



GA.30 12/13

Governance and Audit  
Committee

21<sup>st</sup> March 2013

**Subject: Quarterly Review of the Annual Governance Statement Action Plan 2011/12**

Report by:

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Purpose / Summary:

To review the progress with the Annual Governance Statement 2011/12 Action Plan.

**RECOMMENDATION(S):**

- 1) That Members note the current position with the Annual Governance Statement Action Plan for 2011/12.**

**IMPLICATIONS**

**Legal:**  
**The Annual Governance Statement details compliance with the Accounts and Audit Regulations 2003 as amended by the Accounts and Audit Regulations (amendment) (England) Regulations 2011.**

**Financial :**  
**Actions included in the Annual Governance Statement will be covered by existing resources.**

**Staffing :**  
**The action plan details the staff that are responsible for specific actions**

**Equality and Diversity including Human Rights :**  
**None**

**Risk Assessment :**  
**Risk management arrangements are part of corporate governance and issues raised under the arrangements were included within the Annual Governance Statement for this period.**

**Climate Related Risks and Opportunities :**  
**None**

**Title and Location of any Background Papers used in the preparation of this report:**  
**Annual Governance Statement and Action Plan file in Business Improvement.**

**Call in and Urgency:**

**Is the decision one which Rule 14 of the Scrutiny Procedure Rules apply?**

**Yes**

**No**

**Key Decision:**

**Yes**

**No**

## **1. Information**

- 1.1 The Annual Governance Statement is the formal statement of the quality of the Council's governance arrangements, in accordance with the Accounts and Audit (England) Regulations 2011,
- 1.2 The Governance and Audit Committee in September 2012 agreed the Annual Governance Statement for 2011/12 and noted that an action plan would be put in place and monitored by the Committee to address the significant issues.

## **2. Significant Issues 2011/12**

- 2.1 The significant issues that were identified for development were:
  - Outcome performance management – To ensure that the Council has the systems in place to demonstrate the delivery of outcomes to the place and communities.
  - Governance of key partnerships – To ensure that key partnership have effective governance in place to deliver the desired outcomes.
  - Risk management – To ensure that effective risk management arrangements are in place to identify, assess and manage risks to the delivery of our priorities.
  - Project management - To ensure that effective project management arrangements are in place to ensure probity in decision making and effective delivery.
  - Joint Planning Unit - To ensure that the Core Strategy is taken through to adoption.

## **3. The Action Plan**

- 3.1 The Action Plan is attached at Appendix 1 and shows the current position with work to develop the issues that have been identified.

## **4. Next Steps**

- 4.1 The next meeting of the Governance and Audit Committee will look at our current governance position and issues that have been raised throughout 2012/13, taking into account comments from our Auditors, Directors and Heads of Service.
- 4.2 The information will be used to formulate the Annual Governance statement and action plan and to comply with new CIPFA guidance on the corporate governance framework.

## Annual Governance Statement Action Plan 2012-13

1. Outcome Performance Management					
<b>Objective:</b> To ensure that the Council has the systems in place to demonstrate the delivery of outcomes to the place and communities.					
ID	Action Required	Due Date	Assigned to	Status	Comments
1.1	G&A committee to consider effectiveness of Progress and Delivery Report	March	Alex Reeks		On the agenda for this Committee.
1.2	Annual Report to be produced	June	Alex Reeks		
1.3	G&A committee to consider WLDC outcome focus	March	Alex Reeks		
2. Governance of key Partnerships					
<b>Objective:</b> To ensure that key partnership have effective governance in place to deliver the desired outcomes.					
ID	Action Required	Due Date	Assigned to	Status	Comments
2.1	Report on approach to partnership governance to G&A Committee	December	Rachel North		These issues have been addressed in that the Boards have been established to develop corporate ownership of projects and the scoping documentation for projects ensures that partners are identified and managed by the Board.
2.2	Implement approach to partnership governance	March	Rachel North		
3. Risk Management					
<b>Objective:</b> To ensure that effective risk management arrangements are in place to identify, assess and manage risks to the delivery of our priorities.					
ID	Action Required	Due Date	Assigned to	Status	Comments
The management approach to risk management is similar to that of project management. Each board is responsible for managing risks within their area of responsibility and codes of practice will e developed to ensure that the principles are included in management competencies.					
3.1	A new strategy including escalation arrangements and responsibilities.	September	Carol deHaney		For approval at this committee
3.2	Code of practice for managers produced	December	Carol deHaney		Draft codes ready for issue once strategy is adopted

3.3	Training delivered	December	Carol deHaney		Training has been delivered to CMT, WMT and Programme boards, stressing the responsibility of managers for risk management in their area and at appropriate levels.
3.4	Annual report on risk	December	Carol deHaney		The Annual report has been prepared but is still awaiting some ICT updates so will be revised to incorporate 2012/13 and will be considered by the Governance and Audit Committee in June

#### 4. Project Management

**Desired outcome:** To ensure that effective project management arrangements are in place to ensure probity in decision made and effective delivery.

ID	Action Required	Due Date	Assigned to	Status	Comments
	<p>Due to the work that has been done through the board structure, the Chief Executive is confident that project managers have the right tools to be able to manage projects within their remit.</p> <p>The new approach is that adherence to a strict project management methodology is no longer compulsory. Boards which oversee programmes and projects are tasked with ensuring that they have confidence that:</p> <ol style="list-style-type: none"> <li>1. There is a need for the initiative/project.</li> <li>2. There is a plan to deliver it.</li> <li>3. There is a process in place to manage change.</li> </ol> <p>Managers will be free to adopt a methodology that suits the extent of the project as long as it demonstrates the above to the satisfaction of the relevant Board.</p> <p>The methodology that has been developed is available as good practice and codes of practice will be developed around the 3 questions above.</p> <p>Training on best practice will to be delivered to a relevant cohort of staff who will be tasked with cascading it to others.</p>				
4.1	Project Management Methodology refreshed	December	Alex Reeks		Complete
4.2	Codes of practice for Project Management approved	December	Alex Reeks		Draft version 1 prepared. Currently under final review.
4.3	New Project system built		Alex Reeks		Complete and migration of active projects from the old system underway.

4.4	System Training delivered	February 2013	Alex Reeks		Training to be delivered in part during migration. Structured training to follow.
4.5	6 Monthly report on methodology scheduled on forward Plan for the next 12 months	December	Alex Reeks		See above

## 5. Joint Planning Unit

**Objective:** To ensure that the Core Strategy is taken through to adoption.

ID	Action Required	Due Date	Assigned to	Status	Comments
5.1	Amend the Local Development Scheme	September	Mark Sturgess		Complete
5.2	<p><b>Ensure that a project plan is developed to deliver the adoption of the Core Strategy</b></p> <p>The partners which make up the Central Lincolnshire Strategic Planning Committee and the Joint Planning Unit recognise that there have been delays in the process of getting the Core Strategy adopted. In order to ensure that the Core Strategy is adopted without further delay a detailed project plan has been produced with the assistance of dedicated project management support (provided by North Kesteven District Council). This project plan shows the submission draft of the Core Strategy to the Secretary of State for formal examination in the autumn of 2013 with adoption in 2014. The project plan is regular monitored through the lead member group of the partner councils.</p>		Mark Sturgess		<p>The work currently underway is in line with the project plan that has been adopted.</p> <p>Individual project plans have also been developed for each of the sustainable urban extensions across central Lincolnshire and again the work is being delivered in time with the plans.</p> <p>The plan is still aiming for committee in summer of this year and examination beginning in the autumn.</p>