

Quality Assessment Improvement Plan

Introduction

This report provides the Board with information on the progress made against the Quality Assessment Improvement Plan (QAIP). The QAIP is reviewed periodically by the Management Team and by the Board at its meetings. The plan is kept under review and reports are presented to the Board on a regular basis. This provides assurance that the issues identified as part of the last review and any new improvements are being effectively managed through to completion.

Resolution

1. That the Board notes the latest update and the proposed actions in place to address the issues identified within the QAIP.

Background

The action plan was last reviewed by the Board of Directors on the 5th January 2015. The action plan remains in the same format as previously presented, with completed actions having been highlighted for removal and new items / or updates to existing items added in red text.

Further progress has been made in completing actions in the following areas:-

- Internal Audit of SWAP has been completed by the Devon Audit Partnership
- Actions arising from the Local Partnerships report have been appended to the QAIP as have further actions identified from a Management Team Away Day post restructure.

The Board's attention should be drawn to the 'management response' column which summarises the actions to be completed to address the recommendation.

A full copy of the outstanding actions is included as an appendix to this report.

C. Gunn – Company Secretary – 17th April 2015

SWAP Quality Assessment Improvement Plan (QAIP)

Final Action Plan

Finding	Recommendation	Priority Rating	Management Response	Responsible Officer	Implementation Date
Periodic Reviews of SWAP to be regularly completed.	I recommend that the SWAP Management Team agree a time period for regular reviews, currently recommend every five years minimum, with an interim review part way through the agreed period.	3	This Action Plan will be kept under constant review. We envisage completing a full review every three years.	Chief Executive	On-Going March 2015
The Client Questionnaire Returns have highlighted a number of matters that need consideration by the Management Team and a plan devised as to how SWAP will respond to improve some of the issues raised.	I also recommend that the Chief Executive ensures that Directors follow up all scores assessed below 3 (Good) with individual Client Officers.	4 3	Agreed. Reduced priority as much picked up in LP report Client Survey results have been shared however, this action has been deferred due to restructuring and other priorities and we hope to revisit it in the new year.	SWAP Management Team	October 2012 October 2014 March 2015 September 2015
	In line conjunction with following up on scores assessed below 3 (Good), I recommend that the Chief Executive ensures that Directors follow up on all comments made with individual Client Officers.	4 3	Agreed. Reduced priority as much picked up in LP report As Above	SWAP Management Team	October 2012 October 2014 March 2015 September 2015

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<p>External assessments must be carried out at least once every five years by a qualified independent reviewer or team from outside the organisation. The chief audit executive must discuss with the board:</p> <p>The need for more frequent external assessments; and</p> <p>The qualifications and independence of the external reviewer or review team, including any potential conflict of interest.”</p>	<p>I would therefore recommend the following:</p> <p>The Chief Executive should use the results of this review to determine whether there is a need for more frequent external assessment.</p>	3	<p>The results of this Assessment have been favourable identifying no failings with regards to the Standards.</p> <p>However, as referred to above we will endeavour to carry out a full Quality Review Assessment every three years.</p> <p>A meeting is taking place on 29th April with the four other major audit partnerships – a repeat of the 2012 exercise is on the agenda and will be scheduled in later this year.</p>	Chief Executive	<p>March 2015</p> <p>September 2015</p>
ACTIONS IN RESPONSE TO STAFF FEEDBACK:					
<p>Partner Websites do not all have clear links to the SWAP website. (Source FFL Reviews)</p>	<p>Audit Managers have agreed to liaise with Client Officers to ensure there is a clear link from Partner Websites to SWAPs.</p>	3	<p>Agreed, progress to be confirmed with Audit Managers</p> <p>The SWAP Website is undergoing some developments – when this is completed and re-launched we will pick up on this action.</p>	SWAP Management Team/ Audit Managers	<p>July 2014</p> <p>22 Oct 2014</p> <p>January 2015</p> <p>June 2015</p>

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Outcome from External Audit of Accounts identified control weaknesses	<p>SWAP MT implement procedures to address the External Auditor's concerns on some issues identified during the External Audit of the Accounts regarding :-</p> <p>The capitalisation of fixed assets Review of Bank Reconciliations Authorisation of Purchase Orders Identification of Non-Partner Income</p>	3	<p>The Company Secretary has reviewed and implemented revised processes.</p> <p>These will be independently audited by DAP to provide the Board assurance.</p> <p>DAP are gaining approval from their Board to complete this work.</p>	The Company Secretary	<p>Completed</p> <p>November 2014</p> <p>Completed</p>
Local Partnerships have identified a number of potential areas for improvement	<p>SWAP MT will present the report to the Board on the 15th January 2015 meeting and prepare an action plan and respond accordingly.</p>	3	<p>Present to Board 15th January and then devise a response plan and incorporate key findings in Business Plan.</p> <p>Actions and responses have been added below.</p>	Management Team	<p>April 2015</p> <p>Completed</p>
SWAP has not fully explored the potential for expanding its current customer base. (Source LP Report)	<p>That SWAP undertake a relationship mapping exercise in order to identify new and emerging business development opportunities and to facilitate the development of a shared business development vision.</p>	4	<p>We agree with the finding and see the importance of following this through. However, post restructure the target date (suggested end of quarter one) will not be realistic and therefore we have targeted to complete by the end of the second quarter.</p>	Management Team	<p>End of September 2015</p>

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Strategic drivers for SWAP although agreed in principle, are not clearly articulated to ensure focussed direction moving forward. (Source LP Report)	That SWAP clarifies its strategic drivers in order to inform its future business plan.	4	Agreed – this now forms a part of SWAP Business Plan	Gerry Cox	Completed
Some front-line staff do not necessarily feel sufficiently informed, empowered, incentivised or skilled to identify and attract new wo (Source LP Report)	That SWAP should encourage (and where necessary provide training) to staff to see business development as a key part of their role.	3	Agreed – we will encourage this with staff starting with our April Staff Away Day. We have also developed a proforma for staff to capture any interest and report to our new AD for External Clients to follow through. Further matters covering training etc will be addressed moving forward.	Management Team	In Progress and On-Going
Opportunities for customers to discuss emerging business requirements and for the management team to discuss their plans and direction of travel are being missed. (Source LP Report)	That SWAP management team instigate one-to-one meetings with member Section 151 officers and consider re-establishing a form of user forum or some form of engagement by virtual means.	3	Agreed – A Director will attend the Somerset meeting of s151 Officers and individual meetings will be scheduled in throughout the year.	Management Team	In Progress and On-Going

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There is scope to more widely disseminate information about SWAP's achievements and performance. (Source LP Report)	That SWAP considers the production of an annual report to raise awareness of SWAP's services and achievements amongst members and potential customers.	4	We will produce an annual report for SWAP and use this as a means to inform our Partners and others of achievements throughout the year. This will also be used as a marketing tool when attending conferences etc.	Management Team	Mid-May
Setting up a separate trading company to service non-Teckal members (public, private or third sector) remains an option. (Source LP Report)	That SWAP undertake a full appraisal and prioritisation of options for business development, including determining the most effective potential business structures to support the preferred approach.	3	This will be picked up later in the year after our marketing plan has been developed.	Management Team	End September 2015
There is significant scope to adopt a more pro-active approach to marketing SWAP's services. (Source LP Report)	That SWAP develop a marketing strategy which is aligned with its strategic drivers and vision for business development	4	Starting with a marketing strategy and appropriate budget we will develop our approach to marketing SWAP. Initial approaches will be made to marketing 'experts' to seek advice on our approach.	Gerry Cox	End of May 2015 for initial research

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We have a suite of KPI's which are reported on the balanced scorecard. These haven't been reviewed for some time. (Source MT Away Days)	Current KPI's should be reviewed to ensure they demonstrate achievement of our objectives and are complete.	3	We will review our current KPI's to challenge them for relevance and where necessary introduce new ones.	Management Team	October 2015
A number of clients are starting to question the length and structure of our audit reports. (Source MT Away Days)	We will review the report structure and seek the views of our clients before considering a refresh.	4	We will invite further feedback from our client officers – letting them know the issues already raised by some. We will also set up a working group to review the content and structure of audit reports for final agreement.	Management Team	September 2015