

Appendix C – Annual Governance Statement Action Plan outturn position for the 2020/21 AGS

Issue Identified	Action to be taken	Lead Responsible Officer & Deadline	Update
Corporate Governance			
The Constitution should be reviewed and amended to make it more user friendly and clearer to use	The Monitoring Officer to review the various sections of the Constitution and then to take reports forward to the Constitution Working Group for consideration.	Governance Manager & Monitoring Officer 31/12/21	Amendments to the Constitution have been made as and when appropriate and come before Council. This will continue whilst SWT is still in existence. More detailed work on the Constitution has been superseded by the Unitary Council and the Governance work stream is drafting the new Constitution for the Unitary Authority. Update: The SWT Constitution is being updated as and when needed, with the last update going to Full Council in February 2022. The issue regarding the Constitution being user friendly and clearer to use will feed into the LGR governance workstream
The procedure for dealing with complaints about Councillors needs to be reviewed and updated	Review and update the procedure for dealing with complaints about Councillors	Governance Manager & Monitoring Officer 31/10/21	The procedure for dealing with complaints has been amended and the Monitoring Officer will convene a meeting of the Standards Committee in July 2022. This will then go to the Annual Meeting of Full Council for sign off.

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			<p>The Governance workstream for the Unitary Council has drafted a new complaints process for the Unitary Council.</p> <p>Update: The Standards Committee has been scheduled for 26 July 2022 where this will be considered. This item has carried forward to the action plan for the 2021/22 AGS.</p>
<p>The information on the Council website relating to complaints about Councillors needs to be reviewed and updated</p>	<p>Review and update the information on the Council website in respect of complaints about Councillors</p>	<p>Governance Manager & Monitoring Officer 31/10/21</p>	<p>Completed</p>
<p>The Officer Scheme of Delegation needs to be reviewed following the revision to the directorate structure</p>	<p>The Monitoring Officer to send each Assistant Director the Officer Scheme of Delegation to review for their area and to ensure that the legislation is still current and relevant</p>	<p>Governance Manager & Monitoring Officer 31/10/21</p>	<p>Each Assistant Director was sent the Scheme of Delegation 05/10/21 and provided updates. This is being amended again following the decision not to fill the Director of External Operations role at the current time.</p> <p>Update: this action has now been completed</p>
<p>Performance Management</p>			
<p>The Council doesn't currently have a Data Quality Policy</p>	<p>Draft a Data Quality Policy</p>	<p>Business Intelligence & Performance Manager 31/12/21</p>	<p>It is proposed that this action is picked up by the Corporate Policy workstream for the Unitary Council.</p> <p>Update: This action will feed into the LGR workstream covering corporate policies and procedures</p>

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<i>Risk Management</i>			
Whilst Performance and Finance reports have been going before the Scrutiny Committee and Executive on a quarterly basis, this now needs to happen with the Key Business Risk Register	Ensure that there is quarterly reporting to the Scrutiny Committee(s) and Executive on the key business risks	Business Intelligence & Performance Manager Quarterly from June 2021	<p>Completed – quarterly reports have been going to the Scrutiny Committees and Executive during the 2021/22 financial year as part of the Corporate Performance Report</p> <p>Update: Q1, Q2 and Q3 reports went to the Corporate Scrutiny Committee on 01/09/21, 01/12/21 and 02/03/22. They also went to the Executive on 15/09/21, 15/12/21 and 16/03/22. The Q4 an outturn reports are scheduled to go to Corporate Scrutiny Committee on 01/06/22 and Executive on 15/06/22.</p>

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<p>The level and detail of risks captured at service level is weak. Some services are piloting the use of service risk registers which feed into the directorate register</p>	<p>Once the pilot has been completed ensure that the process for service risk registers is rolled out across the whole organisation.</p> <p>Any service risks scoring 15 or more should be included as part of the key business risk register</p>	<p>Business Intelligence & Performance Manager 31/12/21</p>	<p>Work to develop service risk registers is still ongoing and is being included as part of the transition arrangements to the new unitary authority. The councils risk registers are being migrated from Excel documents to Sharepoint lists and the new format will make it easier to facilitate the further development of service risk registers, and will enable risks to more easily be escalated to the Directorate or Corporate risk register when necessary.</p> <p><i>Update: From an SWT perspective, colleagues in the Project Management Office (PMO) and Business Intelligence (BI) have been working with services to focus on service risks and to incorporate them into the key business risk register if appropriate.</i></p> <p><i>In respect of LGR – there is a risk assessment for the delivery of the new Council and SWT is also keeping its key business risk register updated with any LGR risks impacting on SWT.</i></p>

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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.	Business Intelligence & Performance Manager 30/11/21	Further training for officers is still in development and we are looking at e-learning modules for risk management training within SWT. Update: As outlined above, colleagues from PMO and BI have been working with services to identify risks. This is on job training rather than rolling out a specific training course for service managers.
<i>Openness and Transparency</i>			
Currently we do not publish the feedback from complaints on the website	'You said, we did' on the website to demonstrate what we have changed as a result of complaints and feedback	Assistant Director – Customer 30/09/21	Completed – this is now available on the website
Currently going into confidential session in a meeting is confusing for members of the public and we need 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 information on the website (this is part of the work in the Constitution)	Governance Manager & Monitoring Officer 31/12/21	Completed – additional wording has been added to agendas that include confidential items. Where part of an item of business is confidential wording has also been added to agendas to make it as clear as possible as to what will be considered in the public domain and what will require going into confidential session.
Information relating to accessing information is	Set up a page on the website called 'Access to Information'. This is to include Data	Governance Manager & Monitoring Officer 31/12/21	Work in progress – new target date 31/03/22

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currently not on one place on the website or easy to find	Protection information including Privacy Statements, Freedom of Information including disclosure log, Publication Scheme and Transparency Code requirements		Update: This has now been completed.
We do not currently publish our responses to FOI requests	Publish a Freedom of Information Disclosure log on the website	Assistant Director – Customer 30/09/21	Complete - We now publish FOI statistics on the website but not a disclosure log. However, individuals submitting an FOI request are able to search the Firmstep log for previous similar requests before submitting their request.
Member Training and Development			
Ethical awareness needs to be improved	Ethical awareness training for Councillors at least twice a year	Governance Manager & Monitoring Officer 31/03/22	Ethical items have been covered in the March 2022 ethical newsletter and further awareness training will be arranged following the May 2022 elections Update: The first ethical newsletter was publishing in March 2022 and the next edition is in the process of being drafted to go out to Members in early June 2022.

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			<p><i>The Governance Manager and Monitoring Officer will provide the Standards Committee with an update regarding awareness training on 26 July 2022. This item has carried forward to the action plan for the 2021/22 AGS.</i></p>
<p>Work with the Member Training and Development Group to produce a Members' training plan</p>	<p>Feed the information from the Members training and development requirements into a Member training plan and use this information to source future training</p>	<p>Governance Manager & Monitoring Officer 31/10/21</p>	<p>Feedback from Member one to ones has been used to inform Member Briefings for 2022/23. Work on Member Training and Development is being picked up as a workstream under the Unitary Council Governance work, to ensure that there is appropriate induction training for the new Unitary Councillors <i>Update: The uptake from SWT Members to have a one to one was low.</i> <i>It is recommended that, given where we are with LGR, the Member Training and Development Group is disbanded.</i> <i>The LGR Governance workstream is picking up Member Induction and training going forward for the new Council.</i></p>

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<i>Ethical Standards</i>			
Ethical awareness needs to be improved	Monitoring Officer to send quarterly updates to Officers and Members reminding them to declare any interests, and gifts & hospitality	Governance Manager & Monitoring Officer Quarterly from 30/09/21	<p>Completed - Ethical newsletter sent to Members in March 2022. Next edition to be sent to Members in June 2022. <i>This item has carried forward to the action plan for the 2021/22 AGS.</i></p> <p>Electronic registers now in place for Officer declarations of interests and gifts & hospitality. Update sent to officers and quarterly reminders now scheduled.</p>
Ethical awareness needs to be improved	Quarterly ethical newsletter for Councillors	Governance Manager & Monitoring Officer Quarterly from 30/09/21	<p>Completed - Ethical newsletter sent to Members in March 2022. Next edition to be sent to Members in June 2022. <i>This item has carried forward to the action plan for the 2021/22 AGS.</i></p>
<i>Member Communications</i>			
Members are not currently getting feedback from outside reps on outside bodies	Gaining information about what the outside bodies are all about is Member Training and Development. Investigate with the Member Training and Development Group how best to ensure that information from reps on outside bodies is	Governance Manager & Monitoring Officer 31/10/21	Expand and change the focus on the SWT newsletter. <i>This item has carried forward to the action plan for the 2021/22 AGS.</i>

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	captured and disseminated to wider membership		
<i>Policies and Procedures</i>			
We do not currently have an up to date Communications Strategy	Communications Strategy to be drawn up	Service Lead - Communications Operations 31/12/21	The Communications Strategy is in draft. Next steps are to finalise and publish. This piece of work will be superseded by the Unitary Council workstream on communications <i>Update: This piece of work is being picked up by the LGR workstream focusing on communications</i>
<i>Contracts</i>			
The Contracts Register is out of date	Ensure that the Contract Register is reviewed and updated	Strategic Procurement Specialist	Complete
Officers need to have training on the procurement process	Training for officers on the procurement process. E-learning courses set up to be instigated for service contract/project managers and service procurement users	Strategic Procurement Specialist	Further training for officers is in development and is being picked up through the LGR Procurement workstream. <i>Update: Managers responsible for new staff pick this up as part of the induction process. The LGR worksteam focusing on procurement will pick up training for staff as part of the new Council arrangements.</i>

Issue Identified	Action to be taken	Lead Responsible Officer & Deadline	Update
<i>People Management</i>			
The Council doesn't currently have a People/Workforce Strategy that aligns with the Corporate Strategy and MTFP	Once the Unitary decision is known, work with colleagues to align a People/Workforce Strategy	HR Business Partner Target date to be confirmed in line with Unitary	This action is being picked up as part of the People (Staff) workstream for the Unitary Authority <i>Update: This is being picked up by the LGR People workstream</i>
HR Policies and procedures are out of date	Ensure that all HR policies and procedures have been updated to be relevant for SWT.	HR Business Partner 30/11/21	Policies have been re-written. A number of them are currently with Unison for comment. Next steps will be to finalise the policies and publish on the staff Intranet.
Job descriptions are generic	Job descriptions to be updated to include job related person specifications and wording to make it clear that all staff are responsible for Health & Safety, FOI and complaints	HR Business Partner Target date to be confirmed in line with Unitary	This action is being picked up as part of the People (Staff) workstream for the Unitary Authority.

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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 as well as a tailored induction for items that are more job specific	HR Business Partner 31/10/21	Completed – The corporate induction process has been reviewed and is available on the Learning and Development pages on the Intranet. There is a separate induction process for Health & Safety. Job specific induction is handed over to the employees Line Manager
<i>Community Engagement Strategy</i>			
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 31/03/22	Housing have confirmed that the Engagement Policy is in draft and being reviewed by the Housing Quality Network before being finalised.
<i>IT Policies and Procedures</i>			
IT Policies and procedures need to be reviewed in light of the change to working arrangements	To carry out a review of IT Policies and Procedures	IT Manager 31/10/21	Complete - IT Usage Policy reflects current working arrangements. Other policies are being picked up through the LGR IT workstream.