



GA.04 14/15

The Governance and Audit Committee

26th June 2014

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**Subject: Completion of the Corporate Governance Programme. And Elswitha Action Plan**

Report by:

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Purpose / Summary:

To present the progress made in relation to Corporate Governance programme and associated project plans, so that members of the G&A Committee may

- (i) be assured of progress .
- (ii) reflect and celebrate success
- (iii) be assured that the Council has moved from an emergency situation to a normal “business as usual” environment, and the next phase of Corporate Governance work may be planned and progressed.

To present the second progress report with regard to the Elswitha Action Plan

**RECOMMENDATION:**

- (i) That the G&A Committee seek assurance in relation to the progress of the corporate governance programme
- (ii) That the G&A Committee recognise that the Council has moved from an emergency Corporate Governance situation to a normal “business as usual” environment
- (iii) Agree that as the Corporate Governance Programme has now been delivered, the need for progress reports to G&A Committee

are no longer required. However, Corporate Governance matters will be reported as part of the Annual Governance Statement (AGS) and action plan.

(iv) That the Committee agree to consider the Elswitha SMART action plan on quarterly basis for the next 9 months or until such a time as it considers the actions set out in its resolution of 22<sup>nd</sup> October 2013 are completed.

## IMPLICATIONS

**Legal:** The Council currently has a red rating for Corporate Governance. The implementation of the Corporate Governance Programme, should improve the Council's approach to Corporate Governance, which in turn, will ensure that the Council demonstrates greater due diligence, and overall external rating

**Financial:** The Council appointed an interim Director to lead on Corporate Governance. The Member development project required some expenditure but this was within budget. The Permanent Director is now in post.

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

**Equality and Diversity including Human Rights :**  
The implementation of the Corporate Governance Programme will improve the due diligence of the Council, including the fairness and transparency of decision-making.

**Risk Assessment:** The risk assessment may be found on the Council's Minerva electronic system. Please look for the Corporate Governance Programme. The main challenge to the Council during Phase 2 of the Corporate Governance work is to ensure that the work is fully embedded.

**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 CMT September 2013

December 2013, January 2014, Feb2014, April 2014 as well as the corresponding reports to the Governance and Audit Committee and the G&A Away Day held on the 6<sup>th</sup> May 2014

**Call in and Urgency:**

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

**Yes**                      **No**    **x**

**Key Decision:**

**Yes**                      **No**    **x**

## 1. Background

- 1.1 The Council was deemed to warrant a red rating for Corporate Governance in June 2013.
- 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 , which in turn developed into the Corporate Governance Programme and associated Project Plans. The Elswitha audit recommendations have sat within the overarching Corporate Governance Programme but a full Elswitha Action Plan has also been developed, in its own right, in response to the Auditor's recommendations (Appendix B).
- 1.3 The Governance and Audit (G&A) Committee determined at its January 2014 meeting to hold a Special G&A Committee Meeting so that Members could probe, explore and seek further assurance in relation to the Corporate Governance Programme, the project plans and the Elswitha Action Plan.
- 1.4 Key areas requiring improvement, following the Elswitha Audit, were the Council's approach to:
  - investment (including land, property and assets)
  - project management
  - stakeholder engagement
  - informed decision-making

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

- 2.1 All of the projects with the exception of Organisational Development have been delivered.

The Organisational Development Project has made progress and has now been superseded by the proposed development of a 'People Strategy'.

This will in turn, build upon the Council's Investors in People approach. **Appendix 1** provides a programme update and is colour-coded as follows: Black = completed; green= on track; amber= not on track; red=concern.

The Corporate Governance Programme has delivered a great deal of improvement. For example, the highly successful Governance Training was delivered in early December. Effective Committees and the recent CIPFA Guidance took place in February 2014 and training with Elected Members concerning behaviour and best practice was extremely well attended and took place just prior to Full Council on the 3<sup>rd</sup> March 2014.

The Officer Code of Conduct has been reviewed, consulted upon and updated; all Committee reports are reviewed by the Finance Team and have a financial reference number to signify that they have been assessed.

The Performance Management Framework, including the “Golden Thread” approach which links the Corporate Priorities, Service Plans, Appraisals and the Organisational Development plan, were shared at the Leader’s Away Day in February and also with the Wider Management Team in March 2014

Approved Codes of Practice (ACOPS) have been drafted, consulted upon and shared at the Leader’s Away Day and also with the Wider management Team.

And in keeping with the Elswitha Audit recommendations:

- all Committee reports have at least three options for decision so that Elected Members are not led towards any one option;
- Revised investment guidance has been shared with the Wider Management Team and there is evidence that it is being used;
- Revised guidance concerning project management has been shared with the Wider Management Team and has been successfully trialled by the E-Accessibility Project. (This project and associated plans have been reviewed by the Internal Audit Team so the Council’s approach and use of the new guidance has been comprehensively assessed)
- Project management training for Elected Members has been scheduled and publicised

- 2.2 The most overwhelmingly feedback has been received from the Head of Internal Audit. She has reported that she and her Team have noticed a significant change and improvement in the culture of the Council. She also reported that the West Lindsey District Council Risk Register is used across the County as an example of Best Practice. Further, our external Auditor, Tony Crawley of KPMG, stated that he uses our Stakeholder ACOP as an example of best practice.
- 2.3 The Challenge and Improvement Committee established a cross-party, time-limited Task and Finish Group which considered the Auditor’s recommendations in relation to the Elswitha Project. Members of this group presented their findings to the G&A Committee in February 2014
- 2.4 The seven themes of the Corporate Governance Programme follow the CIPFA/SOLACE Corporate Governance framework and ten project plans feed into this programme.
- 2.5 Team CG( cross-Council staff leading on corporate governance) presented their Programme Scope, Project Plans and highlight reports to the G&A Committee in February 2014 and were further reviewed at the G&A Away Day on the 6<sup>th</sup> May 2014.
- 2.6 Although the Organisational Project needs final completion and embedding of corporate governance is required. A summary of progress is detailed within the attached table (appendix A) which is BRAG rated (colour-coded) so that members of the Governance and Audit Committee may have an “at a glance” view.

- 2.7 The Council has moved from an emergency Red Rating for Corporate Governance and is now operating in a normal, Business as usual environment. The next phase of corporate governance work may now commence.
- 2.8 The Elswitha Action plan is attached at Appendix B.

**Corporate Governance SMART Action Plan**

Objectives	Lead Officer	Due Date	Status	Success Measures	Progress to date
<b>1) Leadership</b>					
<b>Outcomes: Elected Members and staff are aware of their respective roles and responsibilities and are ambassadors for the Council.</b>					
Complete management restructure	Manjeet Gill	31/03/2014	Black	• Staff in post by agreed date	Director recruitment completed
Embed Officer Code of Conduct	Emma Redwood	30/06/2014	Green	• Green rating for Corporate Governance by June 2014	Revised report in draft form for CMT 26 Feb
Senior Management team away day to review, prioritise /rationalise corporate projects	Jeanette McGarry	31/12/2013	Black	Positive annual audit	Undertaken by individual boards
Agree format for check lists/ procedures/Code of Practice	James O'Shaughnessy	30/11/2013	Black	Series of ACoPs developed to provide guidance and consistency in approach	CMT approval received on 15/01/14
Communication plan for roll out of Codes of Practice	Julie Heath	31/12/2013	Black	• Positive Feedback and input received from wider organisation.	CMT have approved the concept. Communicated via WMT on 12/02/14.
<b>2) Political Governance</b>					
<b>Outcomes: Members set direction and officers deliver Values and behaviours which are exemplary; strong corporate governance compliance</b>					
1.Work with group leaders to develop a Personal Development plan for members	Alan Robinson	31/03/2014	Black	• Reduction in the number of Standards Complaints. 95% satisfaction with workshops and development programme	
2.Ensure that the constitution is reviewed at least annually at Annual Council	Alan Robinson	31/05/2014	Black	• WL Members are invited to offer peer support	Review completed
3.Ensure that Committee reports requiring key decisions contain at least 3 options for consideration( includes doing nothing and status quo options)	Committee Lead Officers	30/11/2013	Black	Members satisfaction with quality of reports	Options now included in report template
5.Promote roles in constitution and review where appropriate.	Alan Robinson	01/05/2014	Black		Constitutional review underway completed. Training took place on 3rd March 2014

**Corporate Governance SMART Action Plan**

Objectives	Lead Officer	Due Date	Status	Success Measures	Progress to date
Ensure roles and responsibilities (see list below) are understood and embedded by working directly with Group Leaders and procuring/facilitating appropriate training and development . - Group leaders - Chairs - Vice Chairs - Chief exec - S151 officer - Monitoring officer	Alan Robinson	30/03/2014	Black	<ul style="list-style-type: none"> <li>Members constructively challenge and ask for assurance and seek to understand risks.</li> </ul>	JDs written for and reviewed by all relevant parties. Training booked for 3rd March 14
6.Finalise 2013/14 member development plan	Alan Robinson	31/12/2013	Black	<ul style="list-style-type: none"> <li>Increase member development attendance by 20%</li> </ul>	
7.Arrange training for members concerning behaviours and corporate responsibilities	Alan Robinson	31/03/2014	Black	<ul style="list-style-type: none"> <li>Internal and External auditors report on an improvement in Member behaviour</li> </ul>	
8.Refresh Members on the Member Code of Conduct including expectations of behaviour as outlined within the Constitution	Alan Robinson	November Full Council 2013 and further development sessions to be completed by 31 <sup>st</sup> October 2014	Black	<ul style="list-style-type: none"> <li>Statutory officers are assertive and intervene at the appropriate time</li> </ul>	
9.Statutory officers are assertive and intervene at the appropriate time (Review with Committee Chair and Lead Officer after each meeting)	Alan Robinson	On-going	Black	10% increase in Member Satisfaction Annual Survey	
10.Good Officer/Member working relationships and increase in trust by members	Alan Robinson	Review August 2014	Green		Session booked to undertake review
<b>3) Project and Risk management</b>					
<b>Objectives: All staff comply with project and risk management requirements</b>					
<b>Project Mgt:</b>				<ul style="list-style-type: none"> <li>100% corporate projects are available on Minerva. Delivery of programmes, projects and services is on time and to budget.</li> </ul>	
1. Diagrammatical representation of Project and Programme Framework approved by CMT	Alex Reeks	06-Nov-13	Black		
2. Approved corporate procedure for Project and Programme Management approved by CMT	Alex Reeks	21-Nov-13	Black	CMT agree the methodology	Agreed by CMT
3. Staff Workshops delivered	Alex Reeks	12-Dec-13	Black	Satisfaction with the content of the workshop	WMT on 15th Jan 2014
4. Management Workshops delivered	Alex Reeks	19-Dec-13	Black	Satisfaction with the content of the workshop	WMT on 15th Jan 2014
5. Member Workshop delivered	Alex Reeks	28-Feb-14	Black	Satisfaction with the content of the workshop	Workshop held on 13th March 2014
<b>Embed risk management by:</b>					



## Corporate Governance SMART Action Plan

Objectives	Lead Officer	Due Date	Status	Success Measures	Progress to date
6. Arrange and hold meetings with all HoS to review risk registers.	James O'Shaughnessy(JOS)/ Carol deHaney(CdeH)	On-going	Black	All meetings held	Completed
7. Monitor risk register updates across service areas and produce quarterly report for CMT.	James O'Shaughnessy(JOS)/ Carol deHaney(CdeH)	On-going.	Black	<ul style="list-style-type: none"> <li>Service risk registers are reviewed and updated quarterly. All Corporate risks are reviewed monthly by CMT and quarterly by the Challenge &amp; Improvement Committee</li> </ul>	Risk registers are updated across the Council.
8. Develop, communicate and implement an Approved Code of Practice (ACoP )to support the risk management process.	James O'Shaughnessy(JOS)/ Carol deHaney(CdeH)	31/3/14	Black	Risk management is embedded and the process is comprehensively followed leading to substantial assurance rating from Internal Audit.	Draft ACoP produced for CMT approval on 7th May 2014

### 4) Investment

#### Objectives: Sound investment decisions are made

To incorporate lessons from Elswitha project.	Mark Sturgess	on-going	Green	Delivery of programmes, projects and services is on time and to budget. Stakeholders are identified and appropriate lines of communication and governance arrangements are in place.	Many actions completed relating to the recommendations made
1. Diagrammatical representation of Investment decision process including , include business cases, due diligence, stakeholder engagement (especially member engagement) approved by CMT	Alex Reeks	06-Nov-13	Black		Completed
2. Approved corporate procedure for Investment decisions approved by CMT	Alex Reeks	21-Nov-13	Black	Procedure accepted and followed	New date proposed for 31 Jan 2014
3. Staff Workshops delivered	Alex Reeks	12-Dec-13	Black	Satisfaction with the content of the workshop	New date proposed for 31 Jan 2014
4. Management Workshops delivered	Alex Reeks	19-Dec-13	Black	Satisfaction with the content of the workshop	New date proposed for 31 Jan 2014
5. Member Workshop delivered	Alex Reeks	28-Feb-14	Black	Satisfaction with the content of the workshop	Member workshop held on 13th March 2014

### 5) Performance Management

#### Objectives:

**Corporate Governance SMART Action Plan**

<b>Objectives</b>	<b>Lead Officer</b>	<b>Due Date</b>	<b>Status</b>	<b>Success Measures</b>	<b>Progress to date</b>
Back to Management Basics checklist to include: <ul style="list-style-type: none"> <li>· Appraisals</li> <li>· One to ones</li> <li>· Appraisal Reviews</li> <li>· Team meetings</li> <li>· Risk management</li> <li>· Deadlines for reports</li> <li>· Forward plan</li> <li>· Audit findings</li> <li>· Budget Monitoring</li> </ul>	Alan Robinson, Emma Redwood and Russell Stone	31/03/2014	<b>Black</b>	<ul style="list-style-type: none"> <li>• The 'Back to Management Basics' checklist is complied with by all managers.</li> </ul>	Checklist compiled and discussed with Service Managers to ensure role and responsibilities are understood.
1. Produce an ACoP to support performance management	JOS	31/12/2013	<b>Black</b>	<ul style="list-style-type: none"> <li>• Performance management processes are followed and understood across service areas and appropriate balanced scorecards are in place.</li> </ul>	COO has devised balanced scorecards with service areas. For review at CMT on 17th June. Once finalised the ACoP will be produced.
<b>6) Communication</b>					
<b>Objectives: Stakeholders are fully engaged, at all times</b>					
1.All major projects to have a communications plan in place.	Chairs of Boards	Dec-13	<b>Black</b>	Members aware of progress and staff kept informed of key projects.	New project methodology launched and Commercial Board overseeing major projects and associated communications.
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	<b>Black</b>	Corporate overview and awareness of major projects	Comms Team have undertaken to meet with Commercial Board after meetings to obtain key messages to be relayed.
3.Ensure Communications team involved in shaping communications for managing change	Chairs of Boards and Project leads	31 Nov 13	<b>Black</b>	Messages relayed at appropriate times to bring staff up to date	Comms Team have undertaken to meet with Commercial Board after meetings to obtain key messages to be relayed.
<b>7) Culture</b>					

**Corporate Governance SMART Action Plan**

Objectives	Lead Officer	Due Date	Status	Success Measures	Progress to date
<b>Objectives: WLDC is a transparent and positive place to work and do business where diverse views and skills are valued</b>					
4. Review and re-launch OD plan	Emma Redwood(ER)	31-May-14	Amber	<ul style="list-style-type: none"> <li>100% appraisals undertaken by May 2014</li> </ul>	All outstanding actions in this area are to be incorporated in a People Strategy which is currently being developed. The target date to complete this work is November 2014
5. Review and re-launch values and behaviours for members and staff	Emma Redwood(ER)	31-May-14	Amber	<ul style="list-style-type: none"> <li>Staff satisfaction survey levels increase by 10%</li> </ul>	All outstanding actions in this area are to be incorporated in a People Strategy which is currently being developed. The target date to complete this work is November 2015
6. Review priorities - communicate to wider organisation (understand golden thread) and embed into appraisal process and 1-2-1 process	Emma Redwood	31-Mar-14	Black	<ul style="list-style-type: none"> <li>100% appraisals link to Corporate Priorities</li> </ul>	Staff reminded of appraisal deadlines and link to corporate plan/priorities

# Action Plan – Elswitha Internal Audit Report

## 1. Procurement

No	Recommendations	Actions	Responsibility, Timescale and Evidence
1/60	The Council obtains legal and procurement advice before commencing on commercial projects and at appropriate stages during projects.	<p><b>Completed</b></p> <p>Through 2012/13 training has been undertaken with staff responsible for project management in order to embed the principles of sound project management into the organisation. This has included training on the APSE five case business model which included taking account of the legal and procurement implications of projects (including taking legal advice where appropriate) at the appropriate stage.</p> <p>Through the programme and project methodology adopted gateway reviews are now built into the project process.</p> <p>Business cases now are integral to project proposals which are considered by the Commercial Board and include the APSE five case business model.</p> <p>Commercial Board offers appropriate challenge around the need for legal advice and the procurement route selected.</p>	<p><b>Core Management Team</b></p> <p><b>Completed – Jan 2014</b></p> <p><b>[APSE Five Case Business Model, Commercial Board Terms of Reference, Programme/Project Management Proformas and Suggested Changes to the Constitution – Dec 2013]</b></p> <p><b>Actions for Commercial Boards.</b></p>
2/61	The Council reminds staff of the requirements under its own Contract Procedure Rules and under EU Regulations.	<p><b>Completed</b></p> <p>The business case template (both type I and II) which is now required by the Commercial Board in respect of all projects includes a description of the proposed procurement route any project should follow. This makes reference to both the council's internal procurement procedures and rules as well EU</p>	<p><b>Core Management Team</b></p> <p><b>Completed – Jan 2014</b></p> <p><b>[Commercial Board Terms of Reference, Programme/Project Management Proformas and Suggested Changes to the Constitution – Dec 2013, “Finance Matters” Programme - 2013]</b></p>

No	Recommendations	Actions	Responsibility, Timescale and Evidence
		<p>procurement procedures should the project be of that scale.</p> <p>The “Finance Matters” programme which took place in 2013 reinforced to staff the need to follow appropriate procurement procedures with regard to all projects.</p>	
3/62	<p>Before embarking on any exercise that might lead to procurement process the council considers what it is seeking to achieve and the best method for securing its objectives. This might mean considering such techniques as “competitive dialogue”. In any event legal and procurement advice should be taken early in the process.</p>	<p><b>Completed</b></p> <p>The business and project planning process adopted by the Commercial Board now requires this level of consideration by all those proposing projects which might lead to procurement.</p>	<p><b>Core Management Team</b>  <b>Completed – Jan 2014</b>  <b>[Commercial Board Terms of Reference, Programme/Project Management Proformas and Suggested Changes to the Constitution – Dec 2013]</b></p>
4/63 16/131	<p>The Council develops a protocol for contact with prospective developers/contractors which manages the risks of such contact and include the dissemination of any information provided to one prospective developer/contractor to all prospective developers/contractors.</p>	<p><b>Not Started</b></p> <p><b>Will be included in revised procurement guidance</b></p>	<p><b>Core Management Team</b></p>
12/110	<p>When the Council adopts an approach that it not the normal approach to contracting or working with partners it clearly documents what the approach is, how it will be applied and what outcomes can be expected. The risks should then be recorded and reported to members</p>	<p><b>Completed</b></p> <p>The approach to be taken to developing or implementing a project is set out in the project management proformas. This includes recording and documenting the approach taken, recording and analysing risk. This will enable all the matters set out in the action to be reported to members when key</p>	<p><b>Core Management Team</b></p> <p><b>Completed – Jan 2014</b>  <b>[Commercial Board Terms of Reference, Programme/Project Management Proformas and Suggested Changes to the Constitution – Dec 2013]</b></p>

No	Recommendations	Actions	Responsibility, Timescale and Evidence
	to enable them to ratify the approach and understand and/or approve the risks being accepted by the council.	<p>decisions are required.</p> <p>Unconventional approaches to contracting or working with partners will only happen in extreme circumstances.</p>	
13/111	We advise member training on the principles of sound project management and robust due diligence expected on investment decisions and significant procurement. This is to enable more effective challenge at key stages of the decision making, both formal and informal, associated with the priority projects.	<p><b>Completed</b></p> <p>Member training on project management took place on 13 March 2014.</p> <p>This included training on members declarations of interest.</p>	The Commercial Director held a training session with members on the subject of project management on 13 March 2013. This covered the issue of members declaring interests at meetings.
14/129	In future projects and developments the development brief clearly details the restriction on the use of council assets	<p><b>Working in Progress</b></p> <p>The production of development briefs will be considered as a subject for an ACOP and this will include ensuring that legal, covenants, infrastructure, recent investments, physical restrictions, a full description of the land and its legal restrictions is included in the brief.</p>	<p><b>Senior Management Team</b></p> <p><b>By end 2014</b></p>
17/132	The council ensures that it has a robust valuation from more than one valuer for any land that it is seeking to dispose of in accordance with s123 of the Local Government Act 1972 other than by way of market competition.	<p><b>Completed</b></p> <p>The District Valuer will become the default valuer for council own land. Following legal advice on valuations it is not considered necessary to obtain more than one valuation for land. However it is important that any valuation obtained is robust and technically based. Other councils rely on the District Valuer for valuation information. A second valuation may be required in some instances where the District Valuers opinion conflicts significantly with expectations. In this instance</p>	<p><b>Core Management Team</b></p> <p><b>Completed – autumn 2013</b></p> <p><b>[Commercial Board Terms of Reference, Programme/Project Management Proformas and Suggested Changes to the Constitution – Dec 2013]</b></p>

No	Recommendations	Actions	Responsibility, Timescale and Evidence
		a RICS registered valuer will be used. It is also important when the DV is used that dialogue is maintained with the DV to address any issues with the valuation.	
24/148	The Council reminds members and officers that once a procurement, tendering, or contracting process has commenced all contact with the potential developers must be undertaken in a controlled way and recorded. Information given to one potential developer is to be given to all potential developers.	<p><b>Work in progress</b></p> <p>This has been covered in the terms of reference for the new Greater Gainsborough Town Centre working group.</p> <p>It will also be covered more generally in revised procurement guidelines later in the year</p>	<p><b>Core Management Team</b></p> <p><b>September 2014</b></p> <p><b>Terms of reference to the Greater Gainsborough Town Centre working group.</b></p>
25/149	When potential contractors instigate inappropriate contact it is reported immediately to the Monitoring Officer and the contractor informed to cease such contact.	<p><b>Work in Progress</b></p> <p>To be included in procurement Guidance.</p>	<p><b>Core Management Team</b></p> <p><b>September 2014</b></p>
26/150	The Monitoring Officer is more proactive in ensuring that appropriate member and officer standards and behaviours are maintained.	<p><b>Completed – Initial Programme of Training</b></p> <p>A programme of training for members on these issues has been completed (led by the monitoring officer)</p> <p>Need to be reviewed through quarterly reports to the Governance and Audit Committee</p>	<p>Training undertaken with Governance and Audit committee delivered by KPMG– 27<sup>th</sup> November 2013</p> <p>Training from Monitoring Officer and Leader from Lambeth Council undertaken on 3 March 2014</p> <p>Training taken place on procurement and project management 13 March 2014</p>

## 2. Decision Making

No	Recommendations	Actions	Responsibility, Timescale and Evidence
8/106 and 130	<p>When members are asked to approve one of several options they are provided with sufficient information to make an informed decision, this could be achieved, for example, through the availability of a suitable business case, detailing the objectives and outcomes, showing strategic fit, and providing an options appraisal and risk analysis.</p> <p>Members are made aware of the options available to them of they feel that they need further information to support a decision.</p>	<p><b>Completed</b></p> <p>It has been agreed with the Leader and Deputy Leader that all reports will contain at least three options. These options will include that of “not to proceed” or “defer for further information”. The evaluation of the options will be based on the APSE five case business model which will cover the matters referred to in the recommendation.</p>	<p><b>Core Management Team</b></p> <p><b>Completed – autumn 2013</b></p> <p><b>[Recent reports to Committees]</b></p>
9/107	<p>The council should ensure that the evaluation process is strengthened – with results validated for completeness and accuracy and where appropriate scores moderated or at least some exploration of any significant variations.</p>	<p><b>Completed</b></p> <p>Procurement Lincolnshire’s advice on the scoring and evaluation of competing submissions is being adopted where appropriate. In certain cases officer from Procurement Lincolnshire are taking part in the scoring and evaluation of competing submissions.</p> <p>This will lead to the analysis of individual scores where there is a significant variation in the scores from members of the evaluation panel.</p>	<p><b>Core Management Team</b></p> <p><b>Completed – autumn 2013</b></p> <p><b>[Evaluation of the submissions in respect of the Gainsborough Regained Master Plan ]</b></p>
10/108	<p>Members be made aware of any significant risks, issues, impact and all options that are attached to the decision they are being asked to make</p>	<p><b>Completed</b></p> <p>Risks associated with projects are now recorded systematically through the project management proformas which are completed for projects. This will enable the risks to be assessed throughout the life of the project and report to members when a key decision is required.</p>	<p><b>Core Management Team</b></p> <p><b>Completed – Jan 2014</b></p> <p><b>[Commercial Board Terms of Reference, Programme/Project Management Proformas and Suggested Changes to the Constitution – Dec 2013]</b></p>



11/109	The s151 officer should ensure financial risks are fully explained in reports, including what due diligence has been undertaken on significant investment decisions and/or procurement proposed by the council.	<p><b>Completed</b></p> <p>All reports are signed off by the s151 officer or an officer authorised by the s151 officer for that purpose. As part of the process of signing off reports the officer assessing and describes the financial risks associated with the decision. Reports will not be placed before a Committee for decision within the “FIN” reference. Additionally Lead officer have been identified for each committee to ensure this recommendation is complied with.</p>	<p><b>S151 Officer Completed – October 2013 [see FIN ref attached to Committee Reports]</b></p> <p><b>Lead officers CMT report.</b></p>
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### 3. Stakeholder Engagement and Management

No	Recommendations	Actions	Responsibility, Timescale and Evidence
<p>21/155</p> <p>22/156</p> <p>23/157</p>	<p>The council undertakes an impact analysis on its key investment decisions assessing who might be affected by the decision and how they might be affected. The outcome of this analysis could then be helped to shape any communication and engagement strategy.</p> <p>In future developments the Council ensures that it engages with stakeholders at an early date and identifies key stages for engagement opportunities throughout the life of a project, especially where major change occurs.</p> <p>Stakeholder engagement should be identified as a key element of project plans.</p>	<p><b>Completed</b></p> <p>The council's project management process has been overhauled in 2013. This has resulted in a new method for defining projects and has set the Commercial Board at the centre of governance for project and programme methodology.</p> <p>This will result in the council's project management approach being robustly and rigourously applied to all current and future projects. This will include undertaking an impact analysis of key investment decisions to assess who might be affected by the decision and what the potential consequence for them might be.</p> <p>This will also include proposals for stakeholder engagement.</p>	<p><b>Core Management Team Completed – Jan 2014 [APSE Five Case Business Model, Commercial Board Terms of Reference, Programme/Project Management Proformas and Suggested Changes to the Constitution – Dec 2013]</b></p>
<p>19/139</p>	<p>The Council recognises the differing information needs of individual members and groups and takes this into account in Committee reports, briefings and information sharing.</p>	<p><b>Completed</b></p> <p>Included in the stakeholder guidance note to be approved by CMT</p>	<p><b>Stakeholder guidance approved by CMT</b></p>

20/140	<p>The Council puts in place arrangements to ensure that sufficient relevant information is made available to members and communication channels that ensure all members receive the information.</p>	<p><b>Work in Progress</b></p> <p>Information for members will need to be done on a more coordinated basis. Since the Elswitha audit arrangements have been put in place to inform members about developments on key projects through the members Corporate Priorities meetings, Leaders Panel Away Days and general information given at the regular leaders panel meetings. Additionally where there are projects of strategic importance the Leader of the Council has undertaken to give up dates at Council meetings (Central Lincolnshire Local Plan).</p> <p>There is also a responsibility on the members who attend Leaders Panel and Leaders Panel Away Days to ensure that the information they receive at these meetings is cascaded to other members through their Committee Briefings or the meetings they have with their political groups.</p> <p>Terms of reference required for Leaders Panel and Members Forum to ensure that the role of these meetings in disseminating information is understood.</p>	<p><b>Corporate Management Team Agendas and notes from Leaders Panel and Leaders Panel away days.</b></p>
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## 4. Project Management

No	Recommendations	Actions	Responsibility, Timescale and Evidence
5/76	The Council's project management approach is always completely and robustly applied for projects that meet the project management criteria.	<p><b>Completed</b></p> <p>The council's project management process has been overhauled in 2013. This has resulted in a new method for defining projects and has set the Commercial Board at the centre of governance for project and programme methodology. This will result in the council's project management approach being robustly and rigourously applied to all current and future projects.</p>	<p><b>Core Management Team</b>  <b>Completed – Jan 2014</b>  <b>[Commercial Board Terms of Reference, Programme/Project Management Proformas and Suggested Changes to the Constitution – Dec 2013]</b></p>
6/77	Groups that form part of the governance arrangements for a project have clear terms of reference which includes individual responsibilities and reporting lines.	<p><b>Completed</b></p> <p>The Senior Management Team is compiling "Approved Codes of Practice" (ACOP) for all significant activity under taken in the council. An ACOP will be produced which sets out a standard process for establishing sub groups which contribute to the development or implementation of a project.</p> <p>Included in stakeholder Guidance Document</p>	<p><b>Senior Management Team</b>  <b>End January 2014</b>  <b>[ACOP 1 – sets the purpose of format of the ACOP, subsequent ACOPs will deal with specific issues such as this]</b></p> <p><b>Comprehensive stakeholder engagement document drafted</b></p> <p><b>CMT to approve stakeholder guidance document.</b></p>
7/78	Where it becomes apparent that a steering group is not working effectively the project manager should address the reasons why and escalate the issue through the project governance structure.	<p><b>Work in Progress</b></p> <p>This situation will be covered in the relevant ACOP</p> <p>Included in stakeholder Guidance Document.</p>	<p><b>Senior Management Team</b>  <b>End January 2014</b>  <b>[ACOP 1]</b></p> <p><b>Comprehensive stakeholder engagement document drafted</b></p> <p><b>CMT to approve stakeholder guidance document.</b></p>