

**PROGRESS UPDATE ON THE ANNUAL GOVERNANCE STATEMENT ACTION PLAN**

**Portfolio Holder** Cllr Neal Davey  
**Responsible Officer** Head of Communities & Governance

**Reason for Report:** To provide the Committee with an update on progress made against the 2011/12 Annual Governance Statement Action Plan.

**RECOMMENDATION(S):** The Committee note the progress update and request that progress against any outstanding actions be reported to their next meeting on the 20 November 2012.

**Financial Implications:** None.

**Legal Implications:** Failure to meet the statutory guidance in relation to the Council's governance arrangements.

**Risk Assessment:** None arising from this report.

**1.0 Introduction**

- 1.1 The purpose of this report is to provide Members of the Committee with an update on the progress that has been made against the actions in the Annual Governance Statement action plan.
- 1.2 The action plan is attached as Appendix A and progress updates have been noted on the document.
- 1.3 The next update of any outstanding recommendations will be presented to the Committee at their meeting on 20 November 2012.

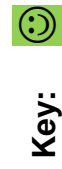
**Contact for more Information:** Amy Tregellas  
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**Circulation of the Report:** Management Team and Cllr Neal Davey

**List of Background Papers:** None

ANNUAL GOVERNANCE STATEMENT 2011/2012  
ACTION PLAN

Action	Lead Officer	Timescale	Progress
<b>Corporate and Business Planning</b>			
When next updating the Corporate Plan put together a communication strategy for communicating its contents both internally and externally	Head of Communities and Governance	End September 2012	The Corporate Plan is next due for a full update by June 2015. Progress update reports will be produced annually in May. These reports will be uploaded to the website and advertised via press releases. We will also produce summary reports for staff in The Link. The next fully updated Corporate Plan will include a section detailing its Communication Strategy.
Do a Link article to communicate the New Corporate Plan	Head of Communities and Governance	End July 2012	The full Corporate Plan was published on the Council's website, with a press release issued to the local paper on 4 May 2012. A summary leaflet has been drafted and is with the printers. A copy will be attached to both Officers' and Members' pay slips, instead of an article being put in The Link. <b>New Target Date:</b> End October 2012
<b>Revised Action:</b> Communicate the New Corporate Plan to Officers and Members			
Develop a Council mission statement to provide direction for staff	Head of Communities and Governance	End September 2012	Management Team are scheduled to discuss this on 18 September to agree a draft Mission Statement, ready for consultation with staff via the Link.
Review and improve the Business Plan template	Head of Communities and Governance	End October 2012	A research exercise has been undertaken to establish best practice in the Business Planning Process in conjunction with a revised Performance Management Strategy. A draft Strategy, with proposed new Business Plan template will be consulted on with Management Team early October 2012.



= target met or completed



= almost on target but slightly off



= way off target

Action	Lead Officer	Timescale	Progress
<p>Review and improve the corporate and business planning process to ensure that there is a golden thread and that all service areas can see how they link into the overall objectives of the Council. Translate this into diagrammatic form for ease of reference</p>	<p>Head of Communities and Governance</p>	<p>End September 2012</p>	<p>This action has been subsumed into the action above. The new Performance Management Strategy will highlight the mechanism for the golden thread approach within the Business Planning process. Once the Strategy and Business Plan template have been agreed, a training exercise with Service Managers will be organised. <b>New target date:</b> End December 2012</p>
<b>Performance Management</b>			
<p>Produce an annual report to be published alongside the Corporate Plan on performance on the Corporate Plan Indicators and delivery of key objectives and how services have performed against their business plans</p>	<p>Head of Communities and Governance</p>	<p>End July 2012</p>	<p>The annual report has been drafted. <b>New Target Date:</b> End October 2012</p>
<p>Review the performance management report that goes to Committee to include SMART targets for turning around any poorly performing areas</p>	<p>Head of Communities and Governance</p>	<p>End July 2012</p>	<p>The reporting mechanism within SPAR has been utilised to create an improved bi-annual standard performance report. Service Managers are recording SMART targets for poorly performing PIs, which will now be included in the performance report.</p>






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Action	Lead Officer	Timescale	Progress
Produce performance management guidance for officers and members	Head of Communities and Governance	End October 2012	Summary guidance documents with diagrammatical illustration showing the golden thread will be attached as appendices to the Performance Management Strategy (see above). 
<b>Risk Management</b>			
Ensure that all Service Managers and other relevant officers and Members who haven't completed risk management training in 2011/2012 receive training in the 2012/13 financial year	Head of Communities and Governance	End March 13	A schedule of Risk Management training has been organised by Learning and Development. Planned dates are: 2 October 2012, 6 November 2012, 5 December 2012, 23 January 2013, 25 February 2013 
Work with Heads of Service and Service Managers to get their risks on the SPAR.net system	Head of Communities and Governance	End March 13	Generic Health and Safety Risks have been added to SPAR.net, along with the strategic risks as outlined in the Constitution. The Audit Team Leader and Business Support Officer for Communities and Governance ran two SPAR.net presentations for Service Managers in August 2012 and circulated Risk guidance documents. The Business Support Officer is in liaison with Heads of Service and Service Managers regarding training. Specific service risks (both strategic and operational) as identified on Business Plans will be added to SPAR at these training sessions. 







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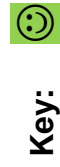


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Produce regular reminders for officers and Members in relation to risk management e.g. briefing sessions, through the staff newsletter 'the Link' and through WIS	Head of Communities and Governance	On-going. Attending Induction sessions and will do regular updates for the Link and WIS	The Head of Communities and Governance attends Officer and Member Inductions to give an overview of Risk Management (officer induction on 19 September 2012). The Editor of The Link has created a section for Risk Management for regular (at least monthly) articles. For example: Safeguarding Children and Young People (issue 213) and Security (issue 211). A number of guidance documents are being produced and will be available on SharePoint.	
<b>Communication</b>				
Put together a formal communication strategy incorporating internal and external communications	Communications and Reputation Manager	End December 2012	This is happening in two stages. The Communications and Reputation Manager has drafted an informal Internal Communication Strategy, to be used as an internal guidance document. A full (formal) Communication Strategy will be drafted in September 2012, covering both external and internal communications. This action is on schedule for the Strategy to be published by end December 2012.	
<b>Constitution</b>				
Complete an annual review of the register of interests and gifts and hospitality register	Monitoring Officer	End August 2012	The annual review has been completed for Members. The annual reminder for officers was scheduled to go in the Link in August. <b>New target date: End September 2012</b>	
Ensure that all members of Management Team complete an annual register of interests	Monitoring Officer	End October 2012	This is on schedule for completion by end October 2012.	








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Ensure that the Constitution is updated following the changes to the Standards Regime	Monitoring Officer	End December 2012	A review meeting with Members will be held beginning December 2012 with a proposed update planned to go to Audit Committee in January 2013. <b>New target date:</b> End January 2013	
Review the responsibility of Cabinet Members as there are some cases where there is overlap e.g. internal communications (Working Environment) and external (Leader) and Member Services	Monitoring Officer	End December 2012	Initial discussions will be held by end October 2012.	
<b>Financial Regulations and Policies</b>				
Review and update the Financial Regulations and present them to the Audit Committee for approval	Head of Finance	Target November 2012 meeting	This is on schedule for completion by 20 November 2012 meeting.	
Review and update the Contract Standing Orders and present them to the Audit Committee for approval	Head of Finance	Target November 2012 meeting	This is on schedule for completion by 20 November 2012 meeting.	
Review and update the Procurement Strategy to ensure that it is fit for purpose and meets the Councils business requirements	Head of Finance	Target November 2012 meeting	This is on schedule for completion by 20 November 2012 meeting.	



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<b>Legislative Changes</b>			
Use the Link to update officers on changes to legislation such as Localism Act, Welfare Reform, Health and Well Being Bill, etc	Heads of Service	As and when appropriate	The Link is used to update officers on changes to legislation. For example: Changes to Council Tax Benefit (issue 218) and New Code of Conduct for Members (issue 213).
<b>Whistle-blowing Policy</b>			
Take a report to Scrutiny Committee on a half yearly basis on the number of instances reported via the Whistle-blowing policy	Head of Communities and Governance	October and April meetings each year	The report is scheduled to go to Scrutiny Committee on 15 October 2012 and 15 April 2013.
Use the Link and staff induction process to make staff aware of the Whistle-blowing policy	Head of Communities and Governance	Following update of policy then quarterly	The Head of Communities and Governance attends Officer and Member Inductions to give an overview of The Whistle-blowing Policy (officer induction on 19 September 2012). The next update of the Whistle-blowing Policy is scheduled for March 2014. The quarterly updates in the Link will commence from October 2012.
<b>Procedural Guidance</b>			
Write procedural guidance notes on the revisions to the Impact assessment process in relation to the setting of the 2013/14 budget and circulate to all Service Managers	Head of Communities and Governance	End June 2012	The Head of Finance circulated guidance notes with the budget impact assessment form.







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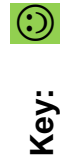


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Develop "Event Planning" guidance for officers – e.g. charging schedules, risk assessments and consideration of accessibility and equalities issues	Head of Communities and Governance	End July 2012	Research has been undertaken and drafts prepared for charging schedules, terms and conditions, risk assessments (form and guidance). A standard "event safety" guidance document is being drafted and will be available as a point of reference for officers and the general public (via the website). The guidance will include information on equality impact assessments for events. <b>New target date: End March 2013</b>	
<b>Business Continuity Plan</b>				
Update the Business Continuity Plan ensuring that there is an overarching plan for the whole Council	Head of ICT	End September 2012	Work has commenced with regard to updating the Business Continuity Plan. A meeting has been scheduled for 25 September 2012 to go through proposed revisions.	
Produce a schedule of scenario exercises on the Business Continuity Plan	Head of ICT	End September 2012	The Head of ICT is in liaison with the Chief Executive to agree a confidential schedule of scenario exercises. The schedule will meet the target date of end September 2012, with the exercises taking place later in the year.	
<b>SharePoint</b>				
Conduct a review of SharePoint and develop an action plan to include all key strategic documents in one easily accessible place and changes to the Management structure	Head of ICT	End September 2012	Research has been carried out and is on-going. A meeting is arranged for 28 September 2012 to set up a formal project and action plan for the restructure of SharePoint.	



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CRM System and Complaints				
Review and amend the complaints policy in relation to vexatious complainants	Customer First Manager	End September 2012	The Customer First Manager has updated the Complaints Policy to include a section on persistent, unreasonable and vexatious complaints. This is scheduled to go to Management Team for approval in September 2012.	
Produce a reminder note for all staff who use the CRM system to ensure that they improve the way the CRM system is used in relation to complaints and provide refresher training or a guidance note – upheld, not upheld or comment noted. Complete the field to say lessons learnt and what has changed as a result	Customer First Manager	End September 2012	Once the revised Complaints Policy has been agreed (see above), all staff will be updated on changes to the Policy and given guidance on these changes and offered refresher training for using the CRM system. Initial meetings with Housing and Planning have been arranged to look at how they use the system; if it is used fully and to review the letter templates on the system. <b>New target date: End December 2012</b>	
Remind all officers that any relevant documents that are sent to customers are saved on the CRM system	Customer First Manager	End September 2012	This action will be covered as part of the refresher training (see above). <b>New target date: End December 2012</b>	
Recommendations from review of Internal Audit against the CIPFA Code of Practice for Internal Audit				
Improve the Audit progress reports to include "High Risk" recommendations in a table	Audit Team Leader	Progress reports from September onwards	Progress report completed for Audit Committee on 25 September 2012.	

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Improve the follow up audit recommendations process by putting the recommendations on SPAR.net and setting up alerts to remind officers when their tasks are due. Use SPAR.net to run exceptions reports to accompany the audit progress reports	Audit Team Leader	By September progress report	<p>Research has been carried out into the best way of recording Audit Recommendations on SPAR.net and a template exception report has been set up. Service Managers have been advised of this change via SPAR.net presentations.</p> <p>Audit Recommendations will be added on an on-going basis to SPAR.net by the respective auditor from September 2012 onwards.</p> <p>Audit Recommendations brought forward from the last quarterly progress report are being added so they can be included in the September update report.</p>	
Review and update the internal audit customer survey	Audit Team Leader	End August 2012	<p>This action has been rescheduled.</p> <p><b>New target date:</b> End September 2012.</p>	
Review and improve the Performance Indicators that Internal Audit use	Audit Team Leader	By September progress report	<p>The Performance Indicators for Internal Audit will be updated for Audit Committee on 25 September 2012.</p>	

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