



**GA.27 13/14**

**Governance and Audit  
Committee**

**21 November 2013**

**Subject: SMART Action Plan following the Corporate Governance  
Review**

Report by:

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Purpose / Summary:

To present the Corporate SMART Action Plan to  
Members

**RECOMMENDATION:**

**(i) That Members consider the SMART action plan for approval.**

## IMPLICATIONS

**Legal:** The Council currently has a red rating for Corporate Governance. The action plan , once implemented, should improve the Council's approach to Corporate Governance, which in turn, will ensure that the Council demonstrates greater due diligence.

**Financial FIN/44/14 :** Any actions which require additional funding and which cannot be met from within existing resources would be the subject of a future report.

**Staffing :** None related to this report.

### **Equality and Diversity including Human Rights :**

*NB: A full impact assessment **HAS TO BE** attached if the report relates to any new or revised policy or revision to service delivery/introduction of new services.*

**Risk Assessment :** The risk assessment may be found on the Council's Minerva electronic system. Please look for the Corporate Governance Programme

**Climate Related Risks and Opportunities :** N/A

### **Title and Location of any Background Papers used in the preparation of this report:**

Corporate Governance Review Report presented to G&A September 2013

### **Call in and Urgency:**

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

Yes

No

### **Key Decision:**

Yes

No

## **1. Background**

- 1.1 The Council was deemed to warrant a red rating for Corporate Governance in June 2013. The Council has since employed the Interim Director of Resources to improve our approach to Corporate Governance,
- 1.2 A review of Corporate Governance was presented to the Governance and Audit Committee in September 2013. It was agreed that the recommendations of the report be developed into a SMART action Plan and in addition, that the auditor's recommendations concerning the Elswitha development (presented to G&A Committee on the 22<sup>nd</sup> October 2013) be incorporated into the SMART Action Plan, so as to inform the Council's future investment approach.

## **2. Progress since G&A Committee September 2013**

- 2.1 The programme scope is being completed and CMT will seek assurance that this is effective once Governance and Audit Committee have approved this action plan.
- 2..2 A Corporate Governance Board has been formed. This Board will ensure that officers deliver the required and agreed actions which will improve the Council's standing in relation to Corporate Governance. It will report monthly to CMT for the next twelve months.
- 2.3 The Elswitha recommendations, where relevant to Corporate Governance, have been developed into SMART actions and form the 'investment' theme of the Corporate Governance SMART Action Plan. These actions will be tracked along with the other Corporate Governance actions, outlined within the SMART Action Plan.
- 2.3 The lead officers, as detailed within the SMART action plan, will develop project plans for each of the themes, subject to Member approval. These project plans will be available on the Council's Minerva system.

## **3. The SMART Action Plan**

- 3.1 The SMART Action Plan is outlined from page 4 of this report.

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Themes	Progress since Jan 13	Objectives	Lead Officer	Target date	Success Measures
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<p><b>1) Leadership Outcomes:</b></p> <p>Elected Members and staff are aware of their respective roles and responsibilities and are ambassadors for the Council.</p>	<ul style="list-style-type: none"> <li>• Review of Dir and HoS Workloads (MG)</li> <li>• Competency workshops</li> <li>• Draft restructure</li> <li>• Leader's Panel</li> <li>• Group leaders panel</li> <li>• Priorities agreed by Members</li> <li>• Existing projects reviewed and prioritise with reference to the Corporate Priorities to form C. Plan refresh work.</li> </ul>	<p>Complete management restructure</p> <p>Embed Officer Code of Conduct</p> <p>Senior Management team away day to review, prioritise /rationalise corporate projects</p> <p>Agree format for check lists/ procedures / Code of Practise</p> <p>Communication plan for roll out of Codes of Practise</p>	<p>Manjeet Gill</p> <p>Emma Redwood</p> <p>Jeanette McGarry</p> <p>James O'S</p> <p>Julie Heath</p>	<p>31/03/14</p> <p>31/12/13</p> <p>31/12/13</p> <p>30/11/13</p> <p>31/12/13</p>	<ul style="list-style-type: none"> <li>• Positive Annual Audit Letter</li> <li>• Green rating for Corporate Governance by June 2014</li> <li>• Staff in post by agreed date</li> <li>• All projects have agreed documentation</li> <li>• Positive Feedback and increase in compliments;</li> <li>• Everyone follows agreed Codes of Practise.</li> </ul>
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Themes	Progress since Jan 13	Objectives	Lead Officer	Target date	Success Measures
<p><b>2) Political Governance Outcomes:</b></p> <p>Members set direction and officers deliver Values and behaviours which are exemplary; strong corporate governance compliance</p>	<ul style="list-style-type: none"> <li>• Member Personal Development Interview</li> <li>• Review of Committee reports – Lead officers and roles agreed at Core Management Team (Oct)</li> <li>• Workshop and agreed process for reports agreed (Sept)</li> <li>• Corporate priorities agreed</li> </ul>	<p>1.Work with group leaders to develop a Personal Development plan for members</p> <p>2.Ensure that the constitution is reviewed at least annually at Annual Council</p> <p>3.Ensure that Committee reports requiring key decisions contain at least 3 options for consideration( includes doing nothing and status quo options)</p> <p>5.Promote roles in constitution and review where appropriate. Ensure roles and responsibilities (see list below) are understood and embedded by working directly with Group Leaders and procuring/facilitating appropriate training and development .</p>	<p>Alan Robinson</p> <p>Alan Robinson</p> <p>Committee Lead Officers</p> <p>Alan Robinson</p>	<p>31/3/14</p> <p>31/05/14</p> <p>30/11/13</p> <p>31/12/13</p>	<ul style="list-style-type: none"> <li>• Reduction in the number of Standards Complaints</li> <li>• WL Members are invited to offer peer support</li> <li>• 95% satisfaction with workshops and development programme</li> <li>• Increase member development attendance by 20%</li> <li>• Members constructively challenge and ask for assurance and seek to understand risks.</li> </ul>



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Themes	Progress since Jan 13	Objectives	Lead Officer	Target date	Success Measures
				August 2014	
<p><b>3) Project and Risk management</b></p> <p>All staff comply with project and risk management requirements</p>	<ul style="list-style-type: none"> <li>• Projects flow at a glance diagram presented to CMT (Sept)</li> <li>• Project life cycle diagram presented to CMT (Sept)</li> <li>• Risk management procedures</li> <li>• link to Risk Strategy and Minerva risk database shared with HoS</li> <li>• Review of risk registers and update details on Minerva.</li> </ul>	<p>Project Mgt:</p> <ol style="list-style-type: none"> <li>1. Diagrammatical representation of Project and Programme Framework approved by CMT</li> <li>2. Approved corporate procedure for Project and Programme Management approved by CMT</li> <li>3. Staff Workshops delivered</li> <li>4. Management Workshops delivered</li> <li>5. Member Workshop delivered</li> </ol> <p>Embed risk management by:</p>	<p>Alex Reeks</p> <p>Alex Reeks</p> <p>Alex Reeks</p> <p>Alex Reeks</p> <p>Alex Reeks</p> <p>James</p>	<p>6 November 2013</p> <p>21 November 2013</p> <p>12 December 2013</p> <p>19 December 2013</p> <p>28 February 2014</p>	<ul style="list-style-type: none"> <li>• 100% corporate projects are available on Minerva</li> <li>• All Corporate Risks are reviewed quarterly by CMT and the Challenge and Improvement Committee</li> <li>• Service risk registers are reviewed and updated quarterly</li> </ul>

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Themes	Progress since Jan 13	Objectives	Lead Officer	Target date	Success Measures
	<ul style="list-style-type: none"> <li>Diarise for HoS monthly one hour sessions for them to review their risk register.</li> </ul>	<p>6. Arrange and hold meetings with all HoS to review risk registers.</p> <p>7. monitor risk register updates across service areas and produce quarterly report for CMT.</p> <p>8. Develop, communicate and implement an Approved Code of Practise (ACoP )to support the risk management process.</p>	<p>O'Shaunnessy(JOS)/ Carol deHaney(C deH)</p> <p>JOS/ CdeH</p> <p>JOS/ CdeH</p> <p>JOS</p>	<p>Ongoing</p> <p>On-going.</p> <p>31/3/14</p>	
<p><b>4) Investment</b></p> <p>Sound investment decisions are made</p>	<ul style="list-style-type: none"> <li>Investment decisions Process Flow Chart presented to CMT (Sept)</li> </ul>	<p>To incorporate lessons from Elswitha project.</p> <p>1. Diagrammatical representation of Investment decision process including , include business</p>	<p>Kemal Ahson &amp; Manjeet Gill</p> <p>Alex Reeks</p>	<p>6 November 2013</p>	



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Themes	Progress since Jan 13	Objectives	Lead Officer	Target date	Success Measures
		<p>cases, due diligence, stakeholder engagement (especially member engagement) approved by CMT</p> <p>2. Approved corporate procedure for Investment decisions approved by CMT</p> <p>3. Staff Workshops delivered</p> <p>4. Management Workshops delivered</p> <p>5. Member Workshop delivered</p>	<p>Alex Reeks</p> <p>Alex Reeks</p> <p>Alex Reeks</p> <p>Alex Reeks</p>	<p>21 November 2013</p> <p>12 December 2013</p> <p>19 December 2013</p> <p>28 February 2014</p>	
<p><b>5) Performance Management</b></p> <p>The pace of our delivery is improved and we deliver our promises.</p>	<ul style="list-style-type: none"> <li>SMT workshop( Aug)</li> <li>Committee lead officers and roles agreed</li> </ul>	<p>Back to Management Basics checklist to include</p> <ul style="list-style-type: none"> <li>Appraisals</li> <li>One to ones</li> <li>Appraisal Reviews</li> <li>Team meetings</li> </ul>	<p>Alan Robinson, Emma Redwood</p>	<p>31/3/14</p>	<ul style="list-style-type: none"> <li>Delivery of programmes, projects and services is on time and to budget</li> </ul>

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<p>The Council measures, monitors and reports on the right things at the right time</p>	<ul style="list-style-type: none"> <li>• Corporate priorities agreed</li> <li>• Project management documentation and process in place</li> </ul> <p>Service level performance:</p> <ul style="list-style-type: none"> <li>• Proposed methodology presented and agreed by CMT in relation to performance management which also addresses the cross-cutting issue of performance management identified in the IDBRs.</li> </ul>	<ul style="list-style-type: none"> <li>• Risk management</li> <li>• Deadlines for reports</li> <li>• Forward plan</li> <li>• Audit findings</li> <li>• Budget Monitoring</li> </ul> <p>1. Produce an ACoP to support performance management</p>	<p>and Russell Stone</p> <p>JOS</p>	<p>31/12/13</p>	<ul style="list-style-type: none"> <li>• The 'Back to Management Basics' checklist is complied with by all managers</li> </ul>

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<b>6) Communication</b>  Stakeholders are fully engaged, at all times	<ul style="list-style-type: none"> <li>• Good practice; 'GAIN' and other community meetings shared corporately to help reinforce what good engagement looks like.</li> </ul>	1.All major projects to have a communications plan in place.	Chairs of Boards	Dec 13	<ul style="list-style-type: none"> <li>• Stakeholders report a 95% satisfaction level regarding engagement with all projects and initiatives</li> </ul>
		2.Comms team to meet chairs of boards on a monthly basis to understand key communication messages from major projects	Julie Heath	31 Jan 14	
		3.Ensure Communications team involved in shaping communications for managing change	Chairs of Boards and Project Leads	31 Nov 13	
<b>7) Culture</b>  WLDC is a transparent and positive place to work and do business where diverse views and skills are valued	<ul style="list-style-type: none"> <li>• Leader, Deputy Leader and Chief Exec promote and model the importance of a learning culture, with constructive challenge and personal accountability, with a positive 'can do' approach.</li> </ul>	4.Review and re-launch OD plan	Emma Redwood(E R)	31 March 14	<ul style="list-style-type: none"> <li>• 100% appraisals undertaken by May 2014</li> <li>• Staff satisfaction survey levels increase by 10%</li> <li>• Member satisfaction survey levels increase by 10%</li> </ul>
		5.Review and re-launch values and behaviours for members and staff	ER/AR	30 April 14	
		6.Review priorities - communicate to wider organisation (understand golden thread) and embed into appraisal process and 1-	JoS ER	31 March 14	

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	<ul style="list-style-type: none"><li>• Ensure there is a golden thread for all corporate priorities</li></ul>	2-1 process			<ul style="list-style-type: none"><li>• 100% appraisals link to Corporate Priorities</li></ul>