Appendix C – Annual Governance Statement Action Plan
Outturn Position for 2019/20

Issue Identified	Action to be taken	Lead Responsible Officer	Outturn Position
Corporate Governance			
Now that the Council has beenoperating for 12 months the Constitution is due to be reviewed	A Member Working Group is set up to work with theMonitoring Officer to review and update the Constitution including the Terms of Reference, Council Procedure Rules, Financial Regulations, Contract Standing Orders, Members' Code of Conduct, Officers' Code of Conduct and Member Officer Protocol	Governance Manager and Monitoring Officer	**Not Complete** Due to the review of the Council Governance Arrangements and the Unitary debate, an in-depth review of the Constitution has been put on hold. However, a revised recommendation has been added to the 2020/21 Action Plan for the Monitoring Officer to review sections of the Constitution to then take to the Working Group for consideration
The procedure for dealing withcomplaints about Councillors needs to be reviewed and updated	Review and update the procedure for dealing withcomplaints about Councillors	Governance Manager and Monitoring Officer	**Not complete – carried forward** This will be reviewed through the ConstitutionWorking Group
The information on the Councilwebsite relating to complaints about Councillors needs to be reviewed and updated	Review and update the information on the Councilwebsite in respect of complaints about Councillors	Governance Manager and Monitoring Officer	**Not complete – carried forward**
The Officer Scheme of Delegation is as up to date as it can be but needs to be amended following the finalising of the staff alignment exercise	Review and update the Officer Scheme of Delegation following the staff alignment into the new Directorates	Governance Manager and Monitoring Officer	**Complete** The Scheme of delegation was amended following the introduction of the directorate structure. A new action is included for 2020/21 in that the Monitoring Officer now needs to carry out a more in-depth review with each Assistant Director to ensure the information under their areas remains correct and that the most up to date legislation is in the document.

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Corporate Strategy and Business Planning			
The Corporate Plan is highlevel and aspirational	Produce an Annual Plan which sits below the Corporate Strategy and sets out what the Council will do in the next 12 months	Director for Internal Operations	**Completed**
There is currently no 'goldenthread' in terms of Corporateand Business Planning and Individual appraisals	Produce Directorate/Service Business Plans whichlink to the Corporate Strategy Ensure that the staff appraisal process includes the'golden thread' so that staff can see how they link to the achievement of the Council's objectives Relaunch of Performance Management in September. Tracking and quality checking will becarried out by the People Business Partners	Director for Internal Operations	**Completed** Performance Management was relaunched in 2020
Staff are not aware of what theCorporate objectives are	Ensure that staff are reminded of the CorporatePriorities on a regular basis	Senior Management Team	**Completed** Chief Executive and Directors sessions regularly tell staff about the priorities of the organisation
The Council's doesn't yet have a vision and mission statement	Develop a vision and mission statement for theCouncil	Senior Managem entTeam	**Completed -** Mission statement is 'Public Service Excellence'
No annual report is produced setting out how the Council has performed against the Corporate Strategy objectives	At the end of each year produce an annual report setting out the Council's achievements against the Annual Corporate Plan targets	Director for Internal Operations	**Complete**

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Performance Management			
The Council's Performance Management framework needs to be documented	Document the Performance ManagementFramework	Business Intelligence and Performance Manager	**Complete**
The Council doesn't currentlyhave a Data Quality Policy	Draft a Data Quality Policy	Business Intelligence and Performance Manager	**Not complete – carried forward** Slippage due to Business Intelligence having resources diverted to Covid-19 work
Performance Reporting needs to be improved	Produce a Performance Scorecard for eachDirectorate	Business Intelligence and Performance Manager	**Completed**
Reporting on performance, risk and finances needs to beimproved	Ensure that Senior Management Team receive monthly reporting on Performance Indicators, keybusiness risks, budget monitoring and progress against internal audit recommendations	Business Intelligence and Performance Manager	**Complete** Monitored monthly through the Corporate Performance Management Board Meetings
Reporting on performance, risk and finances needs to beimproved	Ensure that there is quarterly reporting to the Executive on Performance Indicators, key business risks and budget monitoring and progress against internal audit recommendations	Business Intelligence and Performance Manager	**Partially Complete** Quarterly reporting on Performance Indicators and Budget Monitoring but key business risks only commenced in Quarter 4 of the 2020/21 financial year
Reporting on performance, risk and finances needs to beimproved	Ensure that there is half yearly reporting to the Scrutiny Committee and for them to complete an in-depth review of performance indicators, key business risks and budget monitoring	Business Intelligence and Performance Manager	**Partially Complete** Quarterly reporting on Performance Indicators and Budget Monitoring but key business risks only commenced in Quarter 4 of the 2020/21 financial year

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Only overdue priority 1 Auditrecommendations are reported to the Audit, Governance and Standards Committee	Ensure that the progress against all Internal Auditrecommendations classed as level 1 or 2 are reported to the Audit, Governance and Standards Committee on a quarterly basis	Governance Manager and Monitoring Officer	**Complete**
Risk Management			
The Corporate Risk Register is currently not reported to Members	Ensure that the any risks scoring 15 or above arereported to the Members on a quarterly basis as part of the Performance and Risk Report	Director of Internal Operations	**Partially Complete** Reporting on the key business risks only commenced in Quarter 4 of the 2020/21
The level and detail of risks captured at operational and service level is weak	Service risk assessments need to be produced and held in a central repository Any service risks scoring 15 or more should be included as part of the key business risk register	Director of Internal Operations	**Carry Forward** Some services are piloting the use of service risk registers which feed into the directorate register. If successful this will then be rolled out across the organisation
Health and Safety risks need to be linked to the CorporateRisk Register	Ensure that Health and Safety risks are identified and held in a central repository Any H&S risks scoring 15 or more should be included as part of the key business risk register	Health and SafetyOfficer	**Complete** Risk Registers were required to be updated by April 2021.
Project risks need to be linked to the Corporate Risk Register	Ensure that Project risks are identified and held in acentral repository Any Project risks scoring 15 or more should be included as part of the key business risk register	Director of Internal Operations	**Complete** Project and programmes now have consistent framework in place to record risks. These are reported to Directorate Performance Boards where decision is taken as to whether they should be included on Directorate/ Corporate risk register

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Staff have not received risk management training recently	Run a number of training sessions for officers on Risk Management, ensuring it aligns to the Risk and Opportunity Management Strategy	Director of Internal Operations	**Carried Forward** This has not happened yet due to Covid, but looking to have modules on risk on the new e-learning platform.
Risk language used throughout the Council is not consistent in all areas, nor is the method of risk assessment or scoring	Internal comms to get the key messages about riskassessment and management across to staff Carry our risk assessment training for officers thatcarry out service risk assessments	Director of Internal Operations	**Partly Complete** The Risk and Opportunity Management Strategy is the corporate document to follow. Consistent messaging links with the action above
There isn't effective challengefrom Members on how well Risk Management is working within the organisation	Run Risk Management training for Members	Director of Internal Operations	**Completed** This will be added to the Member Training and Development Plan to ensure that it is refreshed on a regular basis
Openness and Transparency			
The information on public participation on the website ishard to find and is basic	Review and update the information on the Councilwebsite relating to public participation and getting involved in local democracy including how decisions are made at Committee (especially for Planning)	Governance Manager and Monitoring Officer	**Complete** Information on the website has been updated re public participation during the Covid-19 pandemic. A protocol has been approved by Council for speaking at Planning Committee meetings
Currently we do not publish the feedback from complaints on the website	'You said, we did' on the website to demonstratewhat we have changed as a result of complaints and feedback	Assistant Directorfor Customer	**Carry Forward** Whilst the Complaint Policy has been amended, we do not yet seem to be doing 'You said, we did' on the website
Currently this is confusing for Members of the public and weneed to change our approach in favour of transparency	Give a better explanation re public interest test v confidential session. Use better wording on agendas and at Committees. Give more informationon the website	Governance Manager and Monitoring Officer	**Carry Forward** Monitoring Officer to consider when reviewing the Constitution

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There is currently no performance data publishedon the website	Set up a page on the website on performance andensure that the quarterly reports are available for the public to see	Business Intelligence and Performance Manager	**Completed**
Information relating to accessing information is currently not in one place onthe website or easy to find	Set up a page on the website called 'Access toInformation'. This to include Data Protection information including Privacy Statements, Freedom of Information including disclosure log, publication scheme and transparency code requirements	Governance Manager and Monitoring Officer	**Carry Forward** Monitoring Officer to consider when reviewing the Constitution
We do not currently publish our responses to FOI requests	Publish a Freedom of Information Disclosure log on the website	Assistant Directorfor Customer	**Carry Forward**
We do not currently videorecord or live stream our Committee meetings	Video record and live stream Committee meetings from the start of the new Municipal Year	Governance Manager and Monitoring Officer	**Completed**
Member Training and Development			
Ethical awareness needs to beimproved	Ethical awareness training for Councillors at leasttwice a year	Governance Manager and Monitoring Officer	**Partly Complete** One session took place in November 2020. Action carried forward to the next Action Plan
Need to get feedback from Members on training and development that we currentlyoffer	Invite all Members in for a one to one session to gettheir feedback on how things have been for them since the May 2019 elections and also to discuss their training and development needs	Governance Manager and Monitoring Officer	**Completed** All Members were offered the opportunity to have a one to one session and the take-up was about 50%

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We do not currently have a training policy for Councillors	Produce a training policy for Councillors	Governance Manager and Monitoring Officer	**Completed** Approved by the Executive in April 202
We don't currently have aMembers training plan	Feed the information from the Members training and development requirements into a Member training plan and use this to source future training	Governance Manager and Monitoring Officer	**Carried Forward** This will go forward to the Member Training and Development Working Group for them to consider
We don't currently have agroup set up to focus on training and development	Set up a Member Development Group to focus ontraining and development	Governance Manager and Monitoring Officer	**Completed**
We don't currently have the Member Development Charter	Apply for the Member Development Charter	Governance Manager and Monitoring Officer	**Not Completed** Given that Unitary Somerset is on the horizon, and there are other priority pieces of work – it is suggested that this is no longer classed as an appropriate action at this time
Don't currently recordMembers feedback	Carry out an annual survey to all Members asking for their views on their working relationships with officers	Governance Manager and Monitoring Officer	**Completed** Members are now being surveyed every month
Ethical Standards			
Ethical awareness needs to beimproved	Monitoring Officer to send quarterly updates to Officers and members reminding them to declareany interests and gifts & hospitality	Governance Manager and Monitoring Officer	**Carried Forward**
Ethical awareness needs to beimproved	Quarterly ethical update newsletter for Councillors	Governance Manager and Monitoring Officer	**Carried Forward**

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Member Communications			
Member communication could be improved – officer to member and member tomember	Set up a Member Working Group to focus on IT and Communications	Governance Manager and Monitoring Officer	**Completed** Being picked up via the IT Forum and Communications will also be considered by the Member Training and Development Working Group
Members are not currently getting feedback from reps onoutside bodies	Continue to send the weekly newsletter for Members and include sections on local wardmatters and updates from outside bodies	Governance Manager and Monitoring Officer	**Carried Forward** As this links in with Member Learning and Development – to be considered by the Member Training and Development Working Group
Policies and Procedures			
Policies are in need of reviewand update	Review and update the:Whistleblowing Policy Anti-Bribery Policy Anti-Fraud Strategy Anti-Money Laundering Policy	Governance Manager and Monitoring Officer	**Completed** Approved by the Executive in April 2021
The Complaints processneeds to be reviewed in accordance with new Directorate Structure	Review complaints process - do we want to go back to a two stage process with the first stage being the Service Manager and second stage being Assistant Director	Assistant Directorfor Customer	**Completed**
We do not currently have an up to date Communications Strategy	Need to draft a Communications Strategy	Director of Internal Operations	**Carried Forward**
Contracts and Partnership Working			
We do not currently have anup to date Procurement Strategy	Need to draft a Procurement Strategy	Strategic Procurem ent Specialist	**Completed**
The Contracts Register is out of date	Ensure that the Contract Register is reviewed andupdated	Strategic Procurem ent Specialist	**Carried Forward**

Issue Identified	Action to be taken	Lead Responsible Officer	Outturn Position
We do not currently have aregister of Partnerships	Ensure that we have a Partnership register	Strategic Procurem ent Specialist	**Carried Forward**
The SHAPE Legal contractneeds to be reviewed and updated	Review the partnership arrangements with SHAPELegal	Governance Manager and Monitoring Officer	**On hold** Given that Unitary Somerset is on the horizon, this will be revisited once the position is clear
Officers need to have trainingin the procurement process	Training for officers on the procurement process	Strategic Procurem ent Specialist	**Carried Forward** eLearning courses set up to be instigated for service Contract/ Project managers and service procurers
People Management			
The Council doesn't currently have a People/Workforce Strategy that aligns with the Corporate Strategy and MTFP	Develop a People/Workforce strategy	HR Business Partner	**Not Completed** COVID activity has delayed progress with this and is now being aligned with the Unitary decision
HR Policies and proceduresare out of date	Ensure that all HR policies and procedures havebeen updated to be relevant for SWT	HR Business Partner	**Carried Forward** Policies have been re written. Next steps will be a review with Assistant Directors, consultation with UNISON and normal governance.
Job descriptions are generic	Job descriptions to be updated to include job related person specifications and wording to makeit clear that all staff are responsible for Health andSafety, FOI and Complaints	HR Business Partner	**Carried Forward** New target date to be confirmed in line with Unitary decision
There needs to be a Corporate Training plan	Produce an overarching training and developmentplan focusing on mandatory training, CPD trainingand other training	HR Business Partner	**Completed**

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The Induction process needs to be improved	Review and update the Induction process for officers and focus on basic things that all officers need to know and tailored induction for items thatare more job specific.	HR Business Partner	**Carried Forward** In progress. Corporate induction has been updated job specific inductions improvements
We currently do not have a corporate appraisal process(forming the 'golden thread')	Appraisals - have a corporate approach and ensure that they focus on the Councils values and behavioural framework as well as tasks	HR Business Partner	**Completed**
Survey staff to get a picture as to how staff are feeling	Carry out annual staff survey and then communicate to staff what actions will be taken as a result of the feedback	HR Business Partner	**Completed**
Community Engagement			
We don't currently have an up to date Community Engagement Strategy	Draft a Community Engagement Strategy to include the type of issues that we will meaningfully consult on or involve communities, individual citizens and service users.	Director for Housing and Communities	Carried Forward
We do not currently publish feedback on consultation onthe website	When we carry out consultation need to ensure that the results of the consultation are published on the website along with how this has been taken into account by the Council	Director of Internal Operations	**Completed** New consultation toolkit
We do not currently ask thepublic for their views on theCouncil	Carry out an annual customer survey	Director of Internal Operations	**Completed**
Project Management			
Our current processes and procedures for managing projects needs to be improved	Review the processes and procedures in place to manage projects including a robust business case,performance measures, risk assessment and logs and benefits realisation	Director of Internal Operations	**Completed** Implemented a Programme Management Office approach to ensure we have adequate processes to manage projects & programmes at all stages

Issue Identified	Action to be taken	Lead Responsible Officer	Outturn Position
Project Management needs to be led corporately by a dedicated officer	Ensure that the Project Management Office (PMO)function is delivered at a Corporate level	Director of Internal Operations	**Completed** We now have a dedicated PMO officer
Finance			
The structures on E5 are out of date	Ensure that the way the finance system is set upaligns with the new Directorates structure	Assistant Directorfor Finance	**Completed**
Budget monitoring does not currently go before Members on a quarterly basis	Ensure that budget monitoring reports go before Members on a quarterly basis	Assistant Directorfor Finance	**Completed**
The MTFP needs to be amended as a result ofCoronavirus	Ensure that the MTFP is reviewed and updated totake account of the reduced income streams and potential increase in expenditure	Assistant Directorfor Finance	**Completed** MTFP being regularly reviewed by SMT and reports to Members
Internal Audit Reports			
The Payroll Audit Report onlygives partial assurance	Ensure that recommendations set out in the report are delivered within the timescales set out	Director for Internal Operations	**Completed**
The Information ManagementProject Audit Report only gives partial assurance	Ensure that recommendations set out in the report are delivered within the timescales set out	Director for Internal Operations	**Completed**
The Banking Arrangements Audit Report only gives partialassurance	Ensure that recommendations set out in the report are delivered within the timescales set out	Assistant Directorfor Finance	**Completed**
The Treasury Management Audit Report only gives partialassurance	Ensure that recommendations set out in the report are delivered within the timescales set out	Assistant Directorfor Finance	**Completed**
The Main Accounting System Audit Report only gives partialassurance	Ensure that recommendations set out in the report are delivered within the timescales set out	Assistant Directorfor Finance	**Completed**
The Debtors Audit Report onlygives partial assurance	Ensure that recommendations set out in the report are delivered within the timescales set out	Assistant Directorfor Customer	**Completed**

Issue Identified	Action to be taken	Lead Responsible Officer	Outturn Position
IT Policies and Procedures			
IT Policies and Procedures need to be reviewed in light of the change to working arrangements	To carry out a review of all IT Policies and Procedures	IT Manager	**Carried Forward**