

## ACTION PLAN – TIMELINES AND RESPONSIBLE OFFICERS

	<b>Recommendations for Improvement</b>	<b>Responsible Officer</b>	<b>Estimated Completion Date</b>
<b>R1</b>	Clarifies, in an easily understandable format, governance and decision-making roles, specifically of the Cabinet; Chief Executive; Corporate Management Team; Corporate Directors; Scrutiny Committees; and Audit Committee	Monitoring Officer and Head of Legal and Democratic Services	March 2014
<b>R2</b>	Ensures that appropriate documentation is maintained of all decisions made, and by whom to provide further assurance that decision making is undertaken appropriately and transparently.	As above	March 2014
<b>R3</b>	Continues to implement the Improving Governance Programme Board Action Plan to enhance governance arrangements for the future..	Acting Director of Corporate Services and S 151	April 2014
<b>R4</b>	Strengthens its risk management processes further to embed risk management across the Council. Specifically, there should be: <ul style="list-style-type: none"> <li>• more frequent review of the Corporate Risk Register by CMT</li> <li>• explicit action planning for the key risks identified;</li> <li>• more oversight of, and consistency in, approach to Directorate Risk Registers;</li> <li>• clarification of the role and remit of the Risk Management Group; and</li> <li>• enhanced training for Audit Committee Members</li> </ul>	<p>Head of Legal/Democratic Services and Head of Performance/Property</p> <p>Head of Performance &amp; Property</p> <p>Head of Performance &amp; Property</p> <p>Head of Performance / Property and Acting Director of Corporate Services &amp; S 151 Officer</p> <p>Head of Legal/Democratic Services and Head of Performance &amp; Property</p>	<p>February 2014</p> <p>February 2014</p> <p>April 2014</p> <p>March 2014</p> <p>June2014</p>

	<b>Recommendations for Improvement</b>	<b>Responsible Officer</b>	<b>Estimated Completion Date</b>
<b>R5</b>	Clarifies roles and responsibilities for whistle-blowing procedures and ensures that the new policy is updated to reflect recent legislative changes.	Head of Legal and Democratic Services	March 2014
<b>R6</b>	Reassesses its expectations of the Internal Audit Service and puts in place a programme for its Internal Audit Service to address the findings of this inspection.	Manager Internal Audit	March 2014
<b>R7</b>	Ensures that the actions identified to improve the HR function and workforce planning are implemented.	Head of HR	April 2014
<b>R8</b>	Emphasises the importance of following appropriate procurement procedures and ensures that relevant key performance indicators are set for the procurement function.	Head of Procurement	April 2014

## SUMMARY OF ACTIONS REQUIRED FOR EACH RECOMMENDATION

1. **RECOMMENDATION (R1)**

- ***Clarifies, in an easily understandable format, governance and decision-making roles, specifically of the cabinet; chief executive; corporate management team; corporate directors; scrutiny committees; and audit committee***

**ACTION:** Produce guidance to Officers and Members

- (i) Present guidance to CMT – February 2014
- (ii) Cascade and deliver to Leadership Team and Management Network March 2014 and April 2014

**RESPONSIBILITY:** Gail Williams, Monitoring Officer  
Dan Perkins, Head of Legal & Democratic Services

2. **RECOMMENDATION 2 (R2)**

- ***Ensures that appropriate documentation is maintained of all decisions made, and by whom to provide further assurance that decision making is undertaken appropriately and transparently.***

**ACTION:** Produce guidance to Officers and Members

- (i) Present to CMT – February 2014
- (ii) Cascade and deliver to Leadership Team and Management Network – March and April 2014

**RESPONSIBILITY:** Gail Williams, Monitoring Officer  
Dan Perkins, Head of Legal & Democratic Services

3. **RECOMMENDATION (R3)**

- ***Continues to implement the improving governance programme board action plan to enhance governance arrangements for the future..***

**ACTION:** The IGP Board continues to meet until workstreams are completed.

- (i) Meetings to be established up to April 2014 every 3 weeks.
- (ii) Current arrangements to continue in respect of reporting to CMT every 3 weeks and Cabinet monthly – May 2014
- (iii) Progress reports to Audit Committee in March and June 2014

**RESPONSIBILITY:** Acting Director of Corporate Services & S 151 Officer

4. **RECOMMENDATION (R4)**

**Strengthens its risk management processes further to embed risk management across the Council. Specifically, there should be:**

➤ ***More frequent review of the corporate risk register by corporate management team***

**ACTION:** A Risk Management Strategy has been agreed by Council. CMT Agendas will include an item "Corporate Risk Monitoring" on a monthly basis – February 2014

**RESPONSIBILITY:** Dan Perkins (Head of Legal & Democratic Services) –  
CMT Forward Work Programme  
Colin Jones (Head of Performance & Property) – Preparation of Reports

➤ ***Explicit action planning for the key risks identified***

**ACTION:** The existing Corporate Risk Register (CRR) template is currently being modified to reflect an increased detail/focus upon monitoring / mitigation measures and their effectiveness. Oversight of the CRR will be via Cabinet

- (i) Develop / agree modified template. CMT January 2014
- (ii) Agree with Cabinet Sub-Group appropriate means / meeting timescale of risk monitoring February 2014

**RESPONSIBILITY:** Colin Jones (Head of Performance & Property)

➤ ***More oversight of, and consistency in, approach to directorate risk registers***

**ACTION:** Work is underway to re-establish Directorate Risk Registers (DRR). The format of the revised DRR is expected to replicate that of the CRR. Oversight of the DRR will be via the appropriate Scrutiny Committee.

- (i) Develop DRR with Directors and Acting Deputy Chief Executive March 2014 (in line with 2014/15 (SIPs)
- (ii) Build "Risk Management Monitoring" into Scrutiny Forward Work Programme April 2014.

**RESPONSIBILITY:** Colin Jones (Head of Performance & Property) (i)  
Dan Perkins (Head of Legal & Democratic Services) (ii)

➤ ***Clarification of the role and remit of the risk management group***

**ACTION:** Develop and agree Terms of Reference including membership

- (i) Present proposals to CMT – February 2014
- (ii) Establish group and arrange initial meeting in March 2014
- (iii) Report progress to Audit Committee in March 2014

**RESPONSIBILITY:** Colin Jones (Head of Performance & Property)

➤ ***Enhanced training for audit committee***

**ACTION:**

- (i) Extend risk management training to ensure ALL Audit Committee Members receive training – February 2014
- (ii) Introduce Risk Management training to Scrutiny Members – March 2014
- (iii) Delivery of Training – ongoing

- (iv) Review the effectiveness of in-house training before undertaking a more advanced level of training.

**RESPONSIBILITY:** Colin Jones – Head of Performance & Property (i), (iii) and (iv)  
Dan Perkins – Head of Legal & Democratic Services (ii) and (iv)

## 5. **RECOMMENDATION (R5)**

- ***Clarifies roles and responsibilities for whistle-blowing procedures and ensures that the new policy is updated to reflect recent legislative changes.***

**ACTION:** Following a report to Audit Committee on 6 November 2013, requesting views on the new Confidential Reporting (Whistleblowing) Code, it was highlighted by WAO after the meeting that there were some concerns in respect of references to legislation within the code. As this “new” code is destined to be adopted consistently across Wales, these issues have been formally referred to the Lawyers in the Local Government Monitoring Officer Group who worked with the WLGA and external Lawyers to develop the All Wales Framework Constitution document. It is anticipated that these matters will be resolved collectively for all Welsh Authorities in readiness for the AGM in May 2014.

**RESPONSIBILITY:** Dan Perkins – Head of Legal & Democratic Services

## 6. **RECOMMENDATION (R6)**

- ***Reassesses its expectations of the internal audit service and puts in place a programme for its internal audit service to address the findings of this inspection.***

**ACTION:** Initially a meeting will be arranged with the WAO to discuss in more detail the findings from the Special Inspection Report. The meeting will give an opportunity to receive information on those Authorities who are seen as “Best Practice”.

- (i) Meeting with WAO – January 2014
- (ii) Update Audit Plan – February 2014
- (iii) Audit Plan and Revised Strategy presented to Audit Committee – March 2014

**RESPONSIBILITY:** Richard Harris – Manager Internal Audit

## 7. **RECOMMENDATION (R7)**

- ***Ensures that the actions identified to improve the HR function and workforce planning are implemented.***

**ACTION:** Production of a HR Strategy and Plan is required to explain and articulate how HR will support the organisation in the delivery of its People Strategy in future. A new HR Strategy and Action Plan will be drafted for consultation with Officers, Members and Trade Unions. This will need to consider the implications of meeting our commitments within the Medium Term Financial Plan. The HR Strategy Group and CMT will have responsibility for overseeing its implementation and monitoring of the Action Plans – April 2014.

**RESPONSIBILITY:** Gareth Hardacre (Head of Workforce & OD)

**ACTION:** New HR Balanced Scorecard developed to measure the service delivery, performance, costs and customer satisfaction of the HR function.

A scorecard will be developed with assistance from the Performance Management Unit. This will be developed and monitored on Ffynnon from the beginning of the new Financial Year (2014-15).

**ACTION:** There are some posts within the Education Directorate for which the responsibilities have changed, possibly on a temporary basis, which have not been formally evaluated. The Council should ensure that these posts are evaluated.

This is subject to there being clarity over the future structure within the Education Directorate, which will enable the detail of the permanent roles to be properly identified. The posts will be evaluated liaising with the Acting Deputy Chief Executive – February 2014.

**RESPONSIBILITY:** Gareth Hardacre (Head of Workforce & OD)

**ACTION:** Development of a Workforce Planning mechanism to support the Council in managing its employee resources in light of the financial challenges.

There are currently a number of existing pilot exercises running that CMT has approved. Once the outcomes of the pilots can be reviewed (these should be available by April 2014), further consideration can be given to the detail of the Workforce Planning Toolkit, and any changes required can be agreed prior to a wider implementation rollout. It is envisaged, at this stage, that the output from the Workforce Planning Service Reviews will be incorporated in the new Service Plans being developed as part of the Corporate Planning Framework (this will be later in 2014). These will need to be framed around the requirements of the Medium Term Financial Plan.

**RESPONSIBILITY:** Gareth Hardacre (Head of Workforce & OD)

## 8. **RECOMMENDATION (R8)**

- ***Emphasises the importance of following appropriate procurement procedures and ensures that relevant key performance indicators are set for the procurement function.***

Initially a meeting will be arranged with WAO to ensure a thorough understanding of the recommendations and to advise the Authority in respect of examples of Best Practice.

### **ACTIONS:**

- (i) Ensure there is a good understanding of the role of a “strategic enabling” Procurement Service – February 2014;
- (ii) Build on the recommendations of the recent WG Procurement Fitness check currently in draft format to support recommendations of WAO special inspection – Action Plan agreed by April 2014;
- (iii) Ensure all Officers involved in procuring goods and services have the appropriate training and understanding of Standing Orders and Financial Regulations – February 2014 – April 2014.
- (iv) All appropriate Procurement regulations to be available via the Authority’s website and intranet – February 2014;
- (v) Amend Standing Orders for contracts to alleviate misinterpretation – Completed November 2013;
- (vi) Procurement structure review in respect of the Housing Service. Consolidation of

- Procurement Team to Corporate Centre – February 2014;
- (vii) Undertake a review of all Performance Indicators for Procurement. Introduce WG indicators for Procurement where appropriate. Undertake CIPFA benchmarking review on a yearly basis – March 2014.

**RESPONSIBILITY:**

Dan Perkins – Head of Legal & Democratic Services (i); (iii); (v); (vi)

Elizabeth Lucas – Head of Procurement (i); (ii); (iv); (vi) and (vii)

Shaun Couzens – Chief Housing Officer (vi)

Phil Davy – Head of Programme (Housing Stock Transfer) (vi)