

Current Review Date: Dec-18

Status at 31/12/18	Area	Ref	Title of Audit	ACTION	LEAD Officer	KEY MILESTONES	INTENDED OUTCOMES	Achievements to date: Dec 18 Dec-18	Next Milestone
Open	Governance	1.3		<p><b>P2</b> Ensure records of delegated decisions made by officers are accurately recorded</p> <p><b>Improve transparency and create and publish a corporate record of executive decisions delegated to officers:</b></p> <ul style="list-style-type: none"> <li>Establish financial thresholds for recording decisions</li> <li>Ensure that relevant officers and Cabinet members are aware of and understand the approach to be adopted</li> <li>Implement the approach through populating the appropriate section of the Council's website.</li> </ul>	Head of Legal & Democratic Services	2017/18	Transparent decision making	Work has been undertaken in the Place Directorate to draft templates for recording officer decisions in relation to declarations of land surplus to requirements and contract awards. The Contract Procedure Rules have been redrafted and once approved by legal will continue progress through decision making process. a template has been developed to enable publication through mod.gov which will hopefully be trialled by end of January.	By end February to be fully functional in publishing some agreed officer delegated decisions ie declarations of land surplus to requirements and contract award reports. Also to consider amendment of Call-In procedure to include officer decisions.
Closed	Governance	1.6	WAO Annual Improvement Report 2015/16	<p><b>Proposal P2.</b> Improve external reporting of performance by:</p> <ul style="list-style-type: none"> <li>developing the Council's website; engaging user groups in determining the most effective and efficient ways of reporting performance, and then taking action to improve public reporting;</li> <li>maximising the impact of performance reports by assessing their readability and comprehension; and</li> <li>assessing the costs and benefits of any opportunities to communicate performance information using video, social media, and interactive media.</li> </ul>	Corporate Director (Resources)	2016/18		<p>The development of the reporting functionality of the DART performance management ICT system has been completed. The reporting functionality is now in use and has been used to produce the quarterly and annual performance monitoring reports in place of Excel since Quarter 1 2018/19.</p> <p><b>The work plan continues to develop and improve reporting however in terms of the original action this can now be closed.</b></p>	CLOSED
Closed	Governance	1.2	WAO Good Governance 2016/17	<p><b>P1</b> Improve public access to information about the Council's Commissioning Review activity and outcomes by linking together all the website information about the overall programme and signposting its availability.</p>	Corporate Director (Resources)			Strategic framework and annual programme has been reviewed and updated in line with the new budget and revised MTFP. New web pages written and updated and will be live by the end of January. The pages will continue to be updated however this action can now be closed.	CLOSED
Open	Governance	1.21	WAO Good Governance 2016/17	<p><b>P2</b> Whilst potential financial savings are consistently identified the Council should ensure that the process for concluding a review consistently identifies the intended impact for service users and the means by which that impact will be evaluated in the future.</p>	Corporate Director (Resources)			<p>New web pages documenting outcomes of CRs to be launched end of January 2019.</p> <p>Co-Production training underway and Co-production and the Consultation &amp; Engagement Strategies to be produced by March 2019.</p>	<p>1. Co-Production Strategy by end of March 2019</p> <p>2. Consultation &amp; Engagement Strategy by end of March 2019</p>
Open	Change	2.2	WAO Annual Improvement Report 2015/16	<p>Build relevant actions into the Innovation Programme, including:</p> <ul style="list-style-type: none"> <li>increasing employee empowerment</li> <li>problem solving and learning, and;</li> <li>ensure delivery across all Service Areas through the performance review process</li> </ul> <p>Proposal P4 Improve performance management by:</p> <ul style="list-style-type: none"> <li>Increasing the coverage, positive impact and frequency of formal staff appraisals.</li> </ul>	<p>Head of HR/OD</p> <p>Leadership Team</p> <p>Obtain updated from Rhys</p>	2017/18	<p>Innovation Programme</p> <p>Visible and open leadership.</p> <p>The changes to the role of Leadership Team.</p> <p>The role and expectations of senior managers (the "Swansea Manager").</p> <p>Specific personal contributions built into individual appraisals.</p>	<p>OD Implementation Plan under review to re-prioritise for 2019. Work ongoing to develop Managers toolkit, Employee Value proposition and Employee Benefits proposal, Leadership Development, Appraisals and elearning provision.</p> <p>A review of the role and development of Leadership Team has been undertaken and a new programme is being devised to support managers across the organisation, alongside a revised Leadership Team agenda for the year.</p>	Submission of revised OD Plan in February 2019 for senior management consideration and agreement of next steps.

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Closed	Change	2.3	WAO Annual Improvement Report 2015/16	Develop a priority based approach to financial planning and delivery of whole Council change and savings, as part of <i>Sustainable Swansea</i> and the Medium Term Financial Plan  <b>Proposal P5</b> Ensure timescales for the delivery of specific savings proposals are realistic and act to drive delivery.  <b>Proposal P6</b> Ensure responsibility for delivery of planned savings is assigned to specific managers' services.	Corporate Director (Resources)	2016/18	A more strategic approach to budgeting was signalled as part of our Mid-term Budget Statement  We plan, through the Medium Term Financial process, to develop the links between what we spend and the outcomes and public value that we create	P5: Strategic review and annual review of the programme almost complete ready for the budget paper to Council in February. Timescales included as part of the budget and MTFP. New zero-based budget plan underway. Mechanisms and processes for P5 and 6 delivered with performance continually monitored by CMT and Cabinet therefore propose this action is now closed	CLOSED
Closed re 17-18 findings	Change	2.3	WAO Savings Planning 2017/18	<b>P1 Strengthen financial planning arrangements by:</b> <ul style="list-style-type: none"> <li>ensuring that savings plans are sufficiently well developed and risk assessed before inclusion in the budget;</li> <li>assigning responsibility for the delivery of all planned savings to specific managers' services.</li> </ul>	Chief Finance Officer	Annual budget setting. Quarterly budget monitoring ongoing each year reported to Cabinet. Monthly tracking through the agreed PFM process.	A balanced budget openly and transparently published. Similarly for the Medium Term Financial Plan, to ensure sufficient granularity and credibility can be attached to balancing the budget for the foreseeable medium term despite austerity. Ultimately to assure that Responsible Officers (Heads of Service/Chief Officers/Directors) can live within budgets set and no material budget overspends occur.	All savings plans for the next four years have been developed on the basis of sufficient granularity (albeit within reason for later years plans) for them to be fully allocated out to Responsible Officers with no unallocated cross cutting savings. All savings have been collectively risk assessed by Corporate Management Team and Cabinet as to their political acceptability and practical deliverability on a RAG rating basis. Notwithstanding this several of the savings proposals likely to be agreed will be challenging or very challenging to achieve in light of continued austerity. <b>The actions are considered complete in respect of findings re 17-18. The 18-19 budget having already been set these could not be fully implemented until developing the 19-20 budget proposals. Efficacy of improvements will be tested and reported on as part of routine budget monitoring and reporting to Cabinet in 2019-20.</b>	Approval of a balanced budget for 2019-20 by Council 28 February 2019. Similarly a balanced and sufficiently detailed plan for the medium term for 2021-23 with sufficient granularity to ensure individual responsible officer ownership for delivery and with each savings proposal risk assessed.
Open	Delivery	3.2	Corporate Assessment 2014/15	<b>P4</b> Ensure service business plans consistently incorporate workforce and asset management requirements as expected in corporate guidance  <b>Workforce</b> <ul style="list-style-type: none"> <li>Integrate workforce planning activities in all Business Plans.</li> <li>All Business Plans consistently follow corporate guidance</li> </ul>	Head of HR & OD  Leadership Team	2017/18	A strategic and whole Council approach to major change to deliver corporate priorities and <i>Sustainable Swansea</i> .  Service based actions embedded across the delivery strands.  Corporate workforce strategy 2016 update in September 2017.  Workforce planning is integrated into our Employee Performance Management policy and procedures (appraisal and development reviews).  WFP is integrated into the Service Planning process, and a Service Workforce Plan is required as part of the process  HR information systems to provide usable workforce related business intelligence, including the development of an online appraisal process.	Principals and HRBPs are engaging with respective Directorates to develop succession and workforce planning templates to inform resource planing in the future.  Workforce planning guidance and template issued with Service Plans for 2019/20.	Workforce and succession planning templates will be collated from across Directorates and services to produce a Strategic workforce planning report for CMT in 2019/20.
Closed	Delivery	3.2.1	WAO Annual Improvement Report 2015/16	<b>P4</b> Ensure service business plans consistently incorporate workforce and asset management requirements as expected in corporate guidance - <b>Assets</b> <ul style="list-style-type: none"> <li><b>Services to identify their asset requirements in Business Plans. Include:</b> <ul style="list-style-type: none"> <li>Key land and buildings details currently used by each service</li> <li>Future land and buildings. Requirements</li> </ul> </li> </ul>	Head of Property  Leadership Team	Apr-17		Asset template issued with Service Plans for 2019/20.  New Corporate Landlord Structure approved and implemented included Energy Team. Collation of all energy data ongoing. Service plans currently being drafted.	Subject to alignment of budgets, aiming to centralise Utility budgets June 2019  The actions are now complete but outputs etc will still need to be closely monitored via Service Planning cycles.  CLOSED.