

Committee: General Purposes Committee

Date: 5th November 2013

Agenda item:

Wards:

Subject: Annual Governance Statement 2012/13 – Improvement Plan Update

Lead officer: Caroline Holland, Director of Corporate Services

Lead member: Mark Allison, Cabinet Member for Finance

Contact officer: Margaret Culleton, Head of Internal Audit, 0208 545 3149

Recommendations:

- A. That the General Purposes Committee discuss and comment on that progress achieved to date against the 2012/13 Annual Governance Improvement Plan (set out in Appendix 1).
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1 PURPOSE OF REPORT AND EXECUTIVE SUMMARY

- 1.1. Corporate governance comprises the systems and processes, and cultures and values, by which local government bodies are directed and controlled and through which they account to, engage with and, where appropriate, lead their communities.
- 1.2. The Annual Governance Statement is the formal statement that recognises, records and publishes an authority's governance arrangements. It was published with the Council's financial statements in June relating to 2012/13 to ensure compliance with the Accounts and Audit (Amendment) Regulations 2011. These Regulations require authorities to "conduct a review at least once a year of the effectiveness of its system of internal control" and to prepare a statement on internal control in accordance with "proper practice" defined as the requirement for an Annual Governance Statement, as set out in the CIPFA/SOLACE Framework.
- 1.3. The Annual Governance Statement Improvement Plan is a statement of the actions to be taken by the Council in order to remedy any weaknesses that it has identified in the Council's governance arrangements.
- 1.4. This report sets out progress against each of the items in the 2013/14 Improvement Plan which was included in the Annual Governance Statement for 2012/13. This will allow Members to understand the progress that has been made against the actions

and to ensure that the appropriate action is being taken to remedy weaknesses in the Council's governance processes.

2 DETAILS

- 2.1. Appendix 1 sets out achievements to date against each of the objectives.
- 2.2. Each of the improvement areas have made progress and the majority should be completed by the year end. The AGS working group meets regularly throughout the year, which helps to ensure that progress is made on these areas and to identify other areas where improvements are needed. The AGS for 13/14 will report on those areas that improvement is required.

3 ALTERNATIVE OPTIONS

- 3.1. None for the purposes of this report.

4 CONSULTATION UNDERTAKEN OR PROPOSED

- 4.1. None for the purposes of this report.

5 TIMETABLE

- 5.1. The results of this report will be included in the Annual Governance Statement for 2013/14, which will be completed by 30 June 2014, in accordance with the deadline for the Statement of Accounts.

6 FINANCIAL, RESOURCE AND PROPERTY IMPLICATIONS

- 6.1. There are no specific financial implications.

7 LEGAL AND STATUTORY IMPLICATIONS

- 7.1. There are no specific legal implications.

8 HUMAN RIGHTS, EQUALITIES AND COMMUNITY COHESION IMPLICATIONS

- 8.1. There are no specific human rights, equalities or community cohesion implications.

9 CRIME AND DISORDER IMPLICATIONS

- 9.1. There are no specific crime and disorder implications.

10 RISK MANAGEMENT AND HEALTH AND SAFETY IMPLICATIONS

- 10.1. The risk management process is included in the improvement plan in Appendix 1. There are no health and safety implications.

11 APPENDICES – THE FOLLOWING DOCUMENTS ARE TO BE PUBLISHED WITH THIS REPORT AND FORM PART OF THE REPORT

11.1 Appendix 1 – update on progress on AGS Improvement programme 2013/14

12 BACKGROUND PAPERS

12.1. The Annual Governance Statement 2012/13 was reported to General Purposes Committee on 27 June 2013. These documents do not form part of the report.

Significant governance issues (Improvement Programme 2013/14)

Details	Officer responsible	Update on progress
<p>Business Continuity Plans and Business Impact Assessments To update all Business Continuity Plans and to ensure that Business Impact assessments have been completed</p>	<p>Head of Safety</p>	<p>All Business impact assessments have been reviewed, revised and challenged with Business Partners at departmental management team meetings. From this work critical services have been identified and business continuity plans drawn up for critical services to ensure service delivery is met. Alongside this plans are being aligned to the Disaster Recovery plans being developed by the AD (I&T) which forms the basis of service loss and recovery planning. The strategic business continuity plan and corporate services business continuity plan has been revised and has been submitted to the Director Corporate Services for approval prior to being signed off at CS DMT and on to CMT. Disaster recovery arrangements with LB Wandsworth, first stage completed, which is a manual process. Now planning to move to a 2nd stage, which is a more automated approach, this went to Cabinet for funding approval in October.</p>
<p>Financial regulations and procedures To review and update</p>	<p>Head of Business Planning</p>	<p>These amendments will go as part of the constitution amendments in March to GP committee for approval.</p>
<p>Scheme of Delegations To develop and implement a new template and guidance to simplify, streamline and ensure consistency</p>	<p>Head of Democracy Services</p>	<p>CMT, at its meeting on 1 October, agreed a new approach and template for the departmental schemes of management so that these are shorter, simpler and standardised. All departments to produce and publish revised new-look schemes departments by end November. There will be communication so that staff are aware of requirements.</p>

<p>Declaration of Interests On-Line form New on-line form for staff to complete their annual returns. This will include declaration of staff relationships</p> <p>Establish a Partnership Register for the Council Build on the partnership review that was last carried out in 2009, to compile a partnership register for the council that encompasses the key strategic partnership arrangements the council engages in.</p> <p>Policy Register/metacompliance Guide the way the new policy management software (metacompliance) will be structured to provide a policy register for the council and populate with the dataset of policies that has been established through the policy review.</p> <p>Performance and Risk Management System To implement a new performance management system to improve the monitoring of targets</p>	<p>Head of HR</p> <p>Head of Policy, Strategy & Partnerships</p>	<p>New on-line form has been designed and is currently being tested. Guidance has been issued to Directors and staff guidance has been revised and will be issued when the on-line form is ready.</p> <p>A revised Partnership Register was established in July 2013 building on the last review in 2009. This has now been published on the Council's intranet pages under Plans and Strategies. The Policy, Strategy and Partnerships Team will update the Register again in July 2014</p> <p>Metacompliance is currently in progress. There has been some delay due to the non compatibility with Wyse terminals. This is currently being investigated.</p> <p>Performance Management – <u>Corporate Indicators including Service Plans</u> - Implementation of a cloud based system for the management and governance of performance and risk information known as Covalent is now complete. The new system provides an efficient method for data collection, reporting and on-line management dashboards, allowing instant drill down on data for both performance and risk that will enable decision making. The system will enable consistency of reporting and provide audit trails. The initial implementation phase of the performance module is now complete, and the system is used for the collection of data across the organisation relating to business plan performance</p>
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<p>Management behaviours To roll out the management behaviour system for all managers to ensure a consistent and suitable level of competency</p>	<p>Head of HR</p>	<p>Management behaviours will be rolled out across the organisation for the first 3 tiers of management and this will be linked to appraisals from Autumn 2013. The Council is using 360-degree feedback for these tiers in order to identify strengths and gaps to inform the 2014 appraisal process.</p>
<p>Transparency Agenda To publish the remaining requirements of the DCLG Code of Recommended Practice for Local Authorities on Data Transparency</p>	<p>Head of Information Governance/Head of HR</p>	<p>The organisational charts have been prepared and put onto the council's intranet. There are however, some errors identified which need to be corrected, prior to publication on the internet.</p>
<p>Workforce Development Strategy To complete the strategy in relation to succession planning</p>	<p>Head of HR</p>	<p>The Workforce Strategy Board has been created to develop the document. CMT have approved the PID, project plan documentation and are currently agreeing the priorities for the strategy. It is anticipated that there will be a draft strategy produced by the Board in December for CMT's consideration to include career paths/succession planning</p>