

# Report

## Audit Committee

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### Part 1

Date: 24 May 2018

Item No: 7

### 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** Rhys Cornwall, Head of People and Business Change,  
Mike Dickie, Business Service Development Manager,  
Rachel Kalahar, Senior Performance Management Officer  
Catherine Davies, Performance Management Officer

**Ward** All

**Summary** This report details 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 plan actions to address.

This report sets out where the actions to address the findings of these reports will be monitored to ensure good progress is made.

It is proposed that this be monitored on the council's intranet as a live register of regulatory reports that are accessible to all employees and councillors for transparency. This is a pragmatic approach that addresses the need for monitoring and transparency without burdening committee agendas.

**Proposal** Audit Committee is asked to receive this final report and agree a live register of reports is maintained on the intranet to maintain transparency and ensure that regulatory reports are appropriately addressed.

**Action by** Heads of Service

**Timetable** Immediate

This report was prepared after consultation with:

- Head of Law & Regulation
- Chief Democratic Services Officer
- Head of People and Business Change

- Head of Finance
- Chair of Cabinet
- Audit Committee

**Signed**

## **Background**

For ease of reading this report only includes details of the last 12 months activity. Reviews 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).

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 plan actions to address.

It is suggested that this be the last regulatory report update received by the Audit Committee and that regulatory reports be monitored on the council's intranet as a live register that is accessible to all employees and councillors for transparency. This is a pragmatic approach that addresses the need for monitoring and transparency without burdening committee agendas.

## **New Information for this report**

- WAO Improving wellbeing through housing adaptations (National Study)

## **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 WAO reviewed the Corporate Assessment in 2016; the final report was issued in August 2016, a new action plan has been completed in response. The latest update on the recommendations and proposals for improvement is included in appendix 2. Links to the reports provided in the last 12 months are below.

Cabinet 24<sup>th</sup> April 2017

<https://msmodgovdb01.corporate.newport/documents/s8238/WAO%20Action%20Plan%20Update.pdf>

## **WAO Work Programme**

### **Local Studies**

WAO Undertake a programme of work at the council about our local arrangements. The following local work has been carried out

The following are in progress in 2017/18

- Scrutiny for the future thematic review
- Transformation thematic review
- Service user perspective review

### **National Studies**

In addition to the local work that WAO undertake 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. WAO select a handful of authorities to be study sites where more detailed assessments are carried out.

We have been asked to participate in the following National Studies over the next few months;

- Using Data Effectively – electronic survey underway
- How well do councils provide services to rural communities – document review only

## 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	Probability of risk	What is the Council doing or what has it done to avoid the	Who is responsible for
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	occurs* (H/M/L)	occurring (H/M/L)	risk or reduce its effect	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..

### **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 and the Wellbeing of Future Generations (Wales) act 2015. Actions taken to address proposals from regulators will help to make the functions of the council more robust and sustainable for the future. By ensuring that reports and action plans are reported to the appropriate committee it allows for oversight and accountability for the progress made.

### **Local issues**

None

### **Scrutiny Committees**

Not applicable.

## **Equalities Impact Assessment and the Equalities Act 2010**

The Equality Act 2010 contains a Public Sector Equality Duty which came into force on 06 April 2011. The Act identifies a number of 'protected characteristics', namely age; disability; gender reassignment; pregnancy and maternity; race; religion or belief; sex; sexual orientation; marriage and civil partnership. The new single duty aims to integrate consideration of equality and good relations into the regular business of public authorities. Compliance with the duty is a legal obligation and is intended to result in better informed decision-making and policy development and services that are more effective for users. In exercising its functions, the Council must have due regard to the need to: eliminate unlawful discrimination, harassment, victimisation and other conduct that is prohibited by the Act; advance equality of opportunity between persons who share a protected characteristic and those who do not; and foster good relations between persons who share a protected characteristic and those who do not. The Act is not overly prescriptive about the approach a public authority should take to ensure due regard, although it does set out that due regard to advancing equality involves: removing or minimising disadvantages suffered by people due to their protected characteristics; taking steps to meet the needs of people from protected groups where these differ from the need of other people; and encouraging people from protected groups to participate in public life or in other activities where their participation is disproportionately low.

## **Children and Families (Wales) Measure**

Although no targeted consultation takes place specifically aimed at children and young people, consultation on planning applications and appeals is open to all of our citizens regardless of their age. Depending on the scale of the proposed development, applications are publicised via letters to neighbouring occupiers, site notices, press notices and/or social media. People replying to consultations are not required to provide their age or any other personal data, and therefore this data is not held or recorded in any way, and responses are not separated out by age.

## **Wellbeing of Future Generations (Wales) Act 2015**

Regulators are adopting new approaches to take into account the Wellbeing of Future Generations (Wales) Act 2015 when they review our performance and systems. This will help the council to meet its duties under the act and ensure compliance. By collaborating with regulators to ensure a sensible and pragmatic approach the council will embed the principals of the act into all its planning and activities.

## **Crime and Disorder Act 1998**

Section 17(1) of the Crime and Disorder Act 1998 imposes a duty on the Local Authority to exercise its various functions with due regard to the likely effect of the exercise of those functions on, and the need to do all that it reasonably can to prevent, crime and disorder in its area.

## **Consultation**

Not applicable.

## **Background Papers**

See links in report

'Monitoring Regulatory Reports' Audit Committee (22/09/16)

'Monitoring Regulatory Reports' Audit Committee (30/05/17)

'Monitoring Regulatory Reports' Audit Committee (25/09/17)

'Monitoring Regulatory Reports' Audit Committee (23/01/18)

Dated: April 2018

## Appendix One Details of Regulatory Reports

Key: The following acronyms are used in the table below

ACS	Service Area: Adults and Community Services
CYP	Service Area: Children and Young People Services
FIN	Service Area: Finance
L&R	Service Area: Law and Regulation
PBC	Service Area: People and Business Change
RIH	Service Area: Regeneration, Investment and Housing
SCS	Service Area: Streetscene and City Services

### Education (Estyn Regulatory Reports)

Service Area	Report / Review and date	Reported to	Comments / follow up
Education	Estyn has not undertaken any specific reviews during the time period covered in this report.		

### Social Services (CSSIW Regulatory Reports)

Service Area	Report / Review and date	Reported to	Comments / follow up
Social Services	CSSIW performance review letter <a href="https://msmodgovdb01.corporate.newport/ieListDocuments.aspx?CId=139&amp;MID=6889#A13676">https://msmodgovdb01.corporate.newport/ieListDocuments.aspx?CId=139&amp;MID=6889#A13676</a>	Overview and Scrutiny Management Committee, Cabinet and Council July 2017	Reported in the Director of Social Services Annual Report 2016/17

### Other Service Areas and Corporate Reports (WAO Regulatory Reports)

Service Area	Report / Review and date	Reported to	Comments / follow up
ALL	Governance Thematic Review	Cabinet 15 <sup>th</sup> September 2017	Delayed due to purdah prior to elections
ALL	WAO Data Quality Review	Cabinet Member Chair of Cabinet, September 2017	An assessment of the accuracy of the performance data produced by the authority.
ALL	WAO Certificate of Compliance 1 – Improvement	Cabinet 15 <sup>th</sup>	Confirms the compliance of the improvement plan

<b>Service Area</b>	<b>Report / Review and date</b>	<b>Reported to</b>	<b>Comments / follow up</b>
	Assessment Audit	September 2017	with the Local Government Measure (Wales) 2011
ALL	WAO Certificate of Compliance 2 – Performance Assessment Audit	Cabinet 20 <sup>th</sup> December 2017	Confirms the compliance of the improvement plan year end review with the Local Government Measure (Wales) 2011, especially the duty to demonstrate continuous improvement.
FIN	Audit of Financial Statement (ISA 2600) Report 2016/17	Audit Committee 25 <sup>th</sup> September	
FIN	Audit Opinion on the 2016-17 financial statements	Audit Committee 30 <sup>th</sup> November	
RIH	UPCOMING: WAO Improving wellbeing through housing adaptations (National Study)	Cabinet Member April 2018	
<b>PBC</b>	<b>UPCOMING: Transformation thematic review</b>	<b>TBC</b>	<b>Fieldwork complete</b>
<b>L&amp;R</b>	<b>UPCOMING: Scrutiny for the Future thematic review</b>	<b>TBC</b>	<b>Report expected March 2018</b>
<b>PBC</b>	<b>UPCOMING: Using data effectively.</b>	<b>TBC</b>	<b>Fieldwork underway</b>
<b>SCS</b>	<b>UPCOMING: How well do councils provide services to rural communities?</b>	<b>TBC</b>	<b>Fieldwork underway</b>



**Appendix Two**  
**Update on Wales Audit Office Proposals for Improvement and Recommendations**  
 (Reported to Cabinet on 20<sup>th</sup> February 2018)

**Summary Table**

Full details of actions planned for each recommendation are provided below.

Recommendations  (Note: reference numbers do not coincide due to recommendations closed by the WAO e.g. recommendation 3 has been closed)		Number of actions identified in initial action plan	Number of actions completed	Number of Outstanding actions
Recommendation 1	The Council should ensure that Members are routinely and transparently considering robust information at the earliest opportunity to enable them to inform, take, and challenge choices and decisions effectively, and ensure that decisions are recorded and reported transparently.	3	2	1
Recommendation 2	The Council should address with more urgency the weaknesses in its governance arrangements that underpin its decision making to support improvement. This would include: <ul style="list-style-type: none"> <li>• strengthening committee work programming arrangements to ensure they are timely, meaningful, informative, transparent, balanced, monitored, and joined up;</li> <li>• 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;</li> <li>• empowering Members to be more proactive and accountable for their roles and responsibilities;</li> <li>• 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 an increased pace of progress and improvement; and</li> <li>• 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.</li> </ul>	14	13	1

Recommendations  (Note: reference numbers do not coincide due to recommendations closed by the WAO e.g. recommendation 3 has been closed)		Number of actions identified in initial action plan	Number of actions completed	Number of Outstanding actions
<b>Recommendation 4</b>	<p>The Council must continue to develop its people management arrangements, to ensure it has the capacity and capabilities necessary to change and improve. In doing so, it should:</p> <ul style="list-style-type: none"> <li>• continue to develop its draft Workforce Plan and associated action plans by, for each action: allocating responsibility to an officer and setting a deadline for completion; and</li> <li>• in the absence of a formal approach to 360-degree feedback for all staff, address manager inconsistency in carrying out appraisals and ensure all staff receive a constructive and developmental appraisal to support job performance.</li> </ul>	12	12	0
<b>Recommendation 5</b>	<p>To strengthen the arrangements that enable the Council to scrutinise its improvement objectives. In doing so, the Council should:</p> <ul style="list-style-type: none"> <li>• Enable Members to effectively challenge and scrutinise service performance: <ul style="list-style-type: none"> <li>▪ ensure that meeting agendas allow for sufficient time for Members to focus on (broad) underperformance; and</li> <li>▪ provide training on effective challenge and scrutiny for Members.</li> </ul> </li> </ul>	6	4	2

Completed actions are highlighted in grey

**Recommendation 1**

<b>Recommendation 1</b>	The Council should ensure that Members are routinely and transparently considering robust information at the earliest opportunity to enable them to inform, take, and challenge choices and decisions effectively, and ensure that decisions are recorded and reported transparently.
<b>WAO's Intended outcome/benefit</b>	Decisions and scrutiny are based on consideration of up to date and accurate information. Decisions are accurately recorded on a timely basis on the Council's decision making tracker so the public are able to easily find and understand what decisions have been taken and by whom.
<b>Responsible Officer</b>	Chief Executive Head of Law & Regulation

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
1.1	Chief Officers will view all decision making reports and conclude on whether they are of sufficient quality before submission to the decision making and scrutiny processes.	March 2017	Cabinet reports are received by SLT for consideration of content and quality before submission to the Cabinet cycle.	This is now embedded in the process, no further actions planned.	Chief Executive
1.2	Heads of Service will ensure that appropriate quality assurance processes are implemented within their service areas to ensure that reports are of an acceptable quality and standard before submission for inclusion in the decision – making or scrutiny processes	July 2017	Reports will be considered by Heads of Service before consideration by SLT and submission to the decision making or scrutiny process	To continue this process and assess its effectiveness	Chief Executive

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
1.3	All Cabinet, Cabinet Member and delegated officer decisions are properly recorded, including background information, options and reasons for those decisions, in accordance with the Council's constitution and legislative requirements. Minutes of Council and Committee meetings are also recorded accurately, approved at subsequent meetings and published in a timely manner. All decisions, background reports and minutes are published on the Council's web site, with a search engine to enable decisions to be tracked and easily found.	July 2017	The new template is now being used. An updated template has also been made available for reports to Scrutiny	Implemented	Head of Law & Regulation

## Recommendation 2

<b>Recommendation 2</b>	<p>The Council should address with more urgency the weaknesses in its governance arrangements that underpin its decision making to support improvement. This would include:</p> <ul style="list-style-type: none"> <li>• strengthening committee work programming arrangements to ensure they are timely, meaningful, informative, transparent, balanced, monitored, and joined up;</li> <li>• 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;</li> <li>• empowering Members to be more proactive and accountable for their roles and responsibilities;</li> <li>• 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 an increased pace of progress and improvement; and</li> <li>• 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.</li> </ul>
<b>WAO's Intended outcome/benefit</b>	<ul style="list-style-type: none"> <li>• The areas of focus of each of the committees is clear, linked to corporate priorities, regularly updated and considered in an open forum.</li> <li>• The Council's constitution accurately reflects existing arrangements and clearly sets out roles and responsibilities.</li> <li>• Members are able to fulfil their roles effectively and are held to account for these roles.</li> <li>• Scrutiny is used effectively to inform policy development and hold Cabinet Members and officers to account for performance.</li> <li>• Members and officers are equipped and supported to undertake their roles.</li> </ul>
<b>Responsible Officer</b>	Head of Law & Regulation

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
2.1	To develop the use of Committee pre-meetings in order to focus challenge more effectively and improve the quality of questioning. (Scrutiny AR Action 1)	July 2017	Pre-meetings are continuing for the new scrutiny committees. Chairing and questioning training delivered.	Implemented.	Head of Law & Regulation

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
2.2	To introduce an effective system for scrutiny of the Public Services Board, in response to the statutory duty placed on scrutiny by the WFGA (Scrutiny AR Action 2)	By April 2018	A new scrutiny committee structure was agreed at this year's AGM, including a separate committee for partnership scrutiny. This Committee is now up and running.	Implemented.	Head of Law & Regulation
2.3	To introduce a new report template to improve the quality and focus of the information that is presented to Committees (Scrutiny AR Action 3)	By November 2016 meeting cycle	This has been implemented and is on-going.	Implemented	Head of Law & Regulation
2.4	To continue to develop the links between Scrutiny and Auditors / Inspectors / Regulators, in particular to support work programming and training (Scrutiny AR Action 4)	Ongoing	Outcomes of the peer review with Caerphilly and Monmouthshire will be reported in the Scrutiny Annual Report. Further links with AIRs are being incorporated as the new work programmes develop.	Implemented	Head of Law & Regulation
2.5	To continue implementation of the Public Engagement Strategy agreed in 2015 (Scrutiny AR Action 5)	By April 2017	This has been implemented and is ongoing.	Implemented	Head of Law & Regulation
2.6	Cabinet work programmes are presented to each cabinet meeting	By April 2017	This has been implemented and is ongoing	Implemented	Head of Law & Regulation
2.7	The Democratic Services Committee are reviewing the various elements of the Constitution	Ongoing	This has been implemented and is ongoing	Implemented	Head of Law & Regulation
2.8	To develop the use of Committee pre-meetings in order to focus challenge more effectively and improve the quality of questioning. (Scrutiny AR Action 1)	July 2017	See 2.1 above	Implemented	Head of Law & Regulation

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
2.9	To introduce a new report template to improve the quality and focus of the information that is presented to Committees (Scrutiny AR Action 3)	By November 2016 meeting cycle	See 2.3 above	Implemented	Head of Law & Regulation
2.10	To develop the use of Committee pre-meetings in order to focus challenge more effectively and improve the quality of questioning. (Scrutiny AR Action 1)	July 2017	See 2.1 and 2.8 above	Implemented	Head of Law & Regulation
2.11	To continue regular meetings of the Chairs of Scrutiny, the Scrutiny Officer Team and leading Members of the Executive, to ensure a positive relationship continues, and workloads are coordinated effectively (Scrutiny AR Action 6)	Meetings already diarised	Meetings have taken place between the Chairs of Scrutiny, and further meetings are scheduled for March and April. The Chairs are monitoring the actions within the Scrutiny Annual Report for improvement of scrutiny, to monitor progress within the Scrutiny function and to assess the impact of agreed changes to processes (such as pre meetings, briefings, report templates, briefing notes)	Further meetings of the Chairs are scheduled and the Chairs are working through a programme of improvements and developments with Scrutiny – ensuring consistency between the 4 Committees approaches.	Head of Law & Regulation
2.12	To develop an appropriate role for Scrutiny within the new arrangements for managing performance, and building on the existing measures for service plan monitoring (Scrutiny AR Action 7)	By December 2017	We have introduced a new system for performance reporting, including scrutiny consideration.	Implemented	Head of Law & Regulation

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
2.13	To update and deliver the training and seminar programme for Members, including training to support: - Budget scrutiny - Performance scrutiny - Implementation of the Wellbeing of Future Generations Act (Scrutiny AR Action 8)	July 2017	Training for the new Committees is underway, and a report is being presented to Democratic Services Committee in November to start working towards the WLGA Member Development Charter.	Implemented	Head of Law & Regulation
2.14	To work with current Members to develop an effective scrutiny induction programme for Elected Members after the 2017 election. (Scrutiny AR Action 9)	July 2017	Programme implemented.	Implemented.	Head of Law & Regulation



## Recommendation 4

<b>Recommendation 4</b>	<p>The Council must continue to develop its people management arrangements, to ensure it has the capacity and capabilities necessary to change and improve. In doing so, it should:</p> <ul style="list-style-type: none"> <li>• continue to develop its draft Workforce Plan and associated action plans by, for each action: allocating responsibility to an officer and setting a deadline for completion; and</li> <li>• in the absence of a formal approach to 360-degree feedback for all staff, address manager inconsistency in carrying out appraisals and ensure all staff receive a constructive and developmental appraisal to support job performance.</li> </ul>
<b>WAO's Intended outcome/benefit</b>	<ul style="list-style-type: none"> <li>• The Council has effective workforce planning arrangements in place, which will help it deliver its vision and priorities.</li> <li>• Staff appraisals are consistently undertaken and to a good standard and these are used to inform staff development.</li> </ul>
<b>Responsible Officer</b>	Head of People & Business Change

## Action Update

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
4.1	Creation of a workforce plan review group	February 2016	Completed		Head of People & Business Change
4.2	Publication of workforce plan	June 2016	Completed		Head of People & Business Change
4.3	Second version of workforce plan in place for 2016/17	June 2016	Completed		Head of People & Business Change
4.4	HR Business Partners to meet with Head of Service to discuss workforce objectives for 2016/17	June 2016 onwards	Completed		Head of People & Business Change
4.5	2016/17 objective for workforce planning set in both service planning and individual objectives	May 2016	Completed		Head of People & Business Change

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
4.6	Carry out self-assessment audit to assess current performance and identify future priorities	December 2016	Completed		Head of People & Business Change
4.7	Conduct enhanced training on workforce planning for all HR/OD officers	December 2016	Completed		Head of People & Business Change
4.8	Feedback to managers on quality of appraisals sampled	October 2016	Feedback provided on sample of appraisals		Head of People & Business Change
4.9	Options to review current processes are investigated to bring about technology in the PM cycle and modernise the system	July 2017	Real-time performance management system introduced following successful pilot to replace the annual appraisal. Managers now required to meet monthly to discuss performance with employees and assess progress on real-time performance, not wait till the end of year.	Completed	Head of People & Business Change
4.10	Review of Coaching for Performance course and recommendations made on future procurement	August 2016	Review undertaken and we will continue to run the course but add additional coaching support in the form of ILM qualifications	Implemented	Head of People & Business Change
4.11	Solutions identified to offer both coaching and mentoring ILM qualifications	August 2016	ILM in coaching and mentoring has been identified and a cohort of 14 managers signed up – this commenced January 2017	Implemented	Head of People & Business Change

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
4.12	Creation of action learning set network	October 2016	<p>ILM in action learning sets identified and offered to managers but take up low at this point.</p> <p>Informal action learning set took place in one service area in November</p> <p>Focus will be on coaching at this time</p>	Implemented	Head of People & Business Change

## Recommendation 5

<b>Recommendation 5</b>	To strengthen the arrangements that enable the Council to scrutinise its improvement objectives. In doing so, the Council should: <ul style="list-style-type: none"> <li>• Enable Members to effectively challenge and scrutinise service performance: <ul style="list-style-type: none"> <li>▪ ensure that meeting agendas allow for sufficient time for Members to focus on (broad) underperformance; and</li> <li>▪ provide training on effective challenge and scrutiny for Members.</li> </ul> </li> </ul>
<b>WAO's Intended outcome/benefit</b>	Members are given accurate and timely information to enable them to challenge performance and progress against improvement objectives effectively. Remedial action is identified and taken forward. Performance is frequently discussed and challenged by scrutiny and members have sufficient time to do so. Members have the necessary skills to challenge and scrutinise effectively.
<b>Responsible Officer</b>	Head of People & Business Change

## Action Update

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
5.1	New Performance reporting framework in place ensures more information is provided to scrutiny and Cabinet Members in a timelier manner.	Framework agreed by Cabinet and Scrutiny Chairs September 2016	This has now been implemented	No further action planned	Head of People & Business Change
5.2	New performance management system will allow information on performance to be more visible and readily available around the authority.	New System Implemented April 2016 Further development continues.	Further work has been carried out on the system by Performance Management Officer. Development plan in progress and further training has been rolled out. The system is now available across the council with users able to comment on performance that is relative to them.	The system is now implemented for performance management data  The system will continue to be developed for other areas	Head of People & Business Change

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
5.3	Exception dashboards and reports for service plans highlight key areas.	January 2017	Service plans will adapted to cover the same time period as the corporate plan with regular reviews of progress and content. This will ensure that the service plans support the delivery of the corporate plan and allow service areas to plan in the short and longer term.	A new reporting framework has been developed in conjunction with Scrutiny and Scrutiny Members receive performance information on a regular basis in an agreed format. As service plans are developed a format for reporting will be agreed with Scrutiny Chairs.	Head of People & Business Change
5.4	Performance reports that go to Cabinet now go to the Scrutiny Chairs for Information.	Framework agreed by Cabinet September 2016	This has now been implemented, detailed improvement plan Cabinet update sent to Scrutiny for information for Q1	No further actions planned, this will be ongoing.	Head of People & Business Change
5.5	Heads of Service have regular briefing meetings with Cabinet Members who in turn brief the Leader of the Council.	Framework agreed by Cabinet September 2016	Heads of Service have had regular briefing meetings with Cabinet Members. Cabinet Members then brief the Leader of the Council.	This is now embedded, no further actions planned.	Chief Executive
5.6	We have put in place a training and seminar programme for Scrutiny Members, and we have also introduced pre-meetings to improve the focus and challenge of Member questions. We are also developing the new induction programme for May 2017 which will include focus on effective challenge.	Systems in place and in ongoing development Induction programme from May 2017	Induction programme delivered.  We have changed the scheduling for performance information, so that monitoring of improvement objectives and other performance information is presented to scrutiny ahead of Cabinet, so that scrutiny comments are considered as part of the Cabinet process.	Working towards WLGA Member Development Charter.	Head of Law & Regulation

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
			<p>A report was presented to Democratic Services Committee in November to start working towards the WLGA Member Development Charter. The Committee will receive an action plan on Member development be compiled brought back to the Committee for their input. The aim is to achieve the Charter in two years.</p>		

## Proposal for Improvement 1

<b>Proposal for Improvement 1</b>	The Council should: Provide Cabinet with a more detailed update of progress in addressing our Corporate Assessment and its Follow-up recommendations to facilitate more active discussion and challenge of progress.
<b>WAO's Intended outcome/benefit</b>	Cabinet are able to challenge and monitor progress against the Corporate Assessment action plan and understand reasons for delay and to identify further actions as necessary. There is open discussion of progress during public meetings so that public and members can see the progress being made.
<b>Responsible Officer</b>	Head of People & Business Change

## Action Update

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
1.1	The Action plan will be reported as a separate report in its own right; this will raise its profile with Members as it will be an agenda item.	The first report will go to cabinet on 17th October.	Cabinet have received the Review of progress in addressing the Corporate Assessment and Corporate Assessment Follow-up recommendations 2015/16.  The Quarterly update on progress against the Corporate Assessment Recommendations and Proposals for improvement is now considered by cabinet as a report in its own right.	No further action planned	Head of People & Business Change
1.2	The action plan will provide a more detailed update of progress made.	January 2017	The reporting process outlined in response to Recommendation 1 (ref 1.1 and 1.2) will ensure that sufficient detail is included.  The Quarterly update is now submitted to Chief Officers prior to submission to Cabinet to ensure that enough detail has been included.	No further action, this is now part of the process.	Head of People & Business Change

## Proposal for Improvement 2

<b>Proposal for Improvement 2</b>	Review the timespan for completion of return to work interviews.
<b>WAO's Intended outcome/benefit</b>	Return to work interviews are undertaken on a more timely basis for mutual benefit to the Council and the employee.
<b>Responsible Officer</b>	Head of People & Business Change

### Action update

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
2.1	<p>Newport is in the second quartile for sickness absence based on 2015/16 data, and is joint 7th based on the number of days lost per FTE. Our policy uses best practice of 7 calendar days for RTW's to be completed and whilst we do not achieve 100% submission, we do not believe that reducing the time frame will ensure greater submission response rates. However, we will look to move from a paper based system to an online one in an attempt to improve submission rates as we believe that completing paper documentation has a greater impact on delayed submission rates.</p>	September 2017	<p>We have rolled out People Manager on iTrent to managers in the organisation. We anticipate that this action will shorten the length of time to complete return to work interviews and will increase the percentage of returns within the timeframe.</p> <p>People Manager self-service in relation to sickness absence has been rolled out across the Council</p> <p>Newport continues to perform well nationally for sickness days lost and remains in the second quartile, above the Wales average.</p> <p>We have not been able to implement the online RTW screen in iTrent due to unavoidable delays. This is estimated to go</p>	<p>Further consideration of the removal of the paper form and move to an online form.</p> <p>We have reviewed the option of moving to an online form, but are now considering removing the form entirely and building an iTrent screen for managers to log the detail of the RTW when they are closing the period of sickness in the actual RTW discussion with the employee – removing the form altogether. This should remove practically all late RTW completion providing managers are holding the RTW discussion at the same time as closing the sickness on iTrent. It is anticipated that this will occur in April 2018.</p> <p>In addition, we will work with schools to investigate the reasons</p>	Head of People & Business Change



Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
			live in April 2018.	for late submission around school holiday time as on-time school submission rates are considerably lower than corporate rates.	

### Proposal for Improvement 3

<b>Proposal for Improvement 3</b>	Review whether it has appropriate capacity and capability within its People and Business Change service area to strengthen workforce planning.
<b>WAO's Intended outcome/benefit</b>	The Council has the confidence that it has the necessary resources and support to address workforce planning to meet its priorities and vision.
<b>Responsible Officer</b>	Head of People & Business Change

### Action update

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
3.1	Workforce planning has been a theme of the HR service plan for the last year and officers have been identified as leads for enabling workforce planning to become an integral function of the HR service. We have visited the Vale of Glamorgan, Swansea and RCT Councils to learn from their best practice and apply this knowledge at Newport. We intend to undertake the WAO self-assessment audit tool to review our progress and identify priorities for the future. Officers will be effectively trained on workforce planning There is a risk in terms of capacity within the HR/OD team as Newport has considerably fewer HR FTE than comparable Councils and priorities will need to be assessed accordingly.	September 2017	<p>Workforce Plan 2016/17 published and all service areas have completed their template for the year with their workforce planning objectives identified. HR Business Partners are working proactively with Heads of Service to discuss their templates as part of normal business discussions and each member of the HR team has contribution towards the workforce planning progress report.</p> <p>A SHRBP has been allocated responsibility for promoting workforce planning with service areas.</p> <p>The actions required for progress with the workforce plan are contained within the People and Culture Strategy</p>	<p>Currently working on a longer term workforce plan for the organisation which will match up to the next People Plan – i.e. a 5 year plan for both</p> <p>The draft People and Culture Strategy has a workforce plan element contained within it and is due to be signed off through the political process by March 2018.</p>	Head of People & Business Change

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
				We will be carrying out a workforce planning self-assessment exercise in the next quarter	