

## Appendix A

### Audit Committee 9<sup>th</sup> November 17

#### WAO Proposals for Improvement – Status update report

Swansea Council is tracking proposals for improvement made by the WAO since 2014/15.

Some of these proposals are very similar to each other and are grouped together where appropriate.

The following is a summary of progress and next steps.

Proposal	<b>Corporate Assessment 2014/15 P1</b> Ensure records of delegated decisions made by officers are accurately recorded
Progress	The Head of Legal will do this in the forthcoming year. The work will include a register of delegated decisions made by both officers and Members and will include a financial or other threshold for recording decisions and an understanding rolled out via training as to the approach.
Next Steps	See above.
Responsible Officer	Head of Legal, Democratic Services and Business Intelligence

Proposal	<b>WAO Annual Improvement Report 2015/16 Proposal P1</b> - Improve the effectiveness of decision making by reviewing the effectiveness and resource implications of all task and finish groups, management committees, and improvement boards; and clarifying responsibilities for elements of performance
Progress	A list of all Outside Bodies, Partnerships, Boards was collated listing both elected Members and officer representation. It also includes where possible terms of reference and decision making/advisory status. Following local government election, the Councillor Induction and Training Programme included external training on what it means to be a Member led authority and respective roles and responsibilities of officers and Members.
Next Steps	Proposal is closed.
Responsible Officer	Head of Legal, Democratic Services and Business Intelligence

Proposal	<b>WAO Annual Improvement Report 2015/16 Proposal P2.</b> Improve external reporting of performance by: <ul style="list-style-type: none"><li>• developing the Council's website; engaging user groups in determining the most effective and efficient ways of reporting performance, and then taking action to improve public reporting;</li><li>• maximising the impact of performance reports by assessing their readability and comprehension; and</li></ul>
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	<ul style="list-style-type: none"> <li>assessing the costs and benefits of any opportunities to communicate performance information using video, social media, and interactive media.</li> </ul>
Progress	The Council's Corporate Plan has been refreshed and a small number of well-being objectives identified following the election and in response to the Well-being of Future Generations Act. The Council's suite of performance indicators are more relevant to corporate priorities following a review. A new ICT system Data, Action & Risk Tool (DART) to gather and report performance data is complete; an extension of the system's functionality will follow as part of a rolling development programme.
Next Steps	Developing the Council's website and transparency of information, joining information and intelligence will be a focus. Issuing communications from the CEO and Director of Resources using video, internally in the first instance and then expanding to externally. Developing the reporting functionality of the DART performance system is underway.
Responsible Officer	Corporate Director (Resources)

Proposal	<b>WAO Annual Improvement Report 2015/16 Proposal P4</b> Improve performance management by increasing the coverage, positive impact and frequency of formal staff appraisals.
Progress	The Council has sought to improve the capability for workforce reporting and online appraisal in Oracle, which includes encouraging employees to update the system to contain employee qualifications information. The online Appraisal module functionality was implemented in December 16 for early adoption by pilot service areas; supporting e-learning training was implemented early 2017. An Employee Behaviours Framework was completed and trialled in the 2016/17 appraisal process.
Next Steps	Work will continue on the Employee Behaviours framework to embed them into all aspects of the employee life cycle.
Responsible Officer	Head of Human Resources

Proposal	<p><b>WAO Annual Improvement Report 2015/16 Proposal P5</b> Ensure timescales for the delivery of specific savings proposals are realistic and act to drive delivery.</p> <p><b>WAO Annual Improvement Report 2015/16 Proposal P6</b> Ensure responsibility for delivery of planned savings is assigned to specific managers' services.</p>
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	<p><b>WAO Savings Planning 2017/18 P1</b></p> <p>Strengthen financial planning arrangements by:</p> <ul style="list-style-type: none"> <li>• ensuring that savings plans are sufficiently well developed and risk assessed before inclusion in the budget;</li> <li>• assigning responsibility for the delivery of all planned savings to specific managers' services.</li> </ul>
Progress	<p>A review of the Council's transformation programme <i>Sustainable Swansea – Fit for the Future</i> is undertaken and modified annually. The 2017/18 budget co-produced with Cabinet set realistic savings targets aligned to transformational change. Phase two commissioning reviews, which are the vehicles for transformational change, are on track to be completed in 2017/18</p> <p>Crosscutting commissioning reviews agreed with Members are Integrated Transportation, Building Sustainable Communities, Outcomes for Citizens and the Capital programme. Each review is prioritised and is sponsored by a Member of CMT.</p>
Next Steps	<p>The 2018/21 budget will be aligned with transformational outcomes / activities and the Council will implement the crosscutting reviews.</p>
Responsible Officer	<p>Corporate Director (Resources)</p>

Proposal	<p><b>WAO Annual Improvement Report 2015/16 Proposal P3</b> Improve service business planning by:</p> <ul style="list-style-type: none"> <li>• Further developing the Council's service planning toolkit to include: <ul style="list-style-type: none"> <li>○ giving greater clarity on operational priorities and to pinpoint budget savings;</li> <li>○ developing an appropriate set of smaller, more focused, representative and outcome-based local performance indicators for each service; and</li> <li>○ improving data quality and security by acting on the findings of recent internal data quality reviews, and continue testing data security systems and policies.</li> </ul> </li> </ul>
Progress	<p>Revisions made to the 2017/18 service planning process and toolkit included helping embed the 5 ways of working set out by the Well-being of Future Generations Act.</p>
Next Steps	<p>Continuing work to embed the 5 ways of working and further improve vertical alignment to the Council's Well-being Objectives set out within the Corporate Plan.</p>
Responsible Officer	<p>Corporate Director (Resources)</p>

Proposal	<p><b>WAO Good Governance 2016/17 P1</b> Improve public access to</p>
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	information about the Council's Commissioning Review activity and outcomes by linking together all the website information about the overall programme and signposting its availability
Progress	The corporate communications team have designed a programme specific newsletter for internal use this is to be evolved for public use also, this will link all the elements together so they are easily accessible
Next Steps	Arrange a meeting to discuss improvement to web pages for public access with Web team. Launch newsletter & web pages.
Responsible Officer	Corporate Director (Resources)

Proposal	<b>WAO Good Governance 2016/17 P2</b> Whilst potential financial savings are consistently identified the Council should ensure that the process for concluding a review consistently identifies the intended impact for service users and the means by which that impact will be evaluated in the future.
Progress	Outcomes and their evaluation and measurement is not currently part of options appraisal reports for each review (build into implementation, templates & toolkit). An initial exercise is underway for all reviews that have been within implementation for 12 months to gather in achievements to date, how they will measure the outcomes including any intended financial outcomes and by when. This is in the process of being aligned to original agreed cabinet reports from 2015/16 to ensure what was agreed has been implemented. Equality Impact Assessments (EIA's) are now standard requirement for Cabinet process.
Next Steps	Update and amend commissioning toolkit. Ongoing monitoring and development of outcomes evaluation process. Develop review programme for the next phase of the programme. Paper to scrutiny – post implementation review.
Responsible Officer	Corporate Director (Resources)