

**Purpose:**

To consider progress on the matters arising from previous Governance & Audit Committee meetings.

**Recommendation:** That members note progress on the matters arising and request corrective action if necessary.

**Matters arising Schedule**

<b>BRAG status black - Completed matters, not closed</b>					
<b>ID</b>	<b>Action</b>	<b>Action Required</b>	<b>Due Date</b>	<b>Comments</b>	<b>Assigned To</b>
1	14 REVISED MEMBERS CODE OF CONDUCT, OPERATING PROCEDURE AND ASSOCIATED MATTERS ARISING FROM THE 2011 LOCALISM ACT (GA.07 12/13)	The Committee requested that the report in particular the arrangements for dealing with standards allegations be revised in order that they were gender neutral and Officers undertook to do such.	02/07/2012		Coughlan, Katie
2	13 PROGRESS REPORT IN RESPONSE TO ISSUES RAISED BY INTERNAL AUDIT IN RELATION TO WLDC PROJECT MANAGEMENT (GA.05 12/13)	EXTRACT FROM MINS OF MEETING The Committee further suggested that, in light of the views of some senior staff, the Core Management Team provide a response as to the future use of Sharepoint within the organisation, as well as a survey being undertaken with all staff to ascertain their views of the software package.	16/07/2012	ALEX THERE ARE TWO ACTIONS HERE PLEASE CAN YOU ASSIGN WITHIN YOUR TEAM AS YOU SEE APPROPRIATE.  AGENDA ITEM FOR SEPT MEETING	Reeks, Alex
3	MEMBER TRAINING	which, Officers outlined proposed training topics for the Committee namely: - § Role of the Committee (priority) § Scrutiny of Accounts § Risk § Treasury Management § Standards § Role of Internal Audit and External Audit § Assurance Framework § Constitutional Matters	30/07/2012		Coughlan, Katie

		<p>§ Fraud Awareness</p> <p>Members were agreeable to the proposed topics and further suggested that emergency planning and business continuity be incorporated in the training programme. They further requested that consideration be given to varying the formats used to deliver such training.</p> <p>Officers undertook to arrange the first training session as a matter of urgency and details would be circulated to all Members in due course.</p>			
4	<p>12 INTERNAL AUDIT PLAN 2011/2012 – QUARTER 4 PROGRESS REPORT AND INTERNAL AUDIT PLAN 2012/13 – APRIL PROGRESS REPORT (GA.06 12/13)</p>	<p>EXTRACT FROM MINS OF MEETING HELD ON 7/6/12</p> <p>With regard to the outcome of the internal audit into the Use of Consultants, at the request of the Committee, the Financial Services Manager outlined the nature of those actions which had been agreed to improve assurance in the future. <b>In doing so, he made reference to the report he had prepared for the Core Management Team and, again at the request of the Committee, undertook to submit this to the next meeting .</b></p> <p>PLEASE ADD ITEM TO FORWARD PLAN AS A MATTER OF URGENCY</p>	30/07/2012	DOCUMENT REFERRED TO IS ATTACHED HEREWITH	Stone, Russell

BRAG status red - Overdue matters					
ID	Action	Action Required	Due Date	Comments	Assigned To
1	development of communications plan - provision for sharing of best	<p>Extract from Mins of Mtg of GA Cttee - Dec 11</p> <p>Officers advised that Best Practice would be shared through the Communications Plan which was currently in development.</p> <p><b>please bear in mind the ctees suggestions re Sharing Best Practice when developing the associated Comms Plan.</b></p> <p><b>Please revise target date as appropriate - no timeline specified by Members</b></p>	01/06/2012	position unknown	Reeks, Alex

2	13 PROGRESS REPORT IN RESPONSE TO ISSUES RAISED BY INTERNAL AUDIT IN RELATION TO WLDC PROJECT MANAGEMENT (GA.05 12/13)	EXTRACT FROM MINS OF MEETING The Committee further suggested that, in light of the views of some senior staff, the Core Management Team provide a response as to the future use of Sharepoint within the organisation, as well as a survey being undertaken with all staff to ascertain their views of the software package.	16/07/2012	SURVEY POSITION UNKNOWN	Reeks, Alex
3	CIRCULATION OF CIPFA DOCUMENT	EXTRACT FROM MINS OF MTG 7/06/12  A member made reference to the CIPFA document used to gauge an Audit Committee's effectiveness and the Head of Internal Audit undertook to circulate the Matrix.  PLEASE CIRCULATE DOCUMENT TO CTTEE OR PASS TO KATIE FOR HER TO CIRCULATE	30/07/2012		Pledge, Lucy
4	12 INTERNAL AUDIT PLAN 2011/2012 – QUARTER 4 PROGRESS REPORT AND INTERNAL AUDIT PLAN 2012/13 – APRIL PROGRESS REPORT (GA.06 12/13)	EXTRACT FROM MINS OF MEETING 6/7/12  In the ensuing debate, Members noted the less than positive comments from senior staff contained within the action plan and indicated they wished to further understand what the fundamental issues with Sharepoint were. <b>Furthermore indication was sought and received that the timescales stated within the action plan were not now likely to be achieved and thus Members requested that the target dates be revised accordingly.</b>  PLEASE REVISE THE ACTION PLAN TIMESCALES AS REQUESTED AND PROVIDE REVISED DOCUMENT TO KATIE FOR CIRCULATION TO THE COMMITTEE	30/07/2012		O'Shaughnessy, James

**BRAG status amber - deadline for completion flagged as at risk**

ID	Action	Action Required	Due Date	Comments	Assigned To

**BRAG status green - Outstanding matters, not yet due**

ID	Action	Action Required	Due Date	Comments	Assigned To
1	future of public audit - watching brief topic	RESOLVED that the content of report GA.42 11/12, be received and noted and a 'watching brief' be kept on the issue of the Public of Future Audit at this stage.	01/05/2012	ongoing action	Stone, Russell
2	OFFER OF TRAINING	Officers again extended the previous offer to hold a training session for the Committee on the "Role of External Audit".	31/10/2012	Due to other commitments of External Audit Officers / Schedule of cttee meetings it is likely that this session will be held prior to December's meeting	Coughlan, Katie

## Management Standards - Assessment Form

Employee Name:

Date:

People Management	Objectives	Measures	Self Assessment Score
<p><b>Values - We are one council, we communicate effectively</b></p> <ul style="list-style-type: none"> <li>Every employee has a quality and timely annual appraisal</li> </ul>	<p>There is a consistent approach to following the Performance and Development appraisal procedures, showing the council's commitment to developing the organisation and its employees</p>	<ul style="list-style-type: none"> <li>-100% appraisals undertaken</li> <li>-work objectives set in line with corporate plan/priorities</li> <li>-IDP's completed and delivered, relevant to employees career development now and aspirations for the future</li> <li>-Satisfaction rates from annual staff survey</li> <li>-Promotes a learning culture</li> <li>-Promotes corporate values and behaviours and challenges negative behaviours with formal action if repeated interventions fail</li> </ul>	
<ul style="list-style-type: none"> <li>Sickness absence is 6 days per FTE</li> </ul>	<p>There is a consistent approach to following the Managing attendance procedures, monitoring sickness, undertaking quality return to work interviews, ensuring appropriate and timely management referrals</p>	<ul style="list-style-type: none"> <li>-Sickness absence rates</li> <li>-monitoring information</li> <li>-feedback on return to work interviews</li> </ul>	
Employee comments:			
Line manager comments:			

Customer Care	Objectives	Measures	Self Assessment Score
<p><b>Values - We focus on communities and customers first, we communicate effectively</b></p> <ul style="list-style-type: none"> <li>Customer expectations are fully satisfied and valued</li> </ul>	<p>Ensure our customers enquiries are dealt with promptly and efficiently, and wherever possible, ensure that their enquiries are dealt with by the first person they contact</p>	<p>-Waiting and response times to telephone calls, correspondence and callers - in line with Customer Care Standards</p>	
	<p>Ensure all customers are treated fairly and will try to provide, wherever possible, different ways to deliver our services to meet the needs of individual customers</p>	<p>-Commitments and service standards appropriate to the service are regularly reviewed in line with changes in customer demand</p>	
		<p>-The use of plain and simple language</p>	
		<p>-The correct use of West Lindsey District Council branding, correct use of fonts, capitals and council specific terms in all correspondence</p>	
		<p>-Introduction of on line and self help initiatives, self service is available and promoted</p>	
		<p>-Regular promotion of customer values/standards to staff with formal action if repeat interventions fail</p>	
		<p>-Customers are engaged in developing and enhancing our understanding of customer expectations</p>	

		-Customers are served at a location that is convenient to them and in a joined up fashion	
		-All feedback is welcomed and used as a learning opportunity	
Employee comments:			
Line manager comments:			
<b>Financial Management</b>	<b>Objectives</b>	<b>Measures</b>	<b>Self Assessment Score</b>
<b>Values - we are creative and business smart, we are a can do council</b> <ul style="list-style-type: none"> <li>• There is a balanced and sustainable budget</li> </ul>	Monthly monitoring and forecasting of service performance against budgets through the approved budget monitoring process	-Year end actual net expenditure to not exceed approved budget	
		-Financial virement procedures to have been properly applied to balance budgets during the year	
		-Based on expenditure net of income, providing realistic outturn forecasts during they year, other than the initial forecast variance, future changes to variances not to exceed 10% (under or over)	
		-100% payment of non-disputed invoices on time in accordance with approved payment policies	
		-Income targets set and met, action plans developed to meet targets	

		-Savings and efficiency targets set and made	
		-Can articulate and demonstrate with evidence a VFM opinion for the service	
		-No breaches of contract regulations	
		-Identifies updates and manages risks (including fraud and money laundering) through the approved framework	
Employee comments:			
Line manager comments:			
<b>Performance Management</b>	Objectives	Measures	Self Assessment Score
<b>Value - we are creative and business smart</b> <ul style="list-style-type: none"> <li>Programme and Project Plans for all main priorities</li> </ul>	<p>Ensure that all main priorities have a project plan captured on Minerva, identifying key stakeholders and regularly reviewed and updated</p> <p>All activity is aligned to the Corporate Plan priorities and projects are overseen by the appropriate Board</p>	-Clear priorities agreed and delivery plan reflect how team/others will deliver the actions and by when	
		-Balanced scorecard targets measured and met or reasons for non-achievement detailed and rectification actions detailed	
		-All projects/programmes should understand and reflect potential risks	
		-All projects/programmes should contain milestones	
Employee comments:			



Line manager comments:			
<b>Leadership/Corporate Working</b>	Objectives	Measures	Self Assessment Score
<b>Value - we are a can-do council, we are one council</b> <ul style="list-style-type: none"> <li>All managers display the values, behaviours and the vision of the entrepreneurial council</li> </ul>	Managers should adopt the corporate values and behaviours required to provoke commitment trust and engagement between managers, staff and the organisation	-Council vision sold to all	
		-Displays the ability to influence and negotiate	
		-Is able to deliver results	
		-Is proactive in resolving issues and making decisions	
		-Is able to prioritise	
		-Is self aware and continually learning	
		-Can evidence ongoing continuous professional development	
		-Actively supports and empowers all team members	
		-Leads by example	
Employee comments:			
Line manager comments:			
<b>Health and Safety</b>	Objectives	Measures	Self

			Assessment Score
<b>Values - We are a can do council</b> <ul style="list-style-type: none"> <li>All managers promote and adopt a positive and effective health and safety management culture</li> </ul>	The health, safety and welfare of all our employees, visitors, contractor etc are protected	-There is qualitative data (staff survey) to indicate that employees are satisfied with the health and safety management arrangements in place to protect them	
	The highest standards of compliance with our corporate health and safety responsibilities are achieved, not just legal, minimum standards	-The number of work related accidents is reduced year on year	
	The organisation is proactively managing legal, financial and reputation risks	-The number of working days lost to work related accidents is reduced year on year	
	Positive management of health and safety at work is seen as a vital component in a high performing and continually improving organisation	<del>-The number of working days lost to work related stress is reduced year on year</del>	
		-Performance of service Health & Safety champions is effectively managed in accordance with the performance standards applicable to the role	
		-Manager and Health & Safety champions achieve and maintain a minimum standard of expertise that we expect of the role	
Employee comments:			
Line manager comments:			
<b>Continuity &amp; Emergency Planning</b>	Objectives	Measures	Self Assessment Score
<b>Values - We are a can do council</b>	The organisation can sustain delivery of critical services to customers in the	-Service area business continuity plans, the corporate business continuity plan and	

<ul style="list-style-type: none"> <li>All managers promote and adopt a proactive approach to managing business continuity and emergency planning arrangements within their service</li> </ul>	<p>event of severe and/or prolonged disruption to normal service and that recovery of services to normal operation can be achieved as soon as possible after the event</p> <p>The council can divert and redeploy resources to support emergency services responding to a major incident anywhere in the county, in accordance with our civil contingency duties</p> <p>The organisation is proactively managing its legal, financial and reputational risks</p> <p>Positive management of business continuity and emergency planning arrangements are seen as vital components in a high performing and continually improving organisation</p>	<p>WLDC Emergency plans are maintained and up to date with copies made accessible to all managers in the office and at home</p> <p>-Managers take responsibility for ensuring service business continuity plans and emergency plans are reviewed and updated at least quarterly or when changes in the organisation or roles and responsibilities dictate. Any changes must be notified to the Emergency Planning Officer</p>	
		<p>-Managers achieve and maintain a minimum standard of business continuity and emergency planning expertise by attending and engaging in corporate training events and table top exercises designed to test and develop our preparedness to respond to events</p>	
		<p>-Managers provide and maintain any equipment that their plans require</p>	
		<p>-Managers release Forward Liaison Officers for training, exercises or incidents when required to do so</p>	
Employee comments:			
Line manager comments:			
<b>A Commitment to Equalities</b>	Objectives	Measures	Self Assessment

			Score
<p><b>Values- we are one council</b></p> <ul style="list-style-type: none"> <li>We have a representative workforce and staff that respect and support differences</li> <li>The services we run are providing appropriate access for all</li> </ul>	<p>Champion respect for individual differences and needs within members of the district we serve and also within our internal teams</p> <p>Recruitment is open and fair and we have a representative workforce</p> <p>Where we consult we will ensure we involve all sections of our community and listen to their views before making decisions</p> <p>We hold a comprehensive understanding of the impact of our services and policies on all our citizens and take action to reduce an negative effects</p>	-Level of complaints	
		-Representative levels within our staff make up	
		-Equalities vision sold to all	
		-Provides positive support for equalities work and challenges negative behaviours	
		-All feedback is welcomed and used as a learning opportunity	
		-Level of staff understanding and support for Equalities	
Employee comments:			
Line Manager comments:			
Overall comments - actions and support agreed			
Signed:	Signed:	Dated:	

## **Guidance Notes**

## **Management Standards – Assessment Form**

This form should first be completed by the employee to carry out an honest assessment of their current skills in line with the management standards. The employee should use a rating system of 1 to 10, 10 being excellent and 1 being not meeting the requirements.

The comments boxes should be used by the employee to capture any reflection they want to share and to provide further details if appropriate, the line manager can then add specific comments for each section.

The final comments box should be used to capture the joint discussion, any actions or further support agreed and this should then be signed off by both parties.

This form and discussion should be included within the appraisal process where possible and both forms should be returned to the HR department by 31 July 2012. If you have already carried out an appraisal with your staff then please send this through as an extra document, it is important that we also capture any training requirements from this process so that they can be included within the corporate training plan.

It may be appropriate to concentrate on 2 or 3 areas, or to concentrate on the areas needing most development.