

## CORPORATE GOVERNANCE

Ref	Key improvement area	Action	Lead Officer	Timescale	Progress to date	RAG status
G1	Corporate Performance Management Framework - to further develop the use and effectiveness of report cards.	1. Identify and plan to address issues arising from the audit.	CF/NS	Dec 15	WAO fieldwork complete, response under consideration.	Amber
G2	Modernise and Strengthen Democratic Services (Phase 2) - to complete the programme of work in line with the recommendations arising from the review. <b>(Cross Reference with P1, P2 and P3)</b>	1. Conduct Member survey	RG	Sept 15	Surveys completed, report being drafted.	Amber
		2. Review/evaluation of phase 1	KJ	Sept 15	Report being drafted.	Amber
		3. Define and agree next phase of work	KJ	Feb-Apr 16	To be reported to Council Feb-Apr 2016.	Amber
G3	Take forward the improvement work needed to provide and sustain effective risk management.	1. Implementation Plan developed and being rolled out.	CF	Dec 15	Work is currently underway to populate the corporate risk register, which will be presented to Corporate Directors Group on 15 <sup>th</sup> December 2015.  Also the Corporate Risk management Policy will be presented to Audit Committee on 11 <sup>th</sup> December 2015 for consideration and next steps (monitoring).	Amber
G4	To evaluate how effective our corporate communications and engagement activities are (both internal and external).	Develop an evaluation plan.	KJ	March 16	Currently considered as low priority due to other more important work areas taking higher priority.	Amber
G5	Regional collaborative arrangements – to continue to	1. Intermediate care to be	NE	Oct 15	Scrutiny inquiry has taken place.	Green

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	strengthen scrutiny arrangements by identifying areas for work programmes for the 2015-16 civic year. <b>(Cross Reference with P20)</b>	subject of Member Inquiry. 2. Review City Region scrutiny arrangements.	NE	March 16	Discussion needed with Chief Executive.	Red
G6	Information Commissioner's Audit action plan – to continue to monitor the implementation of the action plan.	1. Implement training issue identified in the audit.	SJ	Nov 15	The All Wales Academy has informed the Authority that the Data Protection related training modules are now available on their site. There are some issues with user accounts and as soon as the issues are remedied IT and Legal Services will review the training to ensure adequacy and inform the HR Training Team that the training can commence. There may be issues around the funding of the system and administration in the future which should be noted.	Amber
G7	Undertake project work to improve the grants management system.	Update accounting instructions for Grants.	DR	Oct 15	Work very near completion. A report went to the September (24.09.15) Audit Committee to report on progress.	Green
G8	To monitor the ongoing challenge to have the right number of people, with the right skills, in the right place, doing the right things.	<b>Refer to P12 (part 3)</b>				Amber

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G9	To monitor any emerging risks of legal challenge around the Strategic School Improvement Programme and to ensure we are meeting the basics on consultation and equality.	1. Officer training to be delivered.  2. Lessons learned from Judicial Reviews to be considered.	DM/KJ  DELL/DM	Dec 15  Ongoing	Majority of training session have been delivered. Take-up by Education directorate has been scheduled and a report will follow on the overall training outcome.  Under consideration.	Amber
<b>Corporate Assessment – Proposals for Improvement</b>						
P1	Establish a skills training programme which supports members to discharge their roles and responsibilities effectively.	<b>Refer to G2</b>				Amber
P2	Revised scrutiny arrangements to establish a more balanced range of scrutiny activity, produce a forward programme to enable planning and coordination of activity and end time-consuming practices that lack impact.	<b>Refer to G2</b>				Amber
P3	Provide comprehensive and accessible information about the business conducted by the Council.	Procedures to record decisions taken by officers under delegated authority to be reviewed.	KJ	30.06.16	Scoping of work to be undertaken.	Red
P4	Improve whistle blowing by: <ul style="list-style-type: none"> <li>• Clarifying reporting arrangements.</li> <li>• Bringing together the</li> </ul>	1. The policy and procedure will be reviewed in line with WAO advice and amalgamated into one document.	SR	33.08.15	Policy and procedure have been reviewed and implemented. Corporate communications are supporting awareness	Green

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	<p>information currently held in different documents.</p> <ul style="list-style-type: none"> <li>Giving more information about safeguards that the council will provide to employees under the arrangements.</li> </ul>	2. The accessibility of the policy will be reviewed, again in line with WAO advice.	SR	30.06.15	raising across the Council. Yes, as part of the review above.	Green
P9	Clarify the corporate policy on income generation and charging to ensure a consistent approach to concessions and target groups.	Prepare corporate policy on income generation and charging.	DR	30.11.15	A number of projects are in progress at the moment and a report is due to go to Corporate Directors Group before the end of November. The corporate policy will be written after a substantial amount of the project work has been completed.	Amber
P11	Review Accounting Instructions and Financial Regulations to ensure they reflect the latest working practices and Council policies and communicate requirements to staff.	Review started before the corporate assessment and will be on-going, each of the Accounting Instruction's needs to be continually reviewed periodically.	DR	31.12.15	All of the Accounting Instructions have either been reviewed or the review is close to completion, and from now on will be reviewed on a three year basis.	Green
P12	<b>Part 1:</b> Ensure full adoption by December 2015 of an appraisal process that ensures staff are equipped to do their jobs and enables people to be held to account.	Undertake an end of year review of the process post 31 <sup>st</sup> March 2015, to ensure fit for purpose.	SR	30.04.16	Appraisal policy (to apply across the workforce) has been re-drafted and is currently being trialled in 2 work areas (H&S and Business Support) prior to trade union consultation across the 4 negotiating groups and launch of new	Amber

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					arrangements scheduled for January 2016.	
		Roll out to Accountable Managers has begun.	SR	30.04.16	Currently happening on a voluntary basis, with more take up in some parts of the Council than others.  Review process as part of the wider work in relation to Appraisals (see below).	Amber
		Appraisal process for wider workforce to be developed and implemented during 2015.	SR	30.04.16	See above.	Amber
P12	<b>Part 2:</b> Implement an induction process and ensure new staff are briefed on corporate expectations.	A Corporate Induction process is in place – The Induction Checklist. This will be reviewed in line with WAO expectations. It will be determined if this can be linked to on line learning as part of the re-launch of the Checklist.	SR	31.12.15	The Induction Checklist has been reviewed but completion rates run at around 5%.  Full review of the process to take place with a view to ensuring all new employees, and employees who move jobs within the Council do receive a proper induction and that this is recorded.  As this forms part of the Employee Performance Framework, this review will be carried out in conjunction with the review of appraisal process. On target for	Amber

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					completion 31.12.15.	
P12	Part 3: Establish a Workforce Plan.	1. Establish a Workforce Plan.	SR	30.04.16	First steps – develop Organisations Structures database and dashboards as well as building in an element of workforce planning into the business planning process for next year (16/17). See action 3 below.	Amber
		2. Develop our internal HR system VISION to establish the collation of accurate workforce data to enable managers to workforce plan as part of the Business Planning process.	SR	31.12.15	A work plan has been agreed by Efficiency Programme Board. The project is now reporting to Digital by Choice Programme Board and a full project plan will be presented at December's meeting.	Amber
		3. Data cleansing of the establishment data held on VISION to enable the provision of accurate post data.	SR	31.03.16	Initial cleansing has been completed and new processes in place to maintain establishment data.  A 'Workforce Planning Organisational Structures' database has been developed with I.T. and is currently being piloted prior to full roll out. Benefits will provide useful information in relation to employees and	Amber

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					posts within service areas for workforce planning purposes.  Workforce profiles are being developed to provide Heads of Service with dashboards setting out key data in relation to their workforce – aim to have this implemented across the Council by 31.3.16.	
P13	Update the Asset Management Plan so that it acts as a point of reference for the next five years and corresponds more closely to current priorities set out in the Council's Corporate Improvement Plan.	Plan to be revised and aligned to the Corporate Improvement Plan.	SB	31.03.16	The Asset Management Plan will be a total re-write rather than updating. However, this will take some time as staff resources are limited.	Red
P14	Ensure asset management consideration is included within Service Business Plans.	Business planning guidance to be revised and reissued.	KJ/SB	31.03.16	Will be considered as part of P15 and current guidance will be revised to include asset management for 2016/17 business planning framework.	Amber
P15	Formalise arrangements for the Strategic Asset Management Working Group by: <ul style="list-style-type: none"> <li>Producing a terms of reference and stating expected corporate working practices (based on existing</li> </ul>	Establish terms of reference and reporting lines for the Group.	SB	31.08.15	Due a number of staff losses and restructure, it has taken longer than expected to complete this action. Work will be completed by end of November.	Amber

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	custom and practice); and <ul style="list-style-type: none"> <li>Produce an indicative annual work programme, and produce notes of decisions made by the Group.</li> </ul>					
P17	Finalise the Council's Information Strategy and communicate this to all staff.	Final draft to be presented to Members for approval.	SJ	31.03.15	Target date for the Strategy to be presented to will now be January 2016.	Amber
P18	Provide an annual report on information management and information governance matters to members to enable them to evaluate performance and the effectiveness of arrangements.	Annual report to be produced alongside annual data protection report.	DM	31.03.15	The annual report will go at the same time as the council's Information Strategy mentioned above.	Amber
P20	Further develop reporting arrangements to enable evaluation of the effectiveness and sustainability of collaborative activity.	<b>Refer to G5</b>				Amber