ensure reporting of SIRO updates is at the correct senior level.	SIRO is now specified in the organisation's Records Management and Information Risk Management policies as having responsibility for this area. SIRO leads the cross-organisational Information Governance Project Team, sits on the Corporate Governance Review Panel, and also reports to Audit Committee and Policy and Resources Scrutiny Committee regularly, via Corporate Management Team.	Feb-13	Complete

Number of action	Original Document	WAO Proposal	Action	Progress Update - October 2013	By When	Status
61	Information Management Review (November 2012)	P1: Ensure they are vested in a role that has sufficient seniority to deliver all elements of the SIRO function, in particular: **provide a written statement in relation to the security of the Council's information asset for inclusion in the Council's Statement of Internal Control/Annual Governance Statement.**	Develop a mechanism by which the SIRO can report annually on information risk.	Statement included in 2012-2013 Statement of Accounts. An information governance statement will be generated using quarterly Information Risk Returns from all Service Areas as part of the Statement of Accounts annually.	Feb-13	Complete
62	Information Management Review (November 2012)	**P2:** Review the membership of the Information Security Forum to ensure that the responsibilities and accountabilities of an Information Security Forum are fully discharged and cover all aspects of information security including physical access and Human Resources.	Review memberships of most appropriate Forum/Group to ensure these areas are included.	Membership of Information Governance Project Team (IGPT), which meets monthly, has been updated to include HR and Facilities staff. Key members of the Information Security Forum sit on the IGPT, and IGPT and the Information Security Forum to ensure full communication between both groups of all relevant issues.	Feb-13	Complete
63	Information Management Review (November 2012)	**P3:** Deliver a comprehensive mandated information management training programme for all staff to ensure that the Council can demonstrate that responsibility for information issues has been cascaded throughout the organisation, attendance must be recorded and training needs to be refreshed at regular intervals.	Continue ongoing IGPT actions of developing e-learning and alternative for non-computer users; FOI/DPA and Members training programme, and finding a method for continuing and developing this programme into the future; and ensuring induction incorporates key IG messages.	This activity has been a key part of the IGPT work programme since the group's inception. Mandatory Protecting Information elearning was rolled out to computer users during summer 2013, and completion is recorded electronically. The Council's DPA Policy has also been sent to all users alongside the Code of Conduct in August-Sept 2013 to ensure all staff, not just computer users, understand their responsibilities, and it is mandated that staff declarations must be signed to evidence receipt and understanding. An alternative to elearning for non-computer users has also been drafted and is under consultation by IGPT to supplement training via the DPA Policy distribution. Completion will also be recorded centrally. IGPT has decided that this training will be repeated in Oct of each year. All of these mandatory training arrangements are supplemented by DPA and FOI briefings, and service specific training courses when required (e.g. CCTV, housing). The Members training programme is also continuing (Sept and Dec 2013). In addition funding has been achieved for recruitment of a 1 year fixed term Information Governance Trainer to develop existing material and deliver training from Nov 2013.	Nov-13	Complete

					Current	**Appendix B**

Number of action	Original Document	WAO Proposal	Action	Progress Update - October 2013	By When	Status
64	Information Management Review (November 2012)	**P4:** Ensure that sufficient data is held outside the recommended nine-mile limit to enable a full restoration of service information in the event of a disaster.	Find a suitable solution. Discuss options with neighbouring authorities in addition to CCBC's existing BSI27001 recovery plan.	Agreement has been made with Newport CC to provide a reciprocal arrangement to complete this action.	Dec-13	Ongoing
65	Information Management Review (November 2012)	**P5:** Continue to develop more robust arrangements for whole-life cycle management of electronic information including e-mails, in particular disposal of information that the Council no longer has the rights to hold; ensuring that the Council is compliant with legislation.	Continue ongoing IGPT actions of data mapping; developing a records management policy and email management procedures; identify means of managing records backlogs on network drives and email.	This action has been part of the IGPT's work programme since the group's inception. A Records Management Policy, covering electronic records, was approved by Cabinet in Oct 2013. This links to the existing Records Retention and Disposal Policy which guides staff on disposal of information, including electronic information. Draft Email Management Procedures are under test prior to finalising and corporate roll-out, alongside a new Records Management training course. Records management tips are offered to staff on all DPA and FOI training courses. A working group has been tasked with finding a solution to tackle records backlogs in email and network drives, and its recommendations are being actioned. Directorate IG Stewards are on schedule to complete data mapping by Dec 2013, which will produce data to enable the Information Governance Support Officer to recommend and implement improvements across record-keeping in both hard copy and electronic formats by the end of the post's contract in June 2015.	Jun-15	Part-complete

Number of action	Original Document	WAO Proposal	Action	Progress Update - October 2013	By When	Status
66	Information Management Review (November 2012)	**P6:** Further improve the response times for Freedom of Information (FOI) requests.	Continue ongoing Corporate Information Governance Unit actions of finding and implementing methods of improvement, including improvements to Publication Scheme.	Internal compliance targets have been introduced which encourage staff to complete requests well before the 20 working day deadline. An FOI Network of key liaison officers meets quarterly to share good practice. IGPT's Directorate IG Stewards are requested to cascade the message that FOI compliance is critical to their teams. An all -staff email reminder about compliance with statutory timescales will be sent out by senior management. An IGPT working sub-group has recommended focusing on three key areas - awareness raising, performance management (and publication), and ensuring rigorous process is followed - to drive further improvements. The Council's Publication Scheme has recently been updated, and a gap analysis is underway to highlight areas where proactive dissemination of information could be improved. Performance is also regularly reported to Policy and Resources Scrutiny Committee.	Mar-14	Part-complete
67	Information Management Review (November 2012)	**P7:** Pause and review the implementation of the Electronic Document and Records Management System (EDRMS) to assess progress and direction, in particular consider the Council's aims for EDRMS to ensure that the current approach will deliver these aims effectively.	Continue ongoing IGPT data mapping, and Information Governance Support Officer's role of using the resulting data to recommend and implement improvements in a number of areas.	As discussed in P5 a data mapping exercise will be complete in Dec 2013 which will enable the draft Council file plan to be finalised, and will result in an information asset register which will give data on ownership, access rights, storage requirements, etc, of key Council information. This preparation is critical to implementation of a full EDRMS. The DMS aspect of the software is continuing planned deployment across the authority. The RMS element is under review due to a change in the focus of the product solution by the supplier. CCBC is currently considering alternative options to supplement/enhance IDOX in future.	Dec-14	Part-complete

| | Current | **Appendix B** |

Number of action	Original Document	WAO Proposal	Action	Progress Update - October 2013	By When	Status
68	Review of Management Arrangements following a Homicide Report from Healthcare Inspectorate Wales – April 2013	**P1:** Establish robust arrangements, to ensure and systematically check, that protocols and procedures are implemented and operating effectively in practice.	Practice reviewed to ensure compliance with relevant policies & procedures. (Director Social Services)	Quarterly file audits are completed and led by Health Board staff to ensure compliance with the Care & Treatment Planning (CTP) in relation to integrated mental Health services. These audits highlight potential non compliance with protocols and procedures	Quarterly	open
69	Review of Management Arrangements following a Homicide Report from Healthcare Inspectorate Wales – April 2013	**P2:** Ensure all action plan targets are complete and adopted.	Plans and targets reviewed on a regular basis (Director Social Services)	Action plan previously signed off. Six monthly meetings take place to ensure progress is maintained and no further changes are needed as a result of changes in policy / working practices.	Six Monthly	open
70	Review of Management Arrangements following a Homicide Report from Healthcare Inspectorate Wales – April 2013	**P3:** Improve inter-agency working in relation to rehousing and the management of vulnerable people in need of housing by: **ensuring health and social care information sharing protocols cover housing services;**	ISP's developed to encompass Housing related issues. (Director Social Services)	ISP's are in existence. However, these are being evaluated in light of the work progressing on mental health integration between the 5 LA's and Health Board in Gwent. The Partnership Board is overseeing in work.	Apr-14	open
71	Review of Management Arrangements following a Homicide Report from Healthcare Inspectorate Wales – April 2013	**P3:** Improve inter-agency working in relation to rehousing and the management of vulnerable people in need of housing by: **revising Risk Assessment procedures to incorporate and cover housing services;**	Risk assessment procedures to cover housing related issues. (Director Social Services)	It is our intention to continue to use the WARRN risk assessment as the primary tool for risk assessment. However, the CTP all Wales documentation enables us to highlight risk around housing need. This is a requirement for all Mental Health practitioners	Ongoing	open

Number of action	Original Document	WAO Proposal	Action	Progress Update - October 2013	By When	Status
72	Review of Management Arrangements following a Homicide Report from Healthcare Inspectorate Wales – April 2013	**P3:** Improve inter-agency working in relation to rehousing and the management of vulnerable people in need of housing by: **improve staff knowledge, awareness and understanding so as to minimise risk to vulnerable people by undertaking three-way training and information sharing between housing, health and social services.**	(Director Social Services)	Some training has been undertaken, however, it is accepted that this needs to be consolidated into a formal continuous process for new and existing staff	Jun-14	open
73	Review of Management Arrangements following a Homicide Report from Healthcare Inspectorate Wales – April 2013	**P3:** Improve inter-agency working in relation to rehousing and the management of vulnerable people in need of housing by: **revise the draft Mental Health Joint Accommodation Protocol (MHJAP) to include Registered Social Landlords (RSL) and Supporting People services to minimise gaps in service provision.**	Revised protocol in place. (Director Social Services)	Draft protocol is in place. However, a working group is to be established across Health, social care & housing to encompass all of the required elements with a view to implementation across all relevant divisions.	Mar-14	open
Repeater	Improvement Assessment Letter 1 2013	PI The Council should fully implement the proposals for improvement relating to strengthening service planning as set out in my previous Improvement Assessment Letter dated October 2012, but specifically:				
Repeater	Improvement Assessment Letter 1 2013	to ensure there are clear links between all relevant Service Improvement Plans and the Council's improvement objectives; and	See also 'Number of action 16-18' on Appendix A - Historic list. Instructions to make links is included in all annual SIP guidance documents and PMU support officers to feedback to services when links are not made to request updated plan.	Already included in the SIP guidance/template and escalated when there is non-compliance	Yearly	
Repeater	Improvement Assessment Letter 1 2013	to undertake Equality Impact Assessments consistently and robustly for all Service Improvement Plans.	See also 'Number of action 18' on Appendix A - Historic list.	Equalities Officer has Equality Impact Assessed all Service Improvement Plans for 13/14 and has written report due out by November on the quality of the plans in relation to their inclusion of equality activities	Jun-13	
74	Improvement Assessment Letter 1 2014	P2 The Council should complete its improvement objective action plans as a matter of priority so they can be used to meaningfully monitor performance and deliver the 2013-14 improvement objectives.	Secure an achievable 'timetable' of events from choosing priorities, consulting on, seeking approval building action plans and publishing.	Time frames being changed so consultation forms part of the MTFP. Report going to cabinet recommending changes to planning cycle	Dec-13	
	Data Quality Review Oct 2013	PI The Council should address the areas for improvement identified from our audit relating to individual indicators, specifically				

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Number of action	Original Document	WAO Proposal	Action	Progress Update - October 2013	By When	Status
75	Data Quality Review Oct 2013	Whether a 12 month rolling average, which was used for a social services indicator we reviewed, is the most useful basis to assess current performance during the year. When reported to scrutiny during the year, the period of measurement should be clear.	To share with social services to check if there is a better way to monitor this.	Fynnon reports to scrutiny clearly show the reporting period, we will continue to make sure this is the case.	Jan-Mar '14	
76	Data Quality Review Oct 2013	Whether there is an alternative way to measure the performance of the anti social behaviour process in a simpler and more intuitive way.	Information to be referred to Community Safety Services for due consideration.	This audit considered 'one measure' in isolation. Whereby a 'suite' of measures are available, which gives a much broader view (level of intelligence) of what the service is trying to address/change/improve. However recommendation is passed onto service for their consideration. Service comment Mon 28/10/2013 - The indicator the auditor had a problem with was due to his inability to understand the calculation involved. Strike drop-off rate has been in use for a number of years and we don't have any problem communicating it with the public or other agencies. No changes necessary.	Jan-14	
77	Data Quality Review Oct 2013	P2 The Council should ensure that its data validation processes are constantly and robustly applied across the organisation. Intrinsic to this, is the need to have clear definitions in place for all local measures and for the Council to undertake detailed checking to ensure that calculations are fully compliant with these definitions.	Ensure Local Performance Indicator (measure) Definitions (LPI's) are put in place where necessary. Secure accessibility for relevant officer/regulatory and periodically undertake quality validation and audit checks on the definitions and PI results.	LPI's used for our 12/13 Improvement Objectives were mostly in place, with a few exceptions. Work is currently progressing well to ensure that ALL the LPI's used against our 13/14 Improvement Objectives will be in place.	Dec-13	