

Report

Audit Committee

Part 1

Date: 30 May 2017

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.

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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.

Proposal Audit Committee is asked to note the contents of the report and ensure that the council is addressing regulatory reports appropriately.

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

Background

This report builds on the information provided periodically to the Audit Committee since 19th September 2013. 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.

New Information for this report

- WAO Data Quality Assurance Arrangements. A draft presentation has been issued following an audit of Newport City Council's data quality assurance arrangements.
- CSSIW Inspection report Newport City Council Fostering Service.
- WAO Waste Review.
- WAO Financial Resilience 2016/17.
- WAO Corporate Assessment Follow up Review.
- WAO Certificate of Compliance. A certificate was issued to confirm that the authority has complied with the requirements of the Local Government Measure 2009 with regards to its Audit of the Improvement Plan performance measures.
- Annual Improvement Report.

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 17th October 2016 (page 15 onwards)

<https://democracy.newport.gov.uk/documents/g6566/Public%20reports%20pack%2017th-Oct-2016%2011.00%20Cabinet.pdf?T=10>

Cabinet 21st December 2016 (page 119 onwards)

<https://democracy.newport.gov.uk/documents/g6568/Public%20reports%20pack%2021st-Dec-2016%2011.00%20Cabinet.pdf?T=10>

Cabinet 24th April 2017 (page 33 onwards)

<https://democracy.newport.gov.uk/documents/g6746/Public%20reports%20pack%2024th-Apr-2017%2011.00%20Cabinet.pdf?T=10>

WAO Work Programme

Local Studies

WAO Undertake a programme of work at the council about our local arrangements. The following local work was being carried out during 2016/17

- Improvement Plan Year-end Review Certificate of Compliance – received November 2016.
- Corporate Assessment Follow up Review – received October 2016.
- Review of Waste Services – final report received action plan received by Scrutiny Committee.

- Annual Improvement Report – received October 2016.
- Data Quality Review 2016/17 – awaiting final report.

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;

- Financial Resilience – received December 2016.
- Governance Thematic Review – this report will go to the next available meeting following purdah.
- Improving wellbeing through housing adaptations - Newport is a study site, fieldwork completed February 2017 the WAO are visiting several other authorities so the report is not expected until later in the year.

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..

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. 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

The guidance on the Act is clear – it requires public bodies to maximise their contribution to improving the wellbeing of Wales. The Act provides a framework for better decision making by ensuring public bodies take account of the long term, focus on prevention, take an integrated and collaborative approach, and involve people in policy making and planning and delivery of services.

The Act places a duty on the public sector to:

- Adopt the Sustainable Development Principle
- Work towards 7 national wellbeing goals
- Focus work on future generations
- Take a central role in the establishment and scrutiny of a Public Services Board (PSB)
- Take a central role in the development of a Wellbeing Plan based on a long term needs assessment
- Respond to a new accountability framework including reporting and review by the Auditor General Wales

The Act has implications for how the local authority will work in future and Part 2 of the Act places an individual wellbeing duty on public bodies. Key areas where change needs to happen include:

- Corporate Planning
- Risk Management
- Workforce Planning
- Performance Management
- Financial Planning
- Procurement
- Assets

The Wellbeing of Future Generations Act 2015 which came into force in April 2016 sets the context for the move towards long term planning of services. A programme of training for senior management and elected members is underway so that the wide-ranging and transformational implications of the Act are understood and can be embedded in the Council's ways of working.

Key documents and processes have been revised so that they incorporate sustainable development and wellbeing principles. Over the last three years extensive public engagement has been undertaken in relation to setting service delivery priorities and identifying which services matter most to people, and contribute to their wellbeing. This will continue to inform future planning.

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 (26/03/15)

'Monitoring Regulatory Reports' Audit Committee (08/12/15)

'Monitoring Regulatory Reports' Audit Committee (24/03/16)

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

Dated: 10 May 2017

Appendix One Details of Regulatory Reports

Key: The following acronyms are used in the table below

LCL Scrutiny	Learning, Caring and Leisure Scrutiny Committee
CPD Scrutiny	Community Planning and Development Scrutiny
SRS Scrutiny	Streetscene, Regeneration and Safety Scrutiny Committee
ASSH	Cabinet Member: Adult Social Services and Housing
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
STS	Service Area: Streetscene and City Services

Education (Estyn Regulatory Reports)

Service Area	Report / Review and date	Reported to	Comments / follow up
Education	Commissioned Pre inspection of Education in preparation for Estyn inspection.	Cabinet and LCL Scrutiny	Outcomes shared with Leader and action planned to address points raised.

Social Services (CSSIW Regulatory Reports)

Service Area	Report / Review and date	Reported to	Comments / follow up
CYP	CSSIW Inspection report Newport City Council Fostering Service (p[age 53 onwards) https://democracy.newport.gov.uk/documents/g6650/Public%20reports%20pack%2021st-Sep-2016%2017.00%20Learning%20Caring%20and%20Leisure%20Scrutiny%20Committee.pdf?T=10	LCL Scrutiny 21st September 2016	Following the inspection the proposals for improvement and recommendations have been fulfilled.
ACS	CSSIW Inspection report Newport City Council Home Care Service http://cssiw.org.uk/docs/cssiw/report/inspection_reports/11834_4_e.pdf	Cabinet Member for ASSH September 2016	No areas of regulatory non-compliance identified during the inspection. The report was shared with the Cabinet Member, Leader and CEO.

Other Service Areas and Corporate Reports (WAO Regulatory Reports)

Service Area	Report / Review and date	Reported to	Comments / follow up
ALL	WAO Certificate of Compliance (page 153 onwards) https://democracy.newport.gov.uk/documents/g6564/Public%20reports%20pack%2011th-Jul-2016%2011.00%20Cabinet.pdf?T=10	Cabinet 11 th July 2016	A certificate was issued to confirm that the authority has complied with the requirements of the Local Government Measure 2009 with regards to its Audit of the Improvement Plan 2016-17.
STS	WAO Waste Review (page 13 onwards) https://democracy.newport.gov.uk/documents/g6658/Public%20reports%20pack%2013th-Oct-2016%2017.00%20Streetscene%20Regeneration%20and%20Safety%20Scrutiny%20Committee.pdf?T=10	Cabinet Member and SRS Scrutiny 13 th October 2016	Action plan to address proposals for improvement.
FIN	WAO Financial Resilience 2016/17 (page 69 onwards) https://democracy.newport.gov.uk/documents/g6566/Public%20reports%20pack%2017th-Oct-2016%2011.00%20Cabinet.pdf?T=10	Cabinet 17 th October 2016	Action plan to address proposals for improvement.
ALL	WAO Corporate Assessment Follow up Review (page 15 onwards) https://democracy.newport.gov.uk/documents/g6566/Public%20reports%20pack%2017th-Oct-2016%2011.00%20Cabinet.pdf?T=10	Cabinet 17 TH October 2016	A follow up of the Corporate Assessment Review undertaken in 2015.
ALL	WAO Certificate of Compliance (page 153 onwards) https://democracy.newport.gov.uk/documents/g6568/Public%20reports%20pack%2021st-Dec-2016%2011.00%20Cabinet.pdf?T=10	Cabinet 21 st December 2016	A second certificate was issued to confirm that the authority has complied with the requirements of the Local Government Measure 2009 following and audit of the Improvement Plan Annual Review 2015-16.
ALL	Annual Improvement Report (page 147 onwards) https://democracy.newport.gov.uk/documents/g6743/Public%20reports%20pack%2016th-Jan-2017%2011.00%20Cabinet.pdf?T=10	Cabinet 16 th January 2017	An assessment as to whether the authority will meet statutory continuous improvement duties.
ALL	UPCOMING: Governance Thematic Review	Cabinet	Final report received – will be reported to Cabinet following purdah.

Service Area	Report / Review and date	Reported to	Comments / follow up
ALL	UPCOMING: WAO Data Quality Review	TBC	An assessment of the accuracy of the performance data produced by the authority. The WAO have just completed Fieldwork for the 2017 Data Quality Review. Final report expected imminently.
RIH	UPCOMING: WAO Improving wellbeing through housing adaptations	TBC	Fieldwork completed February 2017. Final report expected late summer 2017.

Appendix Two
Update on Wales Audit Office Proposals for Improvement and Recommendations
 (Reported to Cabinet on 24th April 2017)

Recommendations		Number of actions identified in initial action plan	Number of actions completed	Number of Outstanding actions
(Note: reference numbers do not coincide due to recommendations closed by the WAO e.g. recommendation 3 has been closed)				
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	1	2
Recommendation 2	<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"> strengthening committee work programming arrangements to ensure they are timely, meaningful, informative, transparent, balanced, monitored, and joined up; 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; empowering Members to be more proactive and accountable for their roles and responsibilities; 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 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. 	14	3	11
Recommendation 4	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:	12	11	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
	<ul style="list-style-type: none"> • 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 • 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. 			
Recommendation 5	<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"> • Enable Members to effectively challenge and scrutinise service performance: <ul style="list-style-type: none"> ▪ ensure that meeting agendas allow for sufficient time for Members to focus on (broad) underperformance; and ▪ provide training on effective challenge and scrutiny for Members. 	6	3	3

Completed actions are highlighted in grey

Recommendation 1

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.
WAO's Intended outcome/benefit	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.
Responsible Officer	Chief Executive Head of Law & Regulation

Ref	Planned Actions	Completi on 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	Keep under review	Head of Law & Regulation

Recommendation 2

Recommendation 2	<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"> • strengthening committee work programming arrangements to ensure they are timely, meaningful, informative, transparent, balanced, monitored, and joined up; • 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; • empowering Members to be more proactive and accountable for their roles and responsibilities; • 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 • 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.
WAO's Intended outcome/benefit	<ul style="list-style-type: none"> • The areas of focus of each of the committees is clear, linked to corporate priorities, regularly updated and considered in an open forum. • The Council's constitution accurately reflects existing arrangements and clearly sets out roles and responsibilities. • Members are able to fulfil their roles effectively and are held to account for these roles. • Scrutiny is used effectively to inform policy development and hold Cabinet Members and officers to account for performance. • Members and officers are equipped and supported to undertake their roles.
Responsible Officer	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	The three overview and Scrutiny Committees are now using pre meetings at every meeting to develop questioning strategies and to work towards the intended	To continue with Pre meetings when the Committees are reconstituted in May, and to develop and improve this process.	Head of Law & Regulation

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
			<p>outcomes of the meeting.</p> <p>We have now introduced a more detailed pre meeting agenda, including suggested areas of focus. This is based on the briefing notes that had previously been prepared for the Chairs.</p>	<p>We are also looking into possible training to include for the new members on composing and targeting questions which could provide support to Members in improving the quality of the questioning.</p>	
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	<p>An interim system is currently in place, with SSRS Scrutiny Committee acting as the designated Committee for PSB scrutiny.</p> <p>A Policy Review Group is considering the most effective framework for PSB scrutiny to meet the requirements of the act, to be reported back to SSRS at its meeting on 20 April.</p>	<p>The outcomes of the PRG group considering the most effective framework for PSB scrutiny will be presented to the SSRS Committee in April and to the Council after the election. To confirm the most effective structure for the scrutiny of the PSB.</p>	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	A new template has been introduced and is in use.	Continue to review and amend as necessary, to improve the quality and focus of information that is presented to the Committee.	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	Ongoing	Currently undertaking a Scrutiny Peer Review with Caerphilly and Monmouth with support of the WAO.	This will be reviewed through next year's work programme and the scrutiny induction and training programme post-election.	Head of Law & Regulation

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
	training (Scrutiny AR Action 4)			Outcomes of the peer review will be reported in the Scrutiny Annual Report.	
2.5	To continue implementation of the Public Engagement Strategy agreed in 2015 (Scrutiny AR Action 5)	By April 2017	Implementation on going. Feedback forms have been drafted and are ready to be used for the meetings post-Election. This has been reported to the Chairs of Scrutiny at its meeting in March.	Improve the website information for scrutiny, and ensure systems in place post May to publish forward work programmes regularly, and to utilise social media where appropriate to publicise scrutiny investigations, work programmes and calls for items.	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	Continue	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	Continue	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		Head of Law & Regulation
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		Head of Law & Regulation
2.10	To develop the use of Committee pre-meetings in order to focus	July 2017	See 2.1 and 2.8 ABOVE		Head of Law & Regulation

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
	challenge more effectively and improve the quality of questioning. (Scrutiny AR Action 1)				
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 diarised.	Continue with regular meetings. Post-election, ensure that a schedule of meetings is set up for meetings with the Chairs and the Executive at regular intervals.	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 2016	Implemented, to be kept under review. New template for the service plans discussed with the scrutiny team and chairs.	Keep under review.	Head of Law & Regulation
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 and seminar sessions on-going. PSB Scrutiny PRG Group took part in training seminars on the Wellbeing act as part of their Ongoing review.	Developing training programme for new scrutiny members post-election. Continue and develop the member Seminar list.	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 being prepared for post – election.	Programme for induction will be finalised and implemented in May. Ongoing training needs will be reviewed as needed.	Head of Law & Regulation

Recommendation 4

Recommendation 4	<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"> • 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 • 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.
WAO's Intended outcome/benefit	<ul style="list-style-type: none"> • The Council has effective workforce planning arrangements in place, which will help it deliver its vision and priorities. • Staff appraisals are consistently undertaken and to a good standard and these are used to inform staff development.
Responsible Officer	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
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	December	Completed		Head of People &

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
	workforce planning for all HR/OD officers	2016			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	Currently on a pilot for new performance management system to move to a continuous performance management process instead of an annual appraisal	Make determination as to whether to proceed and roll out across the Council. Plan roll out of training and support to use the system	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
4.12	Creation of action learning set network	October 2016	ILM in action learning sets identified and offered to managers but take up low at this point. Informal action learning set took place in one service area in November Focus will be on coaching at this time	Implemented	Head of People & Business Change

Recommendation 5

Recommendation 5	<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"> • Enable Members to effectively challenge and scrutinise service performance: <ul style="list-style-type: none"> ▪ ensure that meeting agendas allow for sufficient time for Members to focus on (broad) underperformance; and ▪ provide training on effective challenge and scrutiny for Members.
WAO's Intended outcome/benefit	<p>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.</p> <p>Performance is frequently discussed and challenged by scrutiny and members have sufficient time to do so.</p> <p>Members have the necessary skills to challenge and scrutinise effectively.</p>
Responsible Officer	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 agreed and further training has been rolled out.	Further system development to be completed and rolled out with training offered to users. More users to be added to the system to ensure that data is visible across the Council.	Head of People & Business Change
5.3	Exception dashboards and reports for service plans highlight key areas.	July 2017	Mid-year reviews have been completed and provided to scrutiny along with exception dashboards that clearly show	The Service Planning process and template will be reviewed on an annual basis to ensure that process works and	Head of People & Business Change

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			<p>areas of underperformance.</p> <p>Service planning process and template has been reviewed and new templates agreed and distributed for 2017/18 (to be completed for July 2017 Scrutiny Meetings)</p>	<p>adapts to the changing environment in which the council operates.</p>	
5.4	<p>Performance reports that go to Cabinet now go to the Scrutiny Chairs for Information.</p>	<p>Framework agreed by Cabinet September 2016</p>	<p>This has now been implemented, detailed improvement plan Cabinet update sent to Scrutiny for information for Q1</p>	<p>No further actions planned, this will be ongoing.</p>	<p>Head of People & Business Change</p>
5.5	<p>Heads of Service have regular briefing meetings with Cabinet Members who in turn brief the Leader of the Council.</p>	<p>Framework agreed by Cabinet September 2016</p>	<p>Heads of Service have had regular briefing meetings with Cabinet Members. Cabinet Members then brief the Leader of the Council.</p>	<p>This is now embedded, no further actions planned.</p>	<p>Chief Executive</p>
5.6	<p>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.</p>	<p>Systems in place and in ongoing development Induction programme from May 2017</p>	<p>The Democratic Services Committee has agreed the basis of an induction/ training programme post-election 2017</p> <p>Link here: https://democracy.newport.gov.uk/documents/s4397/Item%204%20Induction%20for%20members.pdf</p>	<p>The programme is developing but to date dates are agreed for</p> <ul style="list-style-type: none"> • Planning Training • Licensing Training • Code of Conduct Training <p>Scrutiny Training will be delivered at the first meeting of the committee Democratic Service Committee training will be delivered at the first meeting of that committee</p> <p>Date: May 2017 and on-going</p>	<p>Head of Law & Regulation</p>

Proposal for Improvement 1

Proposal for Improvement 1	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.
WAO's Intended outcome/benefit	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.
Responsible Officer	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

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

Action update

Ref	Planned Actions	Completion Date	Progress to date	Planned next quarter	Responsible Officer
2.1	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.	September 2017	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.	Further consideration of the removal of the paper form and move to an online form. Full review of the process across service areas	Head of People & Business Change

Proposal for Improvement 3

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

Proposals for Improvement from Previous Reviews

Proposals for Improvement from the Corporate Assessment 2013 and Corporate Assessment Review April 2015 (includes those from Data Quality, Transformation and ICT Reviews) which are still in progress.

Ref	Proposal	Progress update	Actions planned next quarter	Expected close down date	Responsible Officer
	<ul style="list-style-type: none"> ensure that it has in place the people and resources capable of implementing the organisational framework and delivering subsequent service changes; and 	<p>This is an ongoing issue which is unlikely to be solved in the short term due to ongoing budget cuts.</p> <p>It is included as a risk in the corporate risk register, service plans and the risks associated with the Change Programme.</p>	<p>This will continue to be monitored in the risk register no further actions planned for this report.</p>	<p>Ongoing with regular reports to CM for Resources and Finance</p>	<p>Head of People and Business Change</p>
42	<p>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.</p>	<p>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 council's collaborative activity is now available.</p> <p>Service plans and reviews contain collaborative information and were considered by Scrutiny in Autumn</p> <p>Local Government Secretary Mark Drakeford has set out a timetable for talks on local government reform that will include collaborative arrangements. Consultation is in progress and the minister has</p>	<p>Awaiting the outcome of the consultation, which will heavily influence the council's on going approach to collaborative projects.</p> <p>The Councils Wellbeing Objectives have been agreed and planning templates have been reviewed and revised in accordance with the 5 ways of working detailed in the Wellbeing of Future Generations act.</p> <p>The need to consider collaborative working in planning and implementation is now embedded and will be monitored through the strategic planning reporting framework.</p>	<p>September 2017</p>	<p>Head of People and Business Change</p>

Ref	Proposal	Progress update	Actions planned next quarter	Expected close down date	Responsible Officer
		<p>expressed the need for a cultural shift to deal with the pressures facing local government. If regional arrangements work then that not only makes services more sustainable but sets a future precedent for doing things differently and in a much better way.</p> <p>Councils are also required to demonstrate collaboration as one of the five ways of working under the Wellbeing of Future Generations Act. All the council's strategic plans now consider the five ways of working, the councils Wellbeing Objectives will be in place by April 2017 and this will inform all future strategic planning.</p>			
50	<p>Learning and evaluation P4 Strengthen the arrangements to capture and share learning by:</p> <ul style="list-style-type: none"> <input type="checkbox"/> more consistent evaluation of reviews at key stages and on completion; <input type="checkbox"/> strengthening mechanisms to capture, share and apply learning on a corporate basis; and <input type="checkbox"/> establishing mechanisms to systematically obtain post-implementation feedback from 	<p>Gateway review process and post implementation reviews defined as part of the Newport Programme and Project Management methodology.</p> <p>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 period</p>	<p>The WAO have completed a review of governance arrangements, the outcome of this will form the basis of an action plan which will address any further issues related to this point.</p>	September 2017	Head of People and Business Change

Ref	Proposal	Progress update	Actions planned next quarter	Expected close down date	Responsible Officer
	<p>staff and managers, for example to assess the impact on staff capacity, identify training and IT needs and learn from their experience.</p>	<p>Lessons Learned log completed for the Norse Property Joint Venture, Street cleansing and Refuse.</p> <p>Lessons learned report completed for the 2015/16 budget setting process and disseminated among Senior management.</p> <p>Lessons learned report completed for the initial stages of the New Ways of Working Change programme.</p> <p>Lessons learned report completed for the 2016/17 budget setting process and disseminated among Senior management.</p> <p>Continue to roll out the Gateway Review process and post implementation review process across all initiatives within the Change Programme.</p> <p>Ensure adherence to the Gateway Review process and post implementation review process by embedding within the governance process for the Change programme.</p> <p>Review options for disseminating</p>			

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		<p>and apply learning on a corporate basis.</p> <p>Lessons learned log will be completed for current budget setting process after its completion.</p>			

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58	<p>Test the information technology business continuity plan to ensure it operates as anticipated. In particular the Council should test a scenario where both server rooms at the Civic Centre are not available to determine how long it will take to set up an offsite server room and what affect this has on its timetable for restoring its critical systems.</p>	<p>Planned simulation exercise took place in Dec 15 and examined The potential outcomes if the Civic Centre machine rooms were lost.</p> <p>The exercise concentrated on the highest priority systems, and we have an action plan to make improvements in the short, medium and long term periods.</p> <p>Shared Resource Service (SRS) management resource engaged to increase IT capacity focussed on disaster recovery improvements</p> <p>Procurement of infrastructure carried out and awaiting delivery of equipment. Supplier engaged to assist with implementation of solution</p> <p>Equipment delivered and configured by supplier awaiting circuit delivery between us and the SRS.</p>	<p>Circuit installation completion.</p> <p>Transport of equipment from Newport to SRS and re-configuration</p> <p>Backups to new servers and replication to SRS</p>	March 2018	Head of People and Business Change

Ref	Proposal	Progress update	Actions planned next quarter	Expected close down date	Responsible Officer
61 (NEW)	<p>The Council must ensure that it has robust data collection arrangements for its own self-defined performance indicators that include ensuring that:</p> <ul style="list-style-type: none"> • (P1.1) the Council's corporate arrangements for performance management are being rigorously implemented by service departments; • (P1.2) the Council's own internal information systems (VIEWS) reconcile with the final validated data; and • (P1.3) a complete audit trail of the Council's own internal processes for validating performance indicator data is retained. 	<p>Self-Assessments are completed on an annual basis and this is now monitored through the Performance Management SharePoint library.</p> <p>Operational Performance Network (OPN) meetings now held quarterly to keep officers up to date and further instil importance of data quality arrangements.</p> <p>New performance Management system (MI Hub) now implemented as a replacement for the Views system. Further development will see the system used for processes which currently rely on word templates which add further rigour.</p> <p>The Internal Audit of PI's has been completed and the findings of this have been communicated to OPN and will be discussed at</p>	<p>The WAO have completed a review of data quality arrangements, the outcome of this will form the basis of an action plan which will address any further issues related to this proposal.</p>	September 2017	Head of People and Business Change

Ref	Proposal	Progress update	Actions planned next quarter	Expected close down date	Responsible Officer
		<p>change board – this is now an embedded process which provides additional assurance to the self-assessment process and the data checks carried out by the Business Improvement and Performance.</p> <p>New performance management system (MI Hub) implemented as a replacement for Views and training has been provided.</p>			