

Appendix B – Annual Governance Statement Action Plan

Issue Identified	Action to be taken	Lead Responsible Officer	Deadline
Corporate Governance			
Now that the Council has been operating for 12 months the Constitution is due to be reviewed	A Member Working Group is set up to work with the Monitoring 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	31/12/20 Invitations have gone out to the Constitution Working Group to commence work on the review
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 and Monitoring Officer	31/10/20 This will be reviewed through the Constitution Working Group
The information on the Council website relating to complaints about Councillors needs to be reviewed and updated	Review and update the information on the Council website in respect of complaints about Councillors	Governance Manager and Monitoring Officer	30/09/20 Information for website has been designed and needs to be updated
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	31/07/20 and ongoing

Issue Identified	Action to be taken	Lead Responsible Officer	Deadline
<i>Corporate Strategy and Business Planning</i>			
The Corporate Plan is high level 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	30/06/20 Completed
There is currently no 'golden thread' in terms of Corporate and Business Planning and Individual appraisals	Produce Directorate/Service Business Plans which link 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 be carried out by the People Business Partners	Director for Internal Operations	30/09/20
Staff are not aware of what the Corporate objectives are	Ensure that staff are reminded of the Corporate Priorities on a regular basis	Director for Internal Operations	30/06/20 and ongoing Covered in the CEO team talks in week commencing 22/06/20
The Council's doesn't yet have a vision and mission statement	Develop a vision and mission statement for the Council	Senior Management Team	31/07/20 Completed - Mission statement is 'Public Service Excellence'

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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	31/07/20 Complete – draft annual plan for 2020/21 includes a look back to 2019/20
Performance Management			
The Council's Performance Management framework needs to be documented	Document the Performance Management Framework	Business Intelligence and Performance Manager	30/09/20 On track to meet this target
The Council doesn't currently have a Data Quality Policy	Draft a Data Quality Policy	Business Intelligence and Performance Manager	30/10/20
Performance Reporting needs to be improved	Produce a Performance Scorecard for each Directorate	Business Intelligence and Performance Manager	30/06/20 Score cards produced and in ongoing development with Directors

Issue Identified	Action to be taken	Lead Responsible Officer	Deadline
Reporting on performance, risk and finances needs to be improved	Ensure that Senior Management Team receive monthly reporting on Performance Indicators, key business risks, budget monitoring and progress against internal audit recommendations	Business Intelligence and Performance Manager	Monthly from 31/05/20 Completed – monthly SMT performance meetings set up and sequenced with the Committee cycle. Covers risk, finance, programmes, audit actions, performance, people and H&S
Reporting on performance, risk and finances needs to be improved	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	Quarterly from 30/06/20 Now timetabled and ready for reporting from September
Reporting on performance, risk and finances needs to be improved	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	Half yearly in September and February On track to meet this target

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Only overdue priority 1 Audit recommendations are reported to the Audit, Governance and Standards Committee	Ensure that the progress against all Internal Audit recommendations classed as level 1 or 2 are reported to the Audit, Governance and Standards Committee on a quarterly basis	Governance Manager and Monitoring Officer	Quarterly from 30/06/20 On track – first report taken on 08/06/20 and scheduled for remainder of the year
<i>Risk Management</i>			
The Corporate Risk Register is currently not reported to Members	Ensure that the any risks scoring 15 or above are reported to the Members on a quarterly basis as part of the Performance and Risk Report	Director of Internal Operations	Quarterly from 30/09/20 On track to meet this target
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	31/12/20
Health and Safety risks need to be linked to the Corporate Risk 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 Safety Officer	30/09/20

Issue Identified	Action to be taken	Lead Responsible Officer	Deadline
Project risks need to be linked to the Corporate Risk Register	<p>Ensure that Project risks are identified and held in a central repository</p> <p>Any Project risks scoring 15 or more should be included as part of the key business risk register</p>	Director of Internal Operations	30/09/20
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	30/09/20
Risk language used throughout the Council is not consistent in all areas, nor is the method of risk assessment or scoring	<p>Internal comms to get the key messages about risk assessment and management across to staff</p> <p>Carry out risk assessment training for officers that carry out service risk assessments</p>	Director of Internal Operations	30/09/20
There isn't effective challenge from Members on how well Risk Management is working within the organisation	Run a number of Risk Management training sessions for Members	Director of Internal Operations	30/09/20
<i>Openness and Transparency</i>			
The information on public participation on the website is hard to find and is basic	Review and update the information on the Council website 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	31/08/20 Public participation to be discussed as part of the work of Constitution Working Group

Issue Identified	Action to be taken	Lead Responsible Officer	Deadline
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 for Customer	30/09/20
Currently this 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	Governance Manager and Monitoring Officer	31/08/20
There is currently no performance data published on the website	Set up a page on the website on performance and ensure that the quarterly reports are available for the public to see	Business Intelligence and Performance Manager	31/12/20
Information relating to accessing information is currently not in one place on the website or easy to find	Set up a page on the website called 'Access to Information'. 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	30/09/20
We do not currently publish our responses to FOI requests	Publish a Freedom of Information Disclosure log on the website	Assistant Director for Customer	30/09/20
We do not currently video record 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	31/05/20 Completed

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<i>Member Training and Development</i>			
Ethical awareness needs to be improved	Ethical awareness training for Councillors at least twice a year	Governance Manager and Monitoring Officer	31/07/20 and 31/03/21
Need to get feedback from Members on training and development that we currently offer	Invite all Members in for a one to one session to get their 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	30/09/20 Some were completed prior to lockdown but the rest will be carried out via Zoom
We do not currently have a training policy for Councillors	Produce a training policy for Councillors	Governance Manager and Monitoring Officer	30/09/20
We don't currently have a Members 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	30/10/20
We don't currently have a group set up to focus on training and development	Set up a Member Development Group to focus on training and development	Governance Manager and Monitoring Officer	31/07/20
We don't currently have the Member Development Charter	Apply for the Member Development Charter	Governance Manager and Monitoring Officer	31/03/21
Don't currently record Members feedback	Carry out an annual survey to all Members asking for their views on their working relationships with officers	Governance Manager and Monitoring Officer	31/12/20

Issue Identified	Action to be taken	Lead Responsible Officer	Deadline
<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 and Monitoring Officer	Quarterly from 30/06/20
Ethical awareness needs to be improved	Quarterly ethical update newsletter for Councillors	Governance Manager and Monitoring Officer	Quarterly from 30/06/20
<i>Member Communications</i>			
Member communication could be improved – officer to member and member to member	Set up a Member Working Group to focus on IT and Communications	Governance Manager and Monitoring Officer	31/07/20
Members are not currently getting feedback from reps on outside bodies	Continue to send the weekly newsletter for Members and include sections on local ward matters and updates from outside bodies	Governance Manager and Monitoring Officer	31/07/20 Expand and change the focus of the SWT newsletter
<i>Policies and Procedures</i>			
Policies are in need of review and update	Review and update the: Whistleblowing Policy Anti-Bribery Policy Anti-Fraud Strategy Anti-Money Laundering Policy	Governance Manager and Monitoring Officer	31/01/21

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The Complaints process needs 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 Director for Customer	30/09/20
We do not currently have an up to date Communications Strategy	Need to draft a Communications Strategy	Director of Internal Operations	31/12/20
<i>Contracts and Partnership Working</i>			
We do not currently have an up to date Procurement Strategy	Need to draft a Procurement Strategy	Strategic Procurement Specialist	30/09/20
The Contracts Register is out of date	Ensure that the Contract Register is reviewed and updated	Strategic Procurement Specialist	30/09/20
We do not currently have a register of Partnerships	Ensure that we have a Partnership register	Strategic Procurement Specialist	31/12/20
Regular contract management is needed	Contract management - need to ensure that we have performance measures and SLAs in place to ensure contracts deliver	Strategic Procurement Specialist	30/09/20
The SHAPE Legal contract needs to be reviewed and updated	Review the partnership arrangements with SHAPE Legal	Governance Manager and Monitoring Officer	31/12/20

Issue Identified	Action to be taken	Lead Responsible Officer	Deadline
Officers need to have training in the procurement process	Training for officers on the procurement process	Strategic Procurement Specialist	31/10/20
<i>People Management</i>			
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	31/12/20
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	31/03/21
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 and Safety, FOI and Complaints	HR Business Partner	31/12/20
There needs to be a Corporate Training plan	Produce an overarching training and development plan focusing on mandatory training, CPD training and other training	HR Business Partner	30/09/20
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 that are more job specific.	HR Business Partner	30/09/20
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	30/09/20

Issue Identified	Action to be taken	Lead Responsible Officer	Deadline
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	31/12/20 First survey completed Oct 19
<i>Community Engagement</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	31/03/21
We do not currently publish feedback on consultation on the 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	As soon as we carry out consultation
We do not currently ask the public for their views on the Council	Carry out an annual customer survey	Director of Internal Operations	31/03/21
<i>Project Management</i>			
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	30/09/20

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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	30/09/20 There is a Corporate PMO role within the structure
Finance			
The structures on E5 are out of date	Ensure that the way the finance system is set up aligns with the new Directorates structure	Assistant Director for Finance	31/07/20
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 Director for Finance	Quarterly from 30/09/20
The MTFP needs to be amended as a result of Coronavirus	Ensure that the MTFP is reviewed and updated to take account of the reduced income streams and potential increase in expenditure	Assistant Director for Finance	31/05/20 MTFP being regularly reviewed by SMT and reports to Members in September 20
Internal Audit Reports			
The Payroll 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	As per timescales in the report
The Information Management Project 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	As per timescales in the report

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The Banking Arrangements Audit Report only gives partial assurance	Ensure that recommendations set out in the report are delivered within the timescales set out	Assistant Director for Finance	As per timescales in the report
The Treasury Management Audit Report only gives partial assurance	Ensure that recommendations set out in the report are delivered within the timescales set out	Assistant Director for Finance	As per timescales in the report
The Main Accounting System Audit Report only gives partial assurance	Ensure that recommendations set out in the report are delivered within the timescales set out	Assistant Director for Finance	As per timescales in the report
The Debtors Audit Report only gives partial assurance	Ensure that recommendations set out in the report are delivered within the timescales set out	Assistant Director for Customer	As per timescales in the report
<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 all IT Policies and Procedures	IT Manager	End March 2021