



GA39 13/14
Governance and Audit Committee
Date: 9th January 2014

F

Subject: SMART Action Plan Progress following the Corporate Governance Review

Report by:	Jeanette McGarry, Interim Director
Contact Officer:	Jeanette McGarry Interim Director 01427 676599 Jeanette.Mcgarry@west-lindsey.gov.uk
Purpose / Summary:	To present progress in relation to the Corporate Governance SMART Action Plan .

RECOMMENDATION(S):
(i) That Members assess the progress made in relation to the Corporate Governance SMART action plan so that a relevant and adequate level of assurance is achieved.

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 : The Council has employed an Interim Director to improve and enhance its approach to Corporate Governance.

Staffing : None related to this report.

Equality and Diversity including Human Rights :

An enhanced approach to Corporate Governance should ensure that the Council has greater checks and balances in place and is more transparent. This will enhance equality.

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
Corporate Governance SMART Action Plan presented to G&A November 2013

Call in and Urgency:

Is the decision one which Rule 14.7 of the Scrutiny Procedure Rules apply?

i.e. is the report exempt from being called in due to urgency (in consultation with C&I chairman)

Yes

No

Key Decision:

A matter which affects two or more wards, or has significant financial implications

Yes

No

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 and in addition, that the auditor's recommendations concerning the Elswitha development (presented to G&A Committee on the 22nd 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 has been completed , as have the various project plans which will deliver the overall Corporate Governance SMART Actions.
- 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.
- 2.4 The Council's Challenge and Improvement Committee has formed an Elswitha Task and Finish Group and will present the Elswitha Project (delivery) Plan to the Special Governance and Audit Committee scheduled for February 2014. This meeting has been called to focus solely upon Corporate Governance.
- 2.5 The Special Governance and Audit Committee, scheduled for February 2014 will also consider the Corporate Governance Programme Scope and associated project plans in detail.
- 2.6 The Corporate Governance SMART Action Plan is on track and many actions have already been successfully delivered. Members requested that a RAG (Red, Amber, and Green) table be presented to this evening's meeting so that Members could assess progress at a glance. The RAG table is presented below, within paragraph 3.

3. The SMART Action Plan : RAG'ed Progress

Themes	Progress since Jan 13	Objectives	Lead Officer	Target date	Success Measures
<p>1) Leadership Outcomes:</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"> • Review of Dir and HoS Workloads (MG) • Competency workshops • Draft restructure • Leader's Panel • Group leaders panel • Priorities agreed by Members • Existing projects reviewed and prioritise with reference to the Corporate Priorities to form C. Plan refresh work. 	Complete management restructure	Manjeet Gill	31/03/14	<ul style="list-style-type: none"> • Positive Annual Audit Letter • Green rating for Corporate Governance by June 2014 • Staff in post by agreed date • All projects have agreed documentation • Positive Feedback and increase in compliments; • Everyone follows agreed Codes of Practise.
		Embed Officer Code of Conduct	Emma Redwood	31/12/13	
		Senior Management team away day to review, prioritise /rationalise corporate projects	Jeanette McGarry	31/12/13	
		Agree format for check lists/ procedures / Code of Practise	James O'S	30/11/13	
		Communication plan for roll out of Codes of Practise	Julie Heath	31/12/13	

Themes	Progress since Jan 13	Objectives	Lead Officer	Target date	Success Measures
--------	-----------------------	------------	--------------	-------------	------------------

<p>2) Political Governance Outcomes:</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"> Member Personal Development Interview Review of Committee reports – Lead officers and roles agreed at Core Management Team (Oct) Workshop and agreed process for reports agreed (Sept) Corporate priorities agreed G&A Training undertaken by KPMG Training for Full Council arranged for March 2014 	<ol style="list-style-type: none"> 1. Work with group leaders to develop a Personal Development plan for members 2. Ensure that the constitution is reviewed at least annually at Annual Council 3. Ensure that Committee reports requiring key decisions contain at least 3 options for consideration (includes doing nothing and status quo options) 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 	<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"> Reduction in the number of Standards Complaints WL Members are invited to offer peer support 95% satisfaction with workshops and development programme Increase member development attendance by 20% Members constructively challenge and ask for assurance and seek to
---	---	---	---	--	---

Themes	Progress since Jan 13	Objectives	Lead Officer	Target date	Success Measures
--------	-----------------------	------------	--------------	-------------	------------------

		<p>development</p> <ul style="list-style-type: none"> • Group leaders • Chairs • Vice Chairs • Chief exec • S151 officer • Monitoring officer <p>6. Finalise 2013/14 member development plan</p> <p>7. Arrange training for members concerning behaviours and corporate responsibilities</p> <p>8. Refresh members on the member Code of Conduct including expectations of behaviour as outlined within the Constitution</p> <p>9. Statutory officers are assertive and intervene at the appropriate time (Review with Committee Chair and Lead Officer after each meeting)</p> <p>10. Good Officer/Member</p>	<p>Alan Robinson</p> <p>Alan Robinson</p> <p>Alan Robinson</p> <p>Alan Robinson</p>	<p>30/11/13</p> <p>31/12/13</p> <p>31/3/14</p> <p>November Full Council 2013 and further development sessions to be completed by 31st October 2014</p> <p>Ongoing</p> <p>Review August 2014</p>	<p>understand risks.</p> <ul style="list-style-type: none"> • Public Committees • Internal and External auditors report on an improvement in Member behaviour • Statutory officers are assertive and intervene at the appropriate time <p>10% increase in Member Satisfaction Annual Survey</p>
	<p>Clear Intervention and behavioural reminders following G&A Cttee Oct 2013</p>				

Themes	Progress since Jan 13	Objectives	Lead Officer	Target date	Success Measures
	<p>Minerva.</p> <ul style="list-style-type: none"> Diarise for HoS monthly one hour sessions for them to review their risk register. 	<p>Embed risk management</p> <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>James 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>4) Investment</p> <p>Sound investment decisions are made</p>	<ul style="list-style-type: none"> Investment decisions Process Flow Chart presented to CMT (Sept) 	<p>To incorporate lessons from Elswitha project.</p> <p>1. Diagrammatical representation of Investment decision</p>	<p>Kemal Ahson & Manjeet Gill</p> <p>Alex Reeks</p>	<p>6 November 2013</p>	

Themes	Progress since Jan 13	Objectives	Lead Officer	Target date	Success Measures
--------	-----------------------	------------	--------------	-------------	------------------

		<p>process including , include business 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>5) Performance Management</p> <p>The pace of our</p>	<ul style="list-style-type: none"> SMT workshop(Aug) Committee lead 	<p>Back to Management Basics checklist to include</p> <ul style="list-style-type: none"> Appraisals 	<p>Alan</p>	<p>31/3/14</p>	<ul style="list-style-type: none"> Delivery of programmes, projects and services is on

Themes	Progress since Jan 13	Objectives	Lead Officer	Target date	Success Measures
--------	-----------------------	------------	--------------	-------------	------------------

<p>delivery is improved and we deliver our promises.</p> <p>The Council measures, monitors and reports on the right things at the right time</p>	<p>officers and roles agreed</p> <ul style="list-style-type: none"> Corporate priorities agreed Project management documentation and process in place <p>Service level performance:</p> <ul style="list-style-type: none"> Proposed methodology presented and agreed by CMT in relation to performance management which also addresses the cross-cutting issue of performance management 	<ul style="list-style-type: none"> One to ones Appraisal Reviews Team meetings Risk management Deadlines for reports Forward plan Audit findings Budget Monitoring <p>1. Produce an ACoP to support performance management</p>	<p>Robinson, Emma Redwood and Russell Stone</p> <p>JOS</p>	<p>31/12/13</p>	<p>time and to budget</p> <ul style="list-style-type: none"> The 'Back to Management Basics' checklist is complied with by all managers
--	---	--	--	-----------------	--

Themes	Progress since Jan 13	Objectives	Lead Officer	Target date	Success Measures
	identified in the IDBRs.				
6) Communication Stakeholders are fully engaged, at all times	<ul style="list-style-type: none"> Good practice; 'GAIN' and other community meetings shared corporately to help reinforce what good engagement looks like. 	<ol style="list-style-type: none"> All major projects to have a communications plan in place. Comms team to meet chairs of boards on a monthly basis to understand key communication messages from major projects Ensure Communications team involved in shaping communications for managing change 	Chairs of Boards Julie Heath Chairs of Boards and Project Leads	Dec 13 31 Jan 14 31 Nov 13	<ul style="list-style-type: none"> Stakeholders report a 95% satisfaction level regarding engagement with all projects and initiatives
7) Culture 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"> Leader, Deputy Leader and Chief Exec promote and model the importance of a learning culture, with constructive challenge and 	<ol style="list-style-type: none"> Review and re-launch OD plan Review and re-launch values and behaviours for members and staff 	Emma Redwood(E R) ER/AR	31 March 14 30 April 14	<ul style="list-style-type: none"> 100% appraisals undertaken by May 2014 Staff satisfaction survey levels increase by 10%

Themes	Progress since Jan 13	Objectives	Lead Officer	Target date	Success Measures
--------	-----------------------	------------	--------------	-------------	------------------

	<p>personal accountability, with a positive 'can do' approach.</p> <ul style="list-style-type: none"> Ensure there is a golden thread for all corporate priorities 	<p>6. Review priorities and communicate to wider organisation (understand golden thread) and embed into appraisal process and 1-1 process</p>	<p>JoS ER</p>	<p>31 March 14</p>	<ul style="list-style-type: none"> Member satisfaction survey levels increase by 10% 100% appraisals link to Corporate Priorities
--	---	---	-------------------	--------------------	---