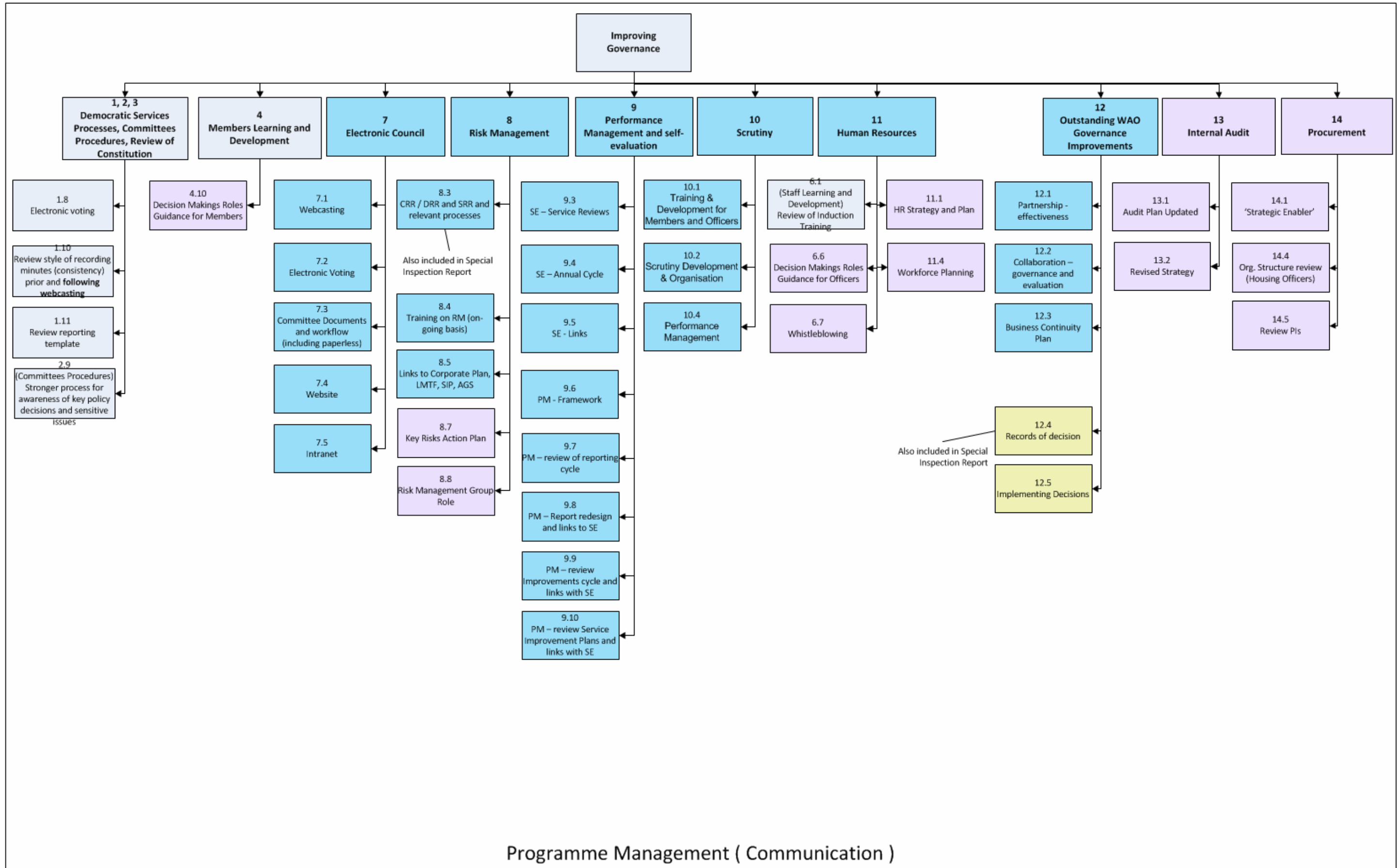
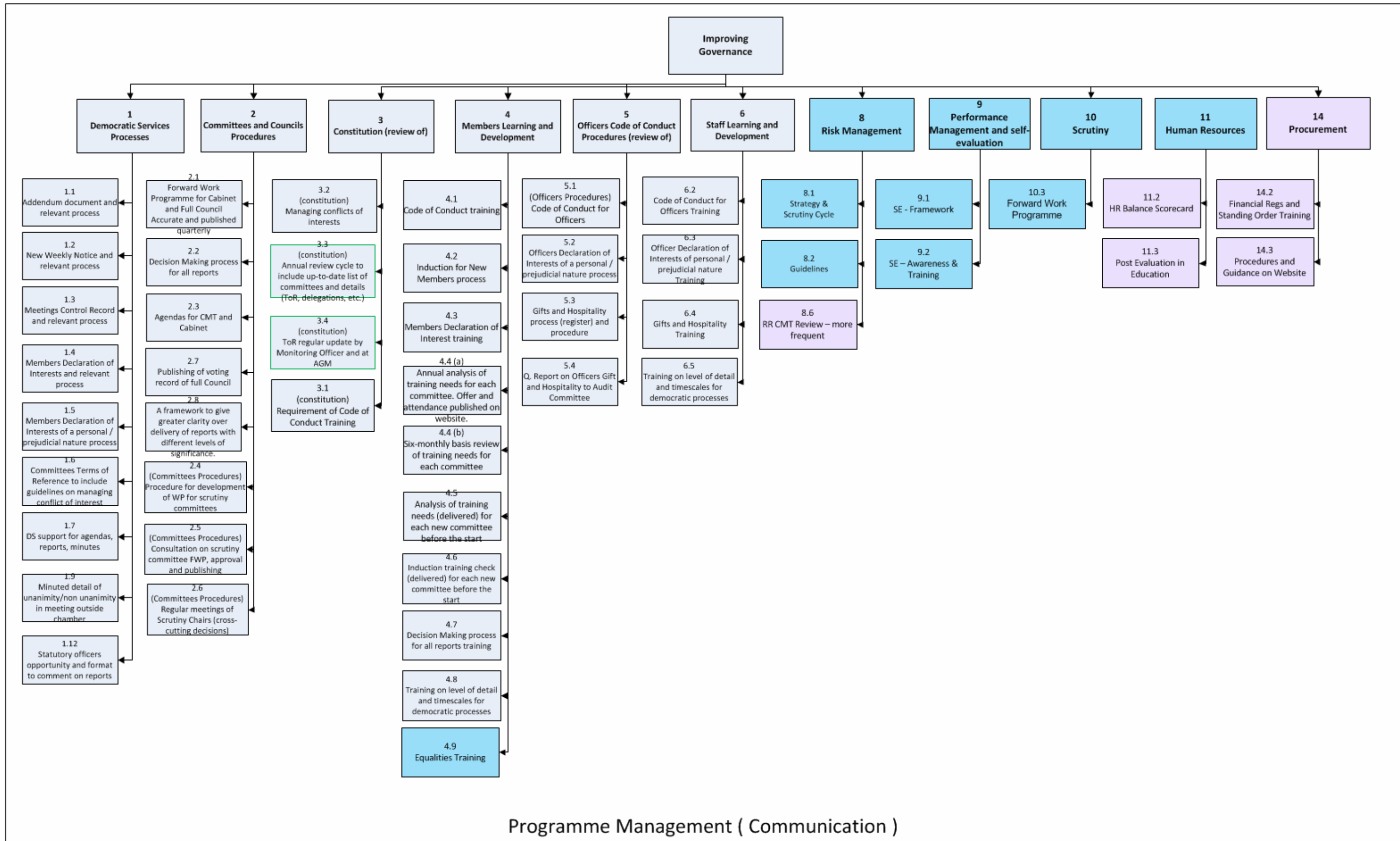


Improving Governance Programme – Work Breakdown Structure – Work Outstanding as of 2014-05-21



Key	WAO Public Interest Report March 2013	Additional Areas	WAO Allowances PIR	WAO Special Inspection Report

Improving Governance Programme – Work Breakdown Structure – Work Completed as of 2014-05-21



Key	WAO Public Interest Report March 2013	Additional Areas	WAO Allowances PIR	WAO Special Inspection Report

WALES AUDIT OFFICE REPORT IN THE PUBLIC INTEREST – Action Plan and Progress to date – 21st May 2014

Recommendations for improvement	Responsible Officer	SRO	Draft/Pilot Date	BAU date	Work programme	Progress	Status
1. Advertisement of Meetings	Dan Perkins Head of Legal and Democratic Services						
a) Re-arranged or ad hoc meetings not included in the fortnightly timetable of future meetings must be published in an addendum document on the Council's website and all Members informed as soon as a meeting date is agreed with the Chief Executive or other responsible senior officer.	Head of Legal and Democratic Services with Democratic Services Manager	Dan Perkins Head of Legal and Democratic Services	30.4.13	May 2013	Ensure system in place Test system Procedure note written	Protocol and procedure notes produced and relevant process implemented – part of the Democratic Procedure Manual <u>Follow-up</u> Process will be reviewed May 2014.	Achieved / Completed
b) The weekly notice of future meetings must be approved and published by the Monitoring Officer who also needs to have access to the planning of such meetings.	Head of Democratic Services	Dan Perkins Head of Legal and Democratic Services	30.4.13	May 2013	Ensure system in place for sign off Test sign off MO and Committee services to have a slot on CMT when FWP being decided	Protocol and procedure notes produced and relevant process implemented – part of the Democratic Procedure Manual . Due to practicality, the final responsibility is with the Head of Legal and not with the Monitoring Officer. <u>Follow-up</u> Process will be reviewed May 2014.	Achieved / Completed
c) The Head of Legal and Democratic Services must introduce a system to ensure that all council meetings have been advertised on the weekly timetable of council meetings. This could be achieved by introducing a 'Meetings Control Record' listing all council meetings. Before each council meeting a Committee Services Officer must check the weekly future meetings list against the 'Meetings Control Record' and sign to confirm the meeting has been properly advertised. Any meetings found not to be advertised must be cancelled and re-arranged in accordance with Local Government Act 1972.	Head of Legal and Democratic Services	Dan Perkins Head of Legal and Democratic Services	30.4.13	May 2013	Ensure system in place and documented 'Meetings control record' and a separation of duties established	Protocol and procedure notes produced and relevant process implemented – part of the Democratic Procedure Manual <u>Follow-up</u> Process will be reviewed May 2014.	Achieved / Completed
2. Conflicts of Interest	Gail Williams Monitoring Officer						
a) As a matter of urgency, but not later than 30th April 2013, all Members must complete training in the Code of Conduct.	Monitoring Officer	Gail Williams Monitoring Officer	30.4.13		Members to attend training on Code of Conduct Training reviewed for content and forward programme developed Refresher training for small groups of members On-line training developed where appropriate	Completed	Achieved / Completed
b) Following future elections and by-elections, all Members must complete Code of Conduct training within 3 months of the date of the election. (A	Monitoring Officer	Gail Williams Monitoring	Oct. 2013 / Dec. 2013	Following election	As above	Constitution Working Group established and met on 11/09. Meetings scheduled fortnightly. The refresh of the Council's Constitution was	In progress

Recommendations for improvement	Responsible Officer	SRO	Draft/Pilot Date	BAU date	Work programme	Progress	Status
requirement to this effect will need to be written into a review of the constitution). This training will continue to include detailed guidance on the obligations of members to declare personal/prejudicial interests and the actions that members should take arising from such declarations. Any failure to attend will be reported to the Council's Standards Committee.		Officer				<p>completed and presented to Council on 28th January 2014.</p> <p>The up to date version has now been uploaded to the Councils Intranet and Internet and circulated as an email to all members and senior officers.</p> <p>Officers are working on the new All Wales framework Constitution and it was hoped that it would have been possible to implement the document at the AGM. However this timescale could not be met as there are still problems with the external IT supporting the package.</p> <p>Officers will continue to monitor this and progress the implementation of the Framework document as soon as possible and the members of the Constitution Working Party will be updated.</p> <p><i>Linked to 3a, 3e and 3c</i></p>	
c) Increase the frequency that Members' Declarations of Interest are published to monthly.	Monitoring Officer	Gail Williams Monitoring Officer	31.5.13	31/05/2013	<p>Ensure system in place</p> <p>Test system</p>	Completed - Procedure note signed off part of the Democratic Services Procedure Manual"	Achieved / Completed
d) A review of the process in place for officers to agree obligations under the Code of Conduct.	Head of HR/S151 Officer	Gareth Hardacre Head of HR	30.6.13		<p>Re-launch of existing code</p> <p>Review process</p> <p>Update officer code of conduct</p> <p>Review induction process for new starters</p>	<p>#1 is complete: code has been relaunched to all employees. Letters issued and acknowledgement returns being returned to HR. Follow-up: Monitoring of returns, which is above 86% at present.</p> <p>#2 completed. Follow-up: monitoring of returns all year scheduled at IGP Board in April.</p> <p>#3 The consultation on the new Code of Conduct which forms part of the new All Wales framework Constitution was commenced, however the initial consultation highlighted that the new format was not applicable in Wales. This anomaly has been referred to the LGG Monitoring Officer Group who in conjunction with the WLGA produced the new Framework document. Currently there are no further plans to produce a new document. Consequently the consultation has been suspended.</p> <p>Given that there are no immediate plans to produce amended documentation the Council will continue with the existing format of the Code of Conduct for officers.</p> <p>#4 is approaching completion: Reviewed process considered at HR Strategy Group with additional development identified and being undertaken, toolkit being finalised. Due to be</p>	<p>Achieved / Completed</p> <p>Achieved / Completed</p> <p>Achieved / Completed</p> <p>Approaching Completion</p>

Recommendations for improvement	Responsible Officer	SRO	Draft/Pilot Date	BAU date	Work programme	Progress	Status
						reviewed in June	
e) Review the process for declaring interests of a personal/prejudicial nature for both members and officers.	Head of HR/S151 Officer	Gail Williams Monitoring Officer	30.6.13		Review system in place Consider wider practice across Wales Consider further guidance on the matter	Process for declaring interests at meeting for Members (and officers) signed off and introduced with immediate effect. Part of the Democratic Services Procedure Manual.	Achieved / Completed
		Gareth Hardacre Head of HR			Review Officers procedure for declaration of interest during their employment	Part of the code of conduct. Procedure reviewed. CMT approved interpretation of small gifts from service users, and guidance has been modified. Follow-up: WAO to be asked to benchmark against best practice in Wales Process to be reviewed when All Wales Code of Conduct is adopted.	Achieved / Completed
f) A full training programme on the Officer Code of Conduct must be established for officers.	Head of HR/S151 Officer	Gareth Hardacre Head of HR	30/7/2013 (ppt, proposal of delivery, officers to be trained)	31/10/2013	Review training on Code of conduct and other associated compliance codes Prepare training material in conjunction with other Councils Roll-out a training programme of Code of Conduct	Training plan produced and agreed. Leadership and management network trained, as part of CIPFA Governance Training. 1st to 3rd tier specific training scheduled on Code of Conduct delivered by HR (sessions to run from 7th to 24th Oct.) Mop up session being arranged for those not yet able to attend. All training recorded in Training Module in I-Trent (HR system) for reporting purposes. Follow-up: Consideration will need to be given to training of managers and front line supervisors. To be reviewed post Management Network sessions and when All Wales Code of Conduct is adopted.	Achieved / Completed
g) A full review of the system for Gifts and Hospitality offered to officers should be undertaken to improve consistency and compliance	Head of HR/S151 Officer	Gareth Hardacre Head of HR	30.7.13	31/07/2013	Review current system for consistency and compliance Re-write system Train senior officers Facilitated training for all officers	Part of the code of conduct. Procedure reviewed. CMT approved interpretation of small gifts from service users, and guidance has been modified. Follow up: Process to be reviewed when All Wales Code of Conduct is adopted.	Achieved / Completed
h) The register of Gifts and Hospitality for officers to be reported on a quarterly basis to the Audit Committee (the Members register is already reported to the Standards Committee).	Monitoring Officer/S151 Officer/Head of HR	Gareth Hardacre Head of HR	30.9.13	30/9/2013	Ensure system in place for reporting Test agendas for compliance	Report scheduled for Audit Committee on 6th November. Follow up: process to be reviewed by June 2014 (report to Audit Committee)	Achieved / Completed
i) Guidelines on the procedure for managing conflicts of interest be included in each	Monitoring	Gail	31.5.13	30/9/2013	Update all terms of reference	Consideration of declarations of officers and	Achieved /

Recommendations for improvement	Responsible Officer	SRO	Draft/Pilot Date	BAU date	Work programme	Progress	Status
committee's Terms of Reference - this should then be incorporated into the Constitution.	Officer	Williams Monitoring Officer			Using best practice examples Update Constitution	members has been completed as part of the review of the Standard Agenda format. Included as a procedure in the Democratic Services Procedure Manual. Follow-up part of the review of the Constitution	Completed
3. Procedures for New Committees	Gail Williams Monitoring Officer						
a) The Council's Constitution will be reviewed on an annual basis. The Constitution will then be updated, expanded and revised as necessary to include an up to date list of all council committees, its Terms of Reference, any delegated decision-making ability, political balance requirement, size of committee membership and any co-optee membership arrangements.	Monitoring Officer	Gail Williams Monitoring Officer	30.9.13	30/09/2013	Set up working party on review of constitution to include members, WG officers etc Review and list what needs updating Facilitate buy-in and a more developed understanding of the Constitution from officers	Linked to 2b above. Constitution Document reviewed and changes approved by Council on 28th January 2014. Updated documentation uploaded to Council's Web Site and Intranet. Framework Constitution to be adopted at AGM and reviewed annually at subsequent AGMs	Achieved / Completed
b) Terms of reference should be agreed at the first meeting of any new committee/panel/ group.	Monitoring Officer	Gail Williams Monitoring Officer	immediate	immediate	Ensure process in place Test sign off	Completed	Achieved / Completed
c) The Monitoring Officer must review the terms of reference for each committee/panel/group on a regular basis and, if necessary, terms of reference should be updated at the Annual General Meeting of full Council to take account of any new legislation, responsibilities or organisational change.	Monitoring Officer	Gail Williams Monitoring Officer	30.5.13	30/09/2013	Ensure system in place and sign off procedures	Linked to 2b above. Constitution Document reviewed and changes approved by Council on 28th January 2014. Updated documentation uploaded to Council's Web Site and Intranet. Framework Constitution to be adopted at AGM and reviewed annually at subsequent AGMs	Achieved / Completed
d) A Members Training Needs Analysis is undertaken on a voluntary basis every two years. This should be further strengthened with specific training identified and developed to support each council committee/panel/group on a six monthly basis for each Committee.	Monitoring Officer with Head of Legal and Democratic Services	Gail Williams Monitoring Officer	30.6.13	30/06/2013	Review members training programme and completeness of coverage Review system for updating following changes of membership, legislation or refresher training requirements	Analysis and training identification completed. Responsibility of Standard Committee and of each Director to issue every six months.	Achieved / Completed
e) Training and development needs must be identified for the membership of each council committee/panel/group on an annual basis. The training offered and attendance should be published on the Council's website.	Monitoring Officer with Head of Legal and Democratic Services	Dan Perkins Head of Legal and Democratic Services	30.6.13		Ensure system in place	Report was presented to Standard Committee and to Democratic Services 5/3/2014 and to full Council on 27/04/2014. A procedure note for each committee has been prepared and will be signed off at the IGP Board on 10/06	Achieved / Completed
f) Member induction training needs must be identified and delivered prior to the first meeting of any new council committee/panel/group.	Monitoring Officer	Gail Williams Monitoring Officer	immediate		As above	Completed	Achieved / Completed

Recommendations for improvement	Responsible Officer	SRO	Draft/Pilot Date	BAU date	Work programme	Progress	Status
4. Records of Meetings	Head of Legal and Democratic Services						
a) Forward Work Programmes for Cabinet and full Council will be published quarterly on the Council's website. To ensure that work programmes are accurate, the Chief Executive and Monitoring Officer will have responsibility for developing Forward Work Programmes for Cabinet and full Council.	Chief Executive with Monitoring Officer and Section 151 Officer	Dan Perkins Head of Legal and Democratic Services	immediate		Ensure system for FWP development is established at CMT. Test sign off and visibility	Presented at Cabinet 29 th January.	Achieved / Completed
b) The Monitoring Officer will have responsibility for ensuring all reports contained in these forward work programmes are subject to the correct decision making processes.	Monitoring Officer	Gail Williams Monitoring Officer	immediate		Develop improved decision making process for all reports Document the system Develop training programme for Officers and Members on the decision-making process	A Flow Chart has been circulated to officers which summarises the processes to be followed when drafting and submitting a Report to Scrutiny/Cabinet/Council. In conjunction with the Flow Chart the following information has been provided in order to assist officers in completing this process; a copy of the Rules on Consultation, information in relation to Equalities together with a link to the current Caerphilly standard report template. In addition Gail Williams monitors all reports to Council, Cabinet and Scrutiny (but only when making recommendations to Cabinet/Council) and attends CMT on a fortnightly basis. For decision-making training see 5d below	Achieved / Completed
c) Agendas must be produced for all 'informal' meetings of CMT and Cabinet to record issues discussed.	Chief Executive	Dan Perkins Head of Legal and Democratic Services	immediate		Ensure agendas in place. Consider practice from elsewhere and liaise with WLGA, WG etc to progress	Agendas in place. Completed.	Achieved / Completed
d) Work programmes for scrutiny committees will be further improved by introducing a consistent procedure for their development.	Head of Legal and Democratic Services	Dan Perkins Head of Legal and Democratic Services	30.6.13		Work with Scrutiny officers and Chairs to establish consistent work programmes for scrutiny committees Review the level of ad-hoc and requested reports from emanating from committee sessions Review best practice elsewhere and consider how to adopt to make committees more effective	The full implementation will be evidenceable after the 6 weeks cycle for each Committee. End of January expected completion. <u>Follow up: monitor BAU – to be reviewed April 2014 (IGP Board)</u>	Achieved / Completed
e) In line with the Local Government Measure 2011 scrutiny committee forward work programmes should be subject to consultation with stakeholders and local residents (using electronic means), subject to approval by each committee and published on a regular basis (observing the frequency included in expected	Head of Legal and Democratic Services	Dan Perkins Head of Legal and Democratic Services	30.6.13 or in line with the Welsh Government Guidance		Review the process to comply with expected guidance from WG	Procedure approved by full Council on 8 October 2013. Public engagement webpage and public engagement form published. Consultation on FWP Scrutiny Committee Quarter 1 received and considered. <u>Follow up: monitor BAU – to be reviewed May 2014</u>	Achieved / Completed

Recommendations for improvement	Responsible Officer	SRO	Draft/Pilot Date	BAU date	Work programme	Progress	Status
Welsh Government statutory guidance).						(IGP Board)	
f) Chairs of scrutiny committees must meet regularly to discuss their proposed respective work programmes to ensure crosscutting issues are considered by Members, good practice is shared and duplication is avoided.	Head of Legal and Democratic Services	Dan Perkins Head of Legal and Democratic Services	31.7.13		Facilitate Chairs meetings to establish a full work programme that considers cross cutting issues appropriately Review best practice and ensure that it is considered Build on the findings from the WAO study on Scrutiny	Scrutiny leadership terms of reference agreed by full Council 8 October 2013. Meeting cycle arranged and circulated to Scrutiny Leadership Group. Chairing Skills training organised for SLG on 26 th November and training on role and responsibilities of SLG to be held on 17/12/13. To be reviewed by 31 Dec 2014 – expected external peer review of the changes	Achieved / Completed
g) Democratic Services must provide the necessary support in the preparation of agendas, collation of reports, minuting meetings etc. and preparation of action sheets as necessary for all formal full Council and committee meetings.	Head of Legal and Democratic Services	Dan Perkins Head of Legal and Democratic Services	immediate		Review the process for minutes and action sheets. Consider the timelines for distribution and whether the process could be improved by using deadlines for actions Additional training be considered for all Committee services and support staff	Achieved and ongoing requirement. Set-up procedure for minuting meetings (template)	Achieved / Completed
h) The electronic voting system available in the Council Chamber must be used for all council meetings held in the Council Chamber	Chief Executive	Dan Perkins Head of Legal and Democratic Services	30.6.13		Ensure system is in place and operational Provide briefings for members and officers on the operation of the system Test system Update constitution accordingly	PDM briefed in Jan. A report to be presented to Cabinet requesting purchase of new audio and electronic equipment, following outcome of procurement exercise. Contract paper work to be concluded on 22/5 provisional date for installation agreed to commence 23rd May to run for a week. Training will then take place, planning report to Council provisional date 22nd July 2014 Follow up: After approval, Constitution will need to be updated consequently	In progress. Requesting an Extension (Feb. 2014)
i) Minutes of council meetings held outside of the Council Chamber must record whether any vote passed is unanimous or by majority decision	Head of Legal and Democratic Services	Dan Perkins Head of Legal and Democratic Services	immediate		Training provided for members and officers Constitution updated accordingly	Achieved - doing it manually both in and outside chamber until electronic voting system in chamber in place.	Achieved / Completed
j) The Council's intention to start webcasting council meetings is welcomed. In preparation for this new innovation Democratic Services should review its style of recording minutes to ensure consistency. Given the increased transparency that webcasting will provide it is acknowledged there maybe a difference in style between meetings that are webcast and those that are not.	Chief Executive	Dan Perkins Head of Legal and Democratic Services	30.9.13		Set up a task and finish group to look at web casting and electronic voting and the outcomes from its introduction Consider best practice from other Councils Develop training programme for Committee services and associated staff	For consistency of styles of recording minutes see above 4g (achieved). The implementation is linked to the audio/electronic voting equipment for the Council Chamber (see 4h above) Installation date provisionally planned 19th June, Training to take place over summer. Report to Council 22nd July 2014.	In progress
k) Following each meeting of full Council, the	Monitoring	Gail	30.6.13	Oct. 2013	Ensure system in place	In the meantime, voting is currently	Achieved /

Recommendations for improvement	Responsible Officer	SRO	Draft/Pilot Date	BAU date	Work programme	Progress	Status
voting record (listing the way each Member has voted) must be published on the Council's website.	Officer	Williams Monitoring Officer			Test system	documented in the minutes that are published on the website. Electronic voting This will be further implemented when electronic voting is in place.	Completed
5. Clarity and Comprehensiveness of Reports to Committees	Chief Executive						
a) Review the reporting template and consistency of reporting and format to include an executive summary and key decisions.	Chief Executive		30.6.13		Review template Design improved template Ensure system in place for compliance Undertake training on developing and writing reports, particularly the content and processes involved	The C Exec has determined not to review the reporting template or format at this stage This could be reviewed after actions in 5e) is addressed. CMT reviewing the quality of the reports and decision process, <u>decision in Autumn after sampling in October-December</u>	On hold
b) A framework will be developed to give greater clarity over delivery of reports with different levels of significance.	Chief Executive		30.6.13		Develop the framework to give greater clarity to members and officers Train members and officers on the framework	Completed: flowchart produced. Additional improvement of delegated decision making framework will be part of the wider Improving Governance Programme.	Achieved / Completed
c) Both statutory officers must have an opportunity to comment on reports prior to submission, as routine, with a mandatory pre-determined format in the report for comments by both the Monitoring Officer and S151 Officer.	Chief Executive	Dan Perkins	immediate		As above in re-designing the template	Achieved via report monitoring. Completed	Achieved / Completed
d) Consideration must be given to all options for strengthening the process for making members aware of key policy decisions and sensitive issues.	Chief Executive		31.5.13		Ensure appropriate system in place for flagging up policy and sensitive issues Establish mechanisms for raising awareness of all aspects of Council business Develop training material for use through different mediums Consider methods of briefing members from best practice organisations	Chief Executive has held meetings with all political Leaders. Minutes of meetings produced. Dates set out for the remainder of the year.	Achieved / Completed
e) Training for officers and members to ensure consistency on the level of detail required in reports being considered at meetings and the timescales for the democratic process.	Chief Executive	Nicole Scammell – Acting Director of Corporate Services and S. 151 Officer	31.12.13		As above	Training organised. <u>Follow up: monitor attendance and report quality – October 2014 report to CMT</u>	Achieved / Completed
f) CMT to monitor the level of late reports.	Chief Executive		immediate		Ensure process in place	Committee Services are monitoring at CMT and	Achieved / Completed

Recommendations for improvement	Responsible Officer	SRO	Draft/Pilot Date	BAU date	Work programme	Progress	Status
					Test process	keeping records.	
g) Scrutiny members be encouraged to ask questions of both the Cabinet members and officers.	Chief Executive	Dan Perkins	immediate		<p>Establish a consistent process for Cabinet members to deliver reports to cabinet and scrutiny over time</p> <p>Training developed</p>	<p>Council approved scrutiny improvement action plan on 8 October 2013.</p> <p>Agreed that consideration will be given to how Cabinet member role can be developed in scrutiny committee – recommendation drafted by 31 December 2013.</p> <p>A series of training for members has been developed to include questioning and listening, chairing and premeetings.</p> <p>A report went to SLG on 17th December, also presented to Democratic Services.</p> <p>Training and attendance be reported to Scrutiny Leadership Group on 27th March.</p> <p>Training for Scrutiny members complete, further training for officers and Cabinet members being planned. Peer review in hand.</p>	In progress
h) To achieve a balance between some officers attending scrutiny by invitation and leaving once their session is completed and others attending for the whole scrutiny meeting.	Chief Executive		31.5.13		Development sessions delivered with groups of scrutiny members to look at how members and officers relate through the scrutiny process.	<p>New layout agreed by full Council 8 October 2013. Implemented at first scrutiny committee held following full Council.</p> <p>To be reviewed by 31 Dec 2014 – expected external peer review of the changes</p>	Achieved / Completed