

Improving Governance Programme – End of tranche – Completed actions as of 22/09/2014

Document	Original Recommendation / Improvement	Completed Actions	Status
WAO PIR March 2013 "Chief Officers Pay"	<p>Advertisement of meetings</p> <p>R1 The Council should review its procedures for the advertisement of meetings. Controls should be introduced to mitigate against the risk of omissions. As an example, adverts could be reviewed by an officer independent of the officer preparing them in order that any omissions can be identified.</p>	<ul style="list-style-type: none"> ▪ Procedure to publish re-arranged / ad-hoc meetings in addendum document ▪ Procedure for approval and publishing of weekly notice of future meetings ▪ System to ensure all council meetings are advertised <p>SRO: Interim Head of Legal Services and Monitoring Officer</p>	Recommendation addressed
WAO PIR March 2013 "Chief Officers Pay"	<p>Conflicts of interest</p> <p>R2 Clear guidelines should be produced and incorporated into the terms of reference of all decision-making forums in the Council in respect of the procedures to be followed when members, or those in attendance at such forums, may be influenced by a pecuniary or personal interest in the outcome of any decision to be taken. In particular, they should emphasise that such individuals are disqualified from participation in that process and that:</p> <ul style="list-style-type: none"> <input type="checkbox"/> they should declare an interest in the matter; <input type="checkbox"/> they should leave the meeting during any discussion of the matter; and <input type="checkbox"/> they should not have sole responsibility for making recommendations in relation to the matter, whether present or not. 	<ul style="list-style-type: none"> ▪ Code of conduct training for all Members ▪ Requirement for Code of Conduct training for Members following elections ▪ Increased frequency of publication of Members' declarations of interest ▪ Review of the process to agree officers obligations under Code of Conduct ▪ Review of the process for declaring interests of a personal/prejudicial nature for both members and officers ▪ Full training programme on the Officer Code of Conduct ▪ Review of the system for Gifts and Hospitality ▪ The register of Gifts and Hospitality to be reported on a quarterly basis to Audit Committee ▪ Guidelines on the procedure for managing conflicts of interest be included in each committee's terms of Reference <p>SRO: Interim Head of Legal Services and Monitoring Officer</p>	Recommendation addressed
WAO PIR March 2013 "Chief Officers Pay"	<p>Procedures for new committees</p> <p>R3 Where new committees or other decision-making bodies are set up by the Council, there should be clear terms of reference setting out the powers, responsibilities and procedures of the body. These should be formally adopted by the committee at its first meeting. Training should also be provided to members in respect of the requirements of the committee prior to its inaugural meeting to ensure that the terms of reference are understood.</p>	<ul style="list-style-type: none"> ▪ Review of the constitution and inclusion of list of council committees and its details (ToR, delegated decision making, political balance requirement, sixe and co-optee members arrangements) ▪ Terms of Reference agreed at the first meeting ▪ Review of the Terms of Reference by Monitoring Officer for each committee/panel/group on a regular basis and updated at the AGM ▪ Members Training Needs practice strengthened ▪ Training and development needs identified for the membership of each committee/panel/group, training offered and attendance published ▪ Procedure for Member Induction Training needs identified and delivered prior to the first meeting of any new council committee/panel/group <p>SRO: Interim Head of Legal Services and Monitoring Officer</p>	Recommendation addressed

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WAO PIR March 2013 "Chief Officers Pay"	<p>Records of meetings</p> <p>R4 Records of meetings should be sufficiently detailed to provide information on the matters discussed. Any redactions should be the minimum necessary to address any exempt items. For sensitive matters, the record of a meeting should include a summary of any vote taken or state whether or not the vote was unanimous, so that members can agree with the accuracy of the minutes prior to their approval.</p>	<ul style="list-style-type: none"> ▪ Forward Work Programme for Cabinet published quarterly (responsibility of Chief Executive and Monitoring Officer) ▪ Monitoring Officer ensuring all reports in the FWP are subject to the correct decision making process ▪ Agendas produced for all "informal" meetings of CMT and Cabinet to record issues discussed ▪ Scrutiny Committee FWP further improved by introducing a consistent procedure for their development ▪ Scrutiny committee FWP subject to consultation, subject to approval by each committee and published on a regular basis ▪ Chairs of scrutiny committee meeting regularly to ensure cross-cutting issues are considered by members, good practice is shared and duplication avoided ▪ Necessary support provided by Democratic Services in preparation of agendas, collation of reports, minuting of meetings etc. for all formal full Council and committee meetings ▪ Minutes of meetings outside council chamber recording whether any vote passed is unanimous or by majority decision ▪ Voting record published on website following each meeting of full council (currently within minutes) <p>SRO: Interim Head of Legal Services and Monitoring Officer</p>	One action outstanding (completion expected Jan. 2015)
WAO PIR March 2013 "Chief Officers Pay"	<p>Clarity and comprehensiveness of reports to committees</p> <p>R5 Where review work is undertaken, either by an external body or internally, to support a report to a committee or other decision-making body, then the covering report should explicitly address the matters raised as part of the review work.</p>	<ul style="list-style-type: none"> ▪ Framework to give greater clarity over delivery of reports with different levels of significance ▪ Both statutory officers have an opportunity to comment on reports prior to submission ▪ Process for making members aware of key policy strengthened ▪ Training on the level of detail required in reports ▪ Level of late reports monitored by CMT ▪ Scrutiny members encouraged to ask questions of both cabinet members and officers ▪ Achieved balance between officers attending scrutiny by invitation and leaving once their session is completed and others attending the whole scrutiny meeting <p>SRO: Interim Chief Executive</p>	One action outstanding (completion expected Jan. 2015)
Wider Improving Governance Programme	<p>Electronic Council</p> <p>Further improve transparency and efficiency by introducing Webcasting of Council Meetings and Committee Documents and Workflow system (with website and intranet updated and re-organised accordingly)</p>	<p>Actions are in progress</p> <p>SRO: Interim Head of Democratic Services</p>	Three actions outstanding (completion expected Jan. 2015)
Wider Improving Governance Programme	<p>Risk Management</p> <p>Review, improve and further embed the current risk management practices</p>	<ul style="list-style-type: none"> ▪ Strategy and Scrutiny Cycle agreed ▪ Guidelines agreed ▪ More frequent review of CRR by CMT - Corporate risks monitored by CMT on a monthly basis and reported to Cabinet on a 6 monthly basis. Corporate Risks monitored by Audit Committee 6 monthly. ▪ Revision of Corporate Risk Register and introduction of formalised process for 	Work stream completed

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		<ul style="list-style-type: none"> Directorate Risk Register and Service Risk Register – process established and embedded Risk Management training on an ongoing basis Links to MTFP, SIP and AGS <p>SRO: Head of Performance and Property Services</p>	
Wider Improving Governance Programme	<p>Performance Management and Self-evaluation</p> <p>Review, improve and further embed the current performance management and self-evaluation practices</p>	<ul style="list-style-type: none"> Self-evaluation framework agreed Self-evaluation awareness & training delivered <p>SRO: Head of Performance and Property Services</p>	Two actions outstanding
Wider Improving Governance Programme	<p>Scrutiny</p> <p>Review, improve and further strengthen the current scrutiny arrangements</p>	<ul style="list-style-type: none"> Forward Work Programme Training and Development for Members and officers <p>SRO: Interim Head of Democratic Services</p>	Two actions outstanding
Wider Improving Governance Programme	<p>Human Resources</p>	<ul style="list-style-type: none"> HR Balanced Scorecard Evaluations of posts in education <p>SRO: Head of People Management and Development</p>	See WAO Special Inspection R7 below
WAO PIR December 2013 “Chief Officers Essential Car Users and Annual Leave Allowance”	<p>Records of decisions</p> <p>R1 Clear records of all decisions should be retained, identifying the decision made, who made the decision and when the decision was made. Furthermore, as decisions are taken there should be proper consideration of whether these decisions should be recorded in the Council's decision log. This consideration should be documented.</p>	<ul style="list-style-type: none"> Produced guidance to officers, presented to CMT and approved to be cascaded and delivered to Leadership Team and Management Network <p>SRO: Interim Head of Legal Services and Monitoring Officer</p>	Recommendation addressed
WAO PIR December 2013 “Chief Officers Essential Car Users and Annual Leave Allowance”	<p>Implementing decisions</p> <p>R2 Officers should not proceed to implement decisions unless they are clear as to who has made the decision. Officers should retain evidence of this consideration.</p>	<ul style="list-style-type: none"> Produced guidance to officers, presented to CMT and approved to be cascaded and delivered to Leadership Team and Management Network <p>SRO: Interim Head of Legal Services and Monitoring Officer</p>	Recommendation addressed
WAO PIR December 2013 “Chief Officers Essential Car Users and Annual Leave Allowance”	<p>Statutory officer advice</p> <p>R3 When making decisions, decision-makers should consider whether a formal view is required from the S151 Officer or Monitoring Officer and whether this view has been given. Where a formal view is required, there should be a process in place to ensure that the statutory officer is provided with all of the relevant information required to take that view. Officers should also record how this advice was followed.</p>	<ul style="list-style-type: none"> This has been addressed in relation to formal Reports to Committee Actions 5b and 5c of the Action Plan of the Improving Governance Programme apply, which is reported to Corporate Management Team, Cabinet (11/12) and Audit Committee (6/11) on a regular basis. In relation to officer decisions guidance produced, presented to CMT and approved to be cascaded and delivered to Leadership Team and Management Network <p>SRO: Interim Head of Legal Services and Monitoring Officer</p>	Recommendation addressed
WAO PIR December 2013 “Chief Officers Essential Car Users and Annual Leave Allowance”	<p>Reports</p> <p>R4 Reports which are produced to support decision-making processes should follow a standardised format, in particular noting the author of the report and who has been consulted. Reports should contain a comprehensive list of available options.</p>	<ul style="list-style-type: none"> Training has being organised for Management Network officers and officers reporting to them who write reports for CMT, Cabinet, Committees such as Scrutiny and Audit etc and Council, which will be completed by August 2014. (ongoing action in relation to formal Reports to Committee - see R5 of WAO PIR March 2013) In relation to officer decisions guidance produced, presented to CMT and approved to be cascaded and delivered to Leadership Team and Management Network <p>SRO: Interim Head of Legal Services and Monitoring Officer</p>	Recommendation addressed
WAO Special Inspection	<p>R1 Clarifies, in an easily understandable format, governance and decision-making roles, specifically of the Cabinet; Chief Executive; Corporate Management Team; corporate directors; scrutiny</p>	<ul style="list-style-type: none"> Produced guidance to Officers and Members, presented guidance to CMT and approved to be cascaded and delivered to Leadership Team and Management Network 	Recommendation addressed

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	committees; and Audit Committee.	SRO: Interim Head of Legal Services and Monitoring Officer	
WAO Special Inspection	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.	<ul style="list-style-type: none"> Produced guidance to Officers and Members, presented guidance to CMT and approved to be cascaded and delivered to Leadership Team and Management Network SRO: Interim Head of Legal Services and Monitoring Officer	Recommendation addressed
WAO Special Inspection	R3 Continues to implement the Improving Governance Programme Board action plan to enhance governance arrangements for the future.	<ul style="list-style-type: none"> Majority of the original work-streams are completed or approaching completion. Outstanding Actions are subject to a report to Cabinet on 2/10/2013 to seek approval to hand-over the long term monitoring SRO: Acting Director of Corporate Services and S.151 Officer	Proposal for long term monitoring to Cabinet on 2/10/2014
WAO Special Inspection	R4 Strengthens its risk management processes further to embed risk management across the Council. Specifically there should be: <ul style="list-style-type: none"> more frequent review of the corporate risk register by Corporate Management Team; explicit action planning for the key risks identified; more oversight of, and consistency in, approach to directorate risk registers; clarification of the role and remit of the Risk Management Group; and enhanced training for Audit Committee members. 	<ul style="list-style-type: none"> More frequent review of CRR by CMT Revision of Corporate Risk Register Introduction of formalised process for Directorate Risk Register and Service Risk Register – process established and embedded Enhanced training for audit committee - introduce Risk Management training to Scrutiny Members, delivery of Training – ongoing, review the effectiveness of in-house training before undertaking a more advanced level of training. Risk Management Group – Proposal to Audit Committee (10/9/2014) not to establish this Group given the extent of alternative and comprehensive risk management arrangements SRO: Head of Performance and Property Services	One action outstanding
WAO Special Inspection	R5 Clarifies roles and responsibilities for whistle-blowing procedures and ensures that the new policy is updated to reflect recent legislative changes.	Actions are in progress SRO: Head of People Management and Development	In progress
WAO Special Inspection	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.	<ul style="list-style-type: none"> Identify best practice in Wales with WAO – A meeting took place on the 17th February, where best practice and a proposed way forward was discussed and agreed. This formed the basis for the change in direction and the revised Audit Updated Audit Plan Revised Audit Strategy Audit Plan and Revised Strategy presented to Audit Committee 10/09/2014 SRO: Interim Head of Corporate Finance	Recommendation addressed
WAO Special Inspection	R7 Ensures that the actions, identified to improve the HR function and workforce planning, are implemented.	<ul style="list-style-type: none"> HR Balanced Scorecard Evaluations of posts in education SRO: Head of People Management and Development	Two actions outstanding
WAO Special Inspection	R8 Emphasises the importance of following appropriate procurement procedures and ensures that relevant key performance indicators are set for the procurement function.	<ul style="list-style-type: none"> Ensure there is a good understanding of the role of a “strategic enabling” Procurement Service Build on the recommendations of the recent WG Procurement Fitness check currently in draft format to support recommendations of WAO special inspection – Action Plan to be agreed Undertake a review of all Performance Indicators for Procurement. Introduce WG indicators for Procurement where appropriate. Undertake CIPFA benchmarking review on a yearly basis. 	Recommendation addressed

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		<ul style="list-style-type: none"> ▪ Ensure all Officers involved in procuring goods and services have the appropriate training and understanding of Standing Orders and Financial Regulations ▪ All appropriate Procurement regulations to be available via the Authority's website and intranet ▪ Amend Standing Orders for contracts to alleviate misinterpretation ▪ Procurement structure review in respect of the Housing Service. Consolidation of Procurement Team to Corporate Centre <p>SRO: Acting Director of Corporate Services and S.151 Officer</p>	