## *AGENDA MANAGEMENT SHEET*

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|---|---|
| ***Name of Committee*** | **Audit and Standards Committee** |
| ***Date of Committee*** | **20 February 2008** |
| ***Report Title*** | **Corporate Governance Audit 2007** |
| ***Summary*** | This report outlines the results of the corporate governance audit undertaken during 2007 and updates members on progress against the 2005/06 action plan. |

| ***For further information please contact:*** | Sarah Duxbury<br>Corporate Legal Services Manager<br>Tel:  01926 412090<br>sarahduxbury@warwickshire.gov.uk | Garry Rollason<br>Audit and Risk Manager<br>Tel:  01926 412679<br>garryrollason@warwickshire.gov.uk |
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|---|---|
| ***Would the recommended decision be contrary to the Budget and Policy Framework?*** | No. |
| ***Background papers*** | Staff and member survey results |

***CONSULTATION ALREADY UNDERTAKEN:-***       Details to be specified

| | | |
|---|---|---|
| Other Committees | ☐ | ................................................ |
| Local Member(s) | ☒ | County wide |
| Other Elected Members | ☐ | ................................................ |
| Cabinet  Member | ☒ | Cllr Peter Fowler |
| Chief Executive | ☐ | ................................................ |
| Legal | ☐ | David Carter – reporting officer |
| Finance | ☒ | Dave Clarke – comments incorporated |
| Other Chief Officers | ☒ | Results for each directorate discussed with Strategic Director. Also considered by SDLT on 23rd January 2008 |
| District Councils | ☐ | ................................................ |
| Health Authority | ☐ | ................................................ |

| | | |
|---|---|---|
| Police | ☐ | .................................................. |
| Other Bodies/Individuals | ☐ | Considered by corporate governance lead officers on 25th October and 11th December 2007 |

***FINAL DECISION      NO***

***SUGGESTED NEXT STEPS:***                    Details to be specified

| | | |
|---|---|---|
| Further consideration by this Committee | ☐ | .................................................. |
| To Council | ☐ | .................................................. |
| To Cabinet | ☒ | For approval 13 March 2008 |
| To an O & S Committee | ☐ | .................................................. |
| To an Area Committee | ☐ | .................................................. |
| Further Consultation | ☐ | .................................................. |

# Audit and Standards Committee – 20 February 2008

# Corporate Governance Audit 2007

# Report of the Strategic Director of Performance and Development

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**Recommendation**

That the Audit and Standards Committee;

   (i)  Considers the audit findings set out in this report and comments on the draft action plan, attached at Appendix 3, which will be considered by the Cabinet at its meeting on 13 March 2008

   (ii)  Commissions the base-line survey to help assess the impact of the Council's new locality arrangements as referred to at paragraph 4.4

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## 1. Background

1.1    Corporate governance is the system by which local authorities take decisions, lead and control their functions and relate to their communities. It sets the framework for the way we work to achieve our objectives and incorporates the way we act, the standards we set and the systems and processes we have in place. Good corporate governance is therefore essential for us to improve the quality of our services and sustain that improvement. It also has a significant impact on the public's level of trust in the services that we deliver and whether they believe what we say about our performance. CIPFA and SOLACE released a guidance note in summer 2007 defining Corporate Governance as being about;

> **"how local government bodies ensure that they are doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner."**

1.2    This is the fourth Corporate Governance audit carried out by the Council. This report identifies the key issues highlighted by the review and suggests areas where the Council could improve its performance. The conclusions drawn in this report are based on the results of a survey sent to all staff users of Lotus Notes, the results of which are included in *Appendix 1(a)* and *Appendix 1(b)* to this report.

1.3    The report also covers the results of a corporate governance questionnaire which elected members were asked to complete at the full Council meeting on 9th September 2007 (see *Appendix 2*).

1.4    It should be noted that the survey was not available to staff without access to Lotus Notes (e.g. home helps, catering staff and schools based staff) and therefore may not reflect their particular areas of concern.

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## 2      General comments

2.1.    The general picture for the authority remains strong, with the vast majority of staff acknowledging that their directorates encourage high standards of conduct. There has, however, been a slight drop in the authority's position since the previous audit. This is particularly evident in directorates that were most significantly affected by the restructuring in 2006, which perhaps unsurprisingly were the lowest scoring directorates. The principal common themes and issues emerging from the audit process are set out below.  The detailed results of the staff survey are set out in *Appendix 1(a) (summary of all results) and Appendix 1(b) (broken down into Directorate results)* and the results of the Member questionnaire are contained in *Appendix 2*.

2.2     There are a number of positives to take from the results of the survey. Staff from across the authority overwhelmingly believe that their Directorate encourages high standards of conduct (91% on average). Similarly a high percentage of respondents to the member questionnaire believe that the Council encourages high standards (89%). Encouraging high standards of conduct is fundamental and implicit in every aspect of corporate governance. The authority's strong performance here is, therefore, a solid foundation on which to develop those areas for improvement which were identified by the corporate governance audit.


## 3.      Staff survey

3.1     Response rates were higher than in any previous audits, and over recent years have been steadily increasing from 518 in 2001/02 to 1388 in 2007/08. In addition, the results of the survey indicate strong performance in a number of specific areas set out below. However, in general terms, knowledge and understanding of corporate governance has slipped slightly when compared to the last survey, pointing towards a general lack of consistency in levels of knowledge and understanding across the directorates. It is clear therefore that work needs to be done across the board to raise awareness and understanding of all aspects of corporate governance and this is reflected in the draft action plan at *Appendix 3* of this report.

3.2     There are a number of particular strengths that can be identified from the results of the staff survey. These are as follows;

> ➢ Staff from all directorates responded positively when asked if they knew who to talk to regarding issues of health and safety, sexual harassment, equal opportunities, racial harassment and disability discrimination. Performance in this area is uniformly strong across all Directorates.

> ➢ High percentages of respondents had, or had access to, the Council's Health and Safety Policy (87%) and the Managing People Guide (75%).  Going forward, the accessibility of these two documents needs to be repeated across all of the key documents that comprise corporate governance.

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- Staff from most Directorates had good awareness of performance management arrangements both corporately and at a Directorate level.

- Most staff had access to the Corporate Business Plan and believed that their own Directorate's plan was driven from this.

- 75% of those staff surveyed had access to the corporate complaints procedure and a similar number knew what to do in the event of a complaint.

3.3   A key concern that cuts across many areas of the survey is that staff do not know how or from where they can access information, despite the fact that in the majority of cases, relevant documents are available to all users of Lotus Notes. However there are a number of specific areas for improvement which can be identified from the results of the staff survey, as follows;

- Most staff do not know who their Directorate's nominated officers are (eg complaints officer, data protection officer, freedom of information officer).

- Awareness of and general confidence in using the confidential reporting arrangements are very low.  This is true of all Directorates and has been the case for each of the previous surveys carried out.  To maintain level 4 in the Use of Resources element of the CPA, the authority needs to strengthen staff awareness of the contents of the Confidential Reporting Code and ensure that all staff are confident in using it.

- Awareness of procedures in the event of fraud is at a low level and has also declined since the last survey.  48% of staff do not know what to do in the event of fraud and 51% do not know who contact. This result is disappointing given that a number of awareness raising activities have been undertaken since the last audit.  To achieve CPA level 4, we will need to take steps to ensure that staff clearly acknowledge and accept their responsibility to prevent and detect fraud and corruption.

- Awareness of employer and employee responsibilities will also need to be tackled as part of the action plan.  Although 75% of those surveyed knew that they had access to a copy of this document, only 57% knew who to report a suspected breach to and only 55% of people knew what to do in such an event.  Response rates were also low on training in relation to standards of conduct and awareness / understanding of the corporate governance framework.

- Performance across all Directorates remains low in the area of decision making, particularly around access to and understanding of the Constitution.  Only 40% of managers know what the Constitution contains or how the Council defines a key decision.

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> Knowledge of Contract and Financial Standing Orders was also very limited. Only around half of those staff questioned knew how to access the material and less than one third found it easy to understand. Of equal concern is that only 48% of staff know the limits of their authority under Contract Standing Orders. It should be pointed out that this section of the survey was only directed at managers and the results discussed are specific to them.   A comprehensive review of Contract Standing Orders is under way and also due to be reported to the Committee on 20th February.  This should help to address the problems identified by this survey.

3.4     Part of the audit also included a review of each Directorate's register of gifts and hospitality.  The format of registers varies between Directorates as does the interpretation of what gifts / hospitality can be accepted. The approach to managing the registers is therefore the subject of a current review with recommendations due to be considered by the Strategic Directors Leadership Team in spring 2008.

## 4.     Members' Survey

4.1     Questionnaires were received from 38 of our 62 elected members which represents a response rate of approximately 61%. This is a significant increase in the response rate to the 2005 survey (17 members).

4.2     Generally very positive responses were received in relation to the following;

> Awareness of the member code of conduct, standing orders, member and officer protocols and the forward plan.  However members were less certain about some of the more detailed areas such as contract standing orders, financial standing orders, and our anti-fraud and anti-corruption policy;

> The amount of information members receive (82% of members mostly feel that the amount of information they receive is about right) and the issues that are reported to member bodies (87% feel the information reported is about right). However members were less sure that the information / issues reported are mostly relevant (60%).

> 85% of members said that they were generally satisfied with the impact of overview and scrutiny.

> A high percentage of members were clear about the Council's objectives, their obligations as regards interests, the respective roles of officers and members and the role of the Audit and Standards Committee.

> There were positive responses in relation to training on the new Member Code of Conduct, training and support members had received and who to contact if they have any ethical issues.

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4.3    The main areas for improvement relate to the following issues;

> Members were not clear what policies are included in the policy framework (63%) and didn't always feel that they could have an input to the development of the framework;

> Members highlighted accessibility to WCC policies and guidelines by the public as an issue with suggestions around greater use of the website as a single access point and shorter, jargon-free leaflets;

> Members highlighted public participation as an area where current arrangements could be improved. Members suggested greater publicity around meetings, specific invites and enhanced consultation;

> Members also suggested that the Council's arrangements for linking with our communities could be improved with comments around the need for greater support/ resources for members, regular support at localities panels and involvement in complaints handling.

> 35% of members were unaware that they have a job description (generic job descriptions are contained within the constitution), 45% said that they didn't have a learning plan and 32% said that they hadn't received any training in ethical governance (although 82% said they had received training on the new Member Code of Conduct).

4.4    The results of the corporate governance audit were considered by SDLT on 23rd January.  Strategic Directors were generally supportive of the approach being proposed. In relation to the responses to the Member survey, and in particular the comments made by Members around public engagement and linking with our communities, Strategic Directors felt that it would be beneficial for the Council to be able to measure the impact of the new locality arrangements which are being rolled out.  Given that the new joint arrangements with Stratford District Council are likely to be established in the near future, it was suggested that a base-line survey of members, including some key performance indicators, be carried out around March time so that we have some comparative information against which we can then measure the success of the new arrangements.  This proposal is now included within the draft Action Plan at **Appendix 3**.


## 5.    2005/06 Corporate Governance Action Plan - Progress Update

5.1    As a result of the last corporate governance audit, undertaken in 2005, the Council developed a 2 year corporate governance action plan which was approved by Cabinet on 23rd February 2006.  Progress against the action plan is monitored through the Law and Governance Division and a progress report was submitted to the Resources, Performance and Development Overview and Scrutiny Committee on 9th January 2007.

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5.2 A copy of the updated action plan showing progress against targets is set out in ***Appendix 4***. Of the 21 targets in the action plan, 90% have either been met or are on track to be met by 31 March 2007. This breaks down as 14 which are green (targets have been met), 5 which are blue (on target to be met by 31 March 2008 – ie the expiry of the action plan) and 2 which are red (not likely to be met by the required deadline).

5.3 In relation to the red target around clarifying and publicising our standards of corporate governance, given the introduction of the new CIPFA/ SOLACE guidance this has now been taken forward into this year's action plan, in particular with regard to the adoption of a new local code of corporate governance (which the Committee will also be considering at this meeting) and its subsequent roll out across the Council.

5.4 In relation to the target focused on engaging with the public and accessibility to meetings, scrutiny exercises have attracted greater involvement of the public and Area Committees continue to attract members of the public for public question time. However, aside from these and the usual publicity for Council meetings, attention will in future be focused more towards the Council going out to the public and engaging with them in their local communities rather than inviting them to observe Council meetings.

## 6. The Way Forward – Corporate Actions

6.1 Corporate Governance needs to be re-launched across the Council to restore levels of awareness, understanding and compliance. Staff need to be made aware of how corporate governance is relevant to them and be encouraged to view it as a tool to aid the successful delivery of the Council's objectives and as an information resource to turn to if things go wrong.

6.2 A corporate governance action plan has been drafted in response to the issues raised by the audit and is attached at ***Appendix 3***. This has been discussed through the corporate governance lead officers group and has been considered by SDLT. The actions are designed to;
   (i) Raise staff ***awareness*** of the existence of guidance and procedures and the general scope of their content;
   (ii) Promote the ***accessibility*** of information to ensure that staff can obtain guidance when they need it. This applies both to the physical accessibility of information and also to the user friendliness of that information;
   (iii) Reinforce the work we already undertake to promote and measure ***compliance*** with the requirements of corporate governance.

6.3 The action plan is split into 6 general categories, each containing a number of specific actions. These are;
   ➢ Strategy
   ➢ Accessibility of information
   ➢ Awareness Raising
   ➢ Training and Development
   ➢ Policies and Procedures
   ➢ Members' Support and Training

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6.4     The action plan includes the extension of our existing tagline 'Do The Right Thing', to support the use of the term 'corporate governance' and make it seem more relevant to staff throughout the authority.    It also suggests a "drip-feed" approach which would use a variety of different methods to enable corporate governance to become integral to the authority's way of doing things at every level.    A steady increase in awareness and knowledge of corporate governance should enable it to become a framework for the day to day activities of all staff rather than being perceived as an add on to existing responsibilities.

## 7.  The Way Forward - Directorate Actions

7.1     The corporate actions suggested above need to be supported by work at a Directorate level to ensure that all staff receive appropriate training and information on matters relating to corporate governance.    In particular, Directorates need to ensure that they continue to identify the training needs of their staff and circulate key contacts on a regular basis.

7.2     Meetings have been held with all Strategic Directors to discuss their own specific Directorate results and Directorates have been encouraged to consider whether any Directorate specific actions are required in response to the audit.    The corporate governance lead officers are leading on this in relation to their own Directorates.

7.3     Corporate governance should be integral to the way in which each Directorate and the authority as a whole works. Directorates have therefore been encouraged to ensure that the issues arising from this audit are considered during their business planning process and that business plans include appropriate improvement activities to support corporate actions. Leads for New Ways of Working workstreams, particularly management development, also need to consider incorporating governance issues into their work plans.

DAVID CARTER
Strategic Director of Performance
and Development

Shire Hall
Warwick

14 December 2007

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# Corporate Governance Questionnaire
# Summary of Staff Replies for All Directorates

**The key is as for the Corporate Performance Reports**

**Number of Questionnaires Returned for All Directorates by All staff : 1388**

| | | % Yes Replies 2005/06 | % Yes Replies 2007/08 |
|---|---|---|---|
| **Q1** | **Do you have a copy, or have access to a copy, of the Council's:** | | |
| 1.1 | Health and Safety Policy | 88% | 87% |
| 1.2 | Managing People Guide | 76% | 75% |
| **Q2** | **Do you know who to talk to if you have a problem regarding:** | | |
| 2.1 | Health and Safety at Work | 95% | 93% |
| 2.2 | Sexual Harassment | 83% | 80% |
| 2.3 | Equal Opportunities | 86% | 83% |
| 2.4 | Racial Harassment | 85% | 80% |
| 2.5 | Disability Discrimination | 82% | 79% |
| **Q3** | **Anti-Fraud and Corruption Strategy** | | |
| 3.1 | Do you know what you should do in the event of a fraud? | 52% | 48% |
| 3.2 | Do you know who to report it to? | 55% | 51% |
| **Q4** | **Employer and Employee Responsibilities** | | |
| 4.1 | Do you have a copy? | 67% | 74% |
| 4.2 | Have you read it? | 63% | 64% |
| 4.3 | Do you know what to do in the event of a suspected breach of the Code of Conduct? | 57% | 55% |
| 4.4 | Do you know who to report a breach to? | 58% | 57% |
| 4.5 | Do you know of any protocols governing the relationship between employees and elected members? | 42% | 42% |
| **Q5** | **Corporate Complaints Procedure** | | |
| 5.1 | Do you have access to a copy? | 78% | 74% |
| 5.2 | Do you know what to do if you received a complaint? | 79% | 76% |
| 5.3 | Do you know who your Directorate's complaint officer is? | 61% | 39% |
| 5.4 | Do you feel you need training in handling complaints? | 31% | 31% |
| **Q6** | **Confidential Reporting Code (Whistle-blowing)** | | |
| 6.1 | Do you know what this covers? | 45% | 45% |
| 6.2 | Do you have a copy of know where to find one? | 44% | 44% |
| 6.3 | Would you be confident about using the scheme? | 31% | 32% |
| **Q7** | **Risk Management** | | |
| 7.1 | Do you know what the corporate approach to risk management is? | 57% | 61% |
| 7.2 | Are the Corporate Strategic Risks included within your Directorate service/business plan? | 59% | 57% |
| 7.3 | Does your Directorate have agreed arrangements for addressing risk management? | 73% | 67% |
| 7.4 | Do you know what your Directorate arrangements are? | 55% | 41% |
| 7.5 | Does your Directorate have a risk register? | 52% | 51% |
| 7.6 | If yes, is your Directorate risk register reviewed at least once a year? | 76% | 77% |
| 7.7 | Does your Directorate have a Business Continuity Plan? | 41% | 50% |
| 7.8 | If yes, do you know what it covers? | 54% | 45% |

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| | | % Yes Replies 2005/06 | % Yes Replies 2007/08 |
|---|---|---|---|
| *Q8* | **Financial Standing Orders** | | |
| 8.1 | Do you have access to a copy? | 60% | 53% |
| 8.2 | Do you find them easy to understand? | 37% | 30% |
| 8.3 | Have you received any training in Cost Centre Management? | 48% | 42% |
| 8.4 | Do you feel you need training in Financial Standing Orders? | 25% | 25% |
| **Q9** | **Procurement** | | |
| 9.1 | Do you have access to a copy of the Procurement Code of Practice? | 68% | 62% |
| 9.2 | Do you have access to a copy of standing orders? | 58% | 46% |
| 9.3 | Do you find contract standing orders easy to understand? | 35% | 26% |
| 9.4 | Are you an authorised officer under Contract Standing Orders? | 31% | 21% |
| 9.5 | Do you clearly understand the limits of your authority? | 55% | 48% |
| | Have you received any training in effective procurement? | | 22% |
| | Do you feel you need training? | | 24% |
| **Q10** | **Policies and Procedures** | | |
| 10.1 | Do you have easy access to those policies and procedures that you need to do your job? | 86% | 89% |
| 10.2 | Do you feel that you can have an input into the development of these policies and procedures? | 59% | 56% |
| 10.3 | Do you feel that you are keep up to date with changes in these policies and procedures? | 70% | 71% |
| **Q11** | **Staff Register of Interests** | | |
| 11.1 | Does your Directorate have a staff register of interest? | 87% | 85% |
| 11.2 | Do you know what types of interest should be declared? | 85% | 85% |
| 11.3 | Have you ever declared an interest? | 17% | 14% |
| **Q12** | **Gifts and Hospitality** | | |
| 12.1 | Does your Directorate have a procedure for declaring gifts and hospitality? | 82% | 83% |
| 12.2 | Does your Directorate have a gifts and hospitality register? | 66% | 70% |
| 12.3 | Do you think only gifts and hospitality that you have accepted should be recorded? | 35% | 36% |
| **Q13** | **Job Descriptions** | | |
| 13.1 | Do you have a job description? | 91% | 93% |
| 13.2 | Do you clearly understand your role and responsibilities? | 92% | 91% |
| **Q14** | **Political Restrictions** | | |
| 14.1 | Is your post politically restricted? | 20% | 15% |
| 14.2 | If yes, do you know what this means? | 88% | 90% |

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| | | % Yes Replies 2005/06 | % Yes Replies 2007/08 |
|---|---|---|---|
| | **Access to Information** | | |
| *Q15* 15.1 | Do you understand your responsibilities to keep accurate and accessible information | | 95% |
| 15.2 | Do you have access to a copy of the Freedom of Information Code of Practice? | 82% | 71% |
| 15.3 | Do you have access to a copy of the Freedom of Information Staff Guide? | 79% | 66% |
| 15.4 | Do you know what it covers? | | 51% |
| 15.5 | Do you know who is your Directorate's nominated Freedom of Information Officer? | 52% | 33% |
| 15.6 | Do you know who is your Directorate's nominated Data Protection Officer? | 40% | 25% |
| 15.7 | Does your Directorate have procedures governing the disclosure of information? | 73% | 67% |
| 15.8 | Do you write reports for Member Bodies? | 17% | 13% |
| 15.9 | If yes, do you know what background papers are? | 88% | 79% |
| 15.1 | Do you know what arrangements your Directorate has for handling background papers? | 58% | 51% |
| **Q16** | **Decision Making Process** | | |
| 16.1 | Do you have a copy, or have access to, the Constitution? | 35% | 33% |
| 16.2 | Do you know what it covers? | 23% | 20% |
| 16.3 | Do you know what the definition of a key decision is? | 27% | 24% |
| 16.4 | Does your Directorate have any special arrangements for identifying key decisions? | 26% | 18% |
| 16.5 | Do you know what the forward plan covers? | 30% | 23% |
| **Q17** | **Performance Management** | | |
| 17.1 | Do you have a copy of, access to, the Corporate Business Plan? | 76% | 72% |
| 17.2 | Is your Directorate Business/Service Plan driven by the Corporate Business Plan? | 79% | 70% |
| 17.3 | Are your Directorate performance monitoring arrangements consistent with the Council's Performance Management Framework? | 70% | 61% |
| **Q18** | **Corporate Governance** | | |
| 18.1 | Do you have a copy of, or access to, the Corporate Governance Framework? | 49% | 47% |
| 18.2 | Do you have a copy of, or access to, the Corporate Governance Code of Practice? | 47% | 47% |
| 18.3 | Have you attended any training/briefing session on corporate governance? | 30% | 24% |
| **Q19** | **General** | | |
| 19.1 | Do you feel that your Directorate encourages high standards of conduct? | 91% | 91% |
| **Q20** | **Training** | | |
| 20.1 | Have you received any training on the standards of conduct expected of you as a Warwickshire County Council employee? | 35% | 38% |
| 20.2 | Were standards of conduct drawn to your attention in your induction process? | 46% | 50% |
| 20.3 | Are there any specific areas covered in this questionnaire which you would like training on? | 11% | 9% |

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# Corporate Governance Questionnaire
## Summary of Replies Broken Down By Directorate

**Appendix 1(b)**

| Number of Questionnaires Returned by all Directorates: | 171 | 459 | 394 | 140 | 168 | 56 | 1388 |
|---|---|---|---|---|---|---|---|
| | RES 2007/08 % Yes Replies | AHCS 2007/08 % Yes Replies | CYPF 2007/08 % Yes Replies | P&D 2007/08 % Yes Replies | E&E 2007/08 % Yes Replies | CP 2007/08 % Yes Replies | ALL 2007/08 % Yes Replies |
| **Q1 Do you have a copy, or have access to a copy, of the Council's:** | | | | | | | |
| 1.1 Health and Safety Policy | 87% | 92% | 83% | 89% | 88% | 84% | 87% |
| 1.2 Managing People Guide | 75% | 76% | 73% | 86% | 73% | 70% | 75% |
| **Q2 Do you know who to talk to if you have a problem regarding:** | | | | | | | |
| 2.1 Health and Safety at Work | 89% | 92% | 91% | 96% | 99% | 100% | 93% |
| 2.2 Sexual Harassment | 81% | 83% | 77% | 76% | 81% | 91% | 80% |
| 2.3 Equal Opportunities | 85% | 85% | 82% | 82% | 79% | 96% | 83% |
| 2.4 Racial Harassment | 80% | 83% | 77% | 80% | 79% | 95% | 80% |
| 2.5 Disability Discrimination | 80% | 82% | 77% | 79% | 76% | 89% | 79% |
| **Q3 Anti-Fraud and Corruption Strategy** | | | | | | | |
| 3.1 Do you know what you should do in the event of a fraud? | 52% | 48% | 44% | 64% | 47% | 54% | 48% |
| 3.2 Do you know who to report it to? | 52% | 51% | 49% | 60% | 51% | 55% | 51% |

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| | | RES 2007/08 % Yes Replies | AHCS 2007/08 % Yes Replies | CYPF 2007/08 % Yes Replies | P&D 2007/08 % Yes Replies | E&E 2007/08 % Yes Replies | CP 2007/08 % Yes Replies | ALL 2007/08 % Yes Replies |
|---|---|---|---|---|---|---|---|---|
| **Q4** | **Employer and Employee Responsibilities** | | | | | | | |
| 4.1 | Do you have a copy? | 77% | 77% | 72% | 76% | 75% | 66% | 74% |
| 4.2 | Have you read it? | 68% | 64% | 62% | 69% | 63% | 57% | 64% |
| 4.3 | Do you know what to do in the event of a suspected breach of the Code of Conduct? | 59% | 58% | 53% | 63% | 50% | 54% | 55% |
| 4.4 | Do you know who to report a breach to? | 59% | 63% | 54% | 57% | 55% | 54% | 57% |
| 4.5 | Do you know of any protocols governing the relationship between employees and elected members? | 45% | 42% | 41% | 51% | 44% | 39% | 42% |
| **Q5** | **Corporate Complaints Procedure** | | | | | | | |
| 5.1 | Do you have access to a copy? | 66% | 80% | 71% | 76% | 80% | 66% | 74% |
| 5.2 | Do you know what to do if you received a complaint? | 65% | 82% | 72% | 81% | 82% | 75% | 76% |
| 5.3 | Do you know who your Directorate's complaint officer is? | 37% | 34% | 34% | 54% | 52% | 43% | 39% |
| 5.4 | Do you feel you need training in handling complaints? | 25% | 39% | 29% | 28% | 22% | 48% | 31% |
| **Q6** | **Confidential Reporting Code (Whistle-blowing)** | | | | | | | |
| 6.1 | Do you know what this covers? | 50% | 47% | 40% | 61% | 33% | 45% | 45% |
| 6.2 | Do you have a copy of know where to find one? | 43% | 46% | 38% | 63% | 35% | 48% | 44% |
| 6.3 | Would you be confident about using the scheme? | 37% | 30% | 29% | 51% | 26% | 34% | 32% |

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| | | RES 2007/08 % Yes Replies | AHCS 2007/08 % Yes Replies | CYPF 2007/08 % Yes Replies | P&D 2007/08 % Yes Replies | E&E 2007/08 % Yes Replies | CP 2007/08 % Yes Replies | ALL 2007/08 % Yes Replies |
|---|---|---|---|---|---|---|---|---|
| **Q7** | **Risk Management** | | | | | | | |
| 7.1 | Do you know what the corporate approach to risk management is? | 71% | 47% | 64% | 82% | 73% | 68% | 61% |
| 7.2 | Are the Corporate Strategic Risks included within your Directorate service/business plan? | 86% | 43% | 50% | 82% | 73% | 77% | 57% |
| 7.3 | Does your Directorate have agreed arrangements for addressing risk management? | 82% | 55% | 63% | 89% | 80% | 86% | 67% |
| 7.4 | Do you know what your Directorate arrangements are? | 59% | 30% | 32% | 64% | 60% | 73% | 41% |
| 7.5 | Does your Directorate have a risk register? | 77% | 36% | 42% | 76% | 76% | 68% | 51% |
| 7.6 | If yes, is your Directorate risk register reviewed at least once a year? | 85% | 72% | 70% | 88% | 78% | 100% | 77% |
| 7.7 | Does your Directorate have a Business Continuity Plan? | 77% | 39% | 43% | 62% | 58% | 86% | 50% |
| 7.8 | If yes, do you know what it covers? | 77% | 30% | 36% | 54% | 44% | 58% | 45% |
| **Q8** | **Financial Standing Orders** | | | | | | | |
| 8.1 | Do you have access to a copy? | 71% | 34% | 47% | 80% | 80% | 65% | 53% |
| 8.2 | Do you find them easy to understand? | 43% | 19% | 24% | 51% | 46% | 32% | 30% |
| 8.3 | Have you received any training in Cost Centre Management? | 32% | 37% | 46% | 64% | 36% | 64% | 42% |
| 8.4 | Do you feel you need training in Financial Standing Orders? | 16% | 33% | 18% | 22% | 31% | 18% | 25% |
| **Q9** | **Procurement** | | | | | | | |
| 9.1 | Do you have access to a copy of the Procurement Code of Practice? | 80% | 43% | 65% | 82% | 80% | 73% | 62% |
| 9.2 | Do you have access to a copy of standing orders? | 68% | 29% | 40% | 76% | 70% | 64% | 46% |
| 9.3 | Do you find contract standing orders easy to understand? | 41% | 15% | 24% | 51% | 34% | 32% | 26% |
| 9.4 | Are you an authorised officer under Contract Standing Orders? | 29% | 9% | 19% | 36% | 41% | 36% | 21% |
| 9.5 | Do you clearly understand the limits of your authority? | 52% | 35% | 50% | 69% | 63% | 55% | 48% |
| 9.6 | Have you received any training in effective procurement? | 36% | 7% | 18% | 64% | 22% | 45% | 22% |
| 9.7 | Do you feel you need training? | 16% | 28% | 22% | 20% | 27% | 27% | 24% |

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| | | RES 2007/08 % Yes Replies | AHCS 2007/08 % Yes Replies | CYPF 2007/08 % Yes Replies | P&D 2007/08 % Yes Replies | E&E 2007/08 % Yes Replies | CP 2007/08 % Yes Replies | ALL 2007/08 % Yes Replies |
|---|---|---|---|---|---|---|---|---|
| **Q10** | **Policies and Procedures** | | | | | | | |
| 10.1 | Do you have easy access to those policies and procedures that you need to do your job? | 84% | 91% | 90% | 91% | 86% | 80% | 89% |
| 10.2 | Do you feel that you can have an input into the development of these policies and procedures? | 63% | 51% | 60% | 53% | 60% | 50% | 56% |
| 10.3 | Do you feel that you are keep up to date with changes in these policies and procedures? | 67% | 72% | 73% | 68% | 72% | 75% | 71% |
| **Q11** | **Staff Register of Interests** | | | | | | | |
| 11.1 | Does your Directorate have a staff register of interest? | 87% | 86% | 83% | 90% | 89% | 64% | 85% |
| 11.2 | Do you know what types of interest should be declared? | 89% | 86% | 83% | 91% | 87% | 63% | 85% |
| 11.3 | Have you ever declared an interest? | 19% | 11% | 14% | 16% | 16% | 18% | 14% |
| **Q12** | **Gifts and Hospitality** | | | | | | | |
| 12.1 | Does your Directorate have a procedure for declaring gifts and hospitality? | 87% | 88% | 77% | 89% | 84% | 68% | 83% |
| 12.2 | Does your Directorate have a gifts and hospitality register? | 75% | 73% | 60% | 81% | 77% | 55% | 70% |
| 12.3 | Do you think only gifts and hospitality that you have accepted should be recorded? | 38% | 38% | 32% | 32% | 41% | 32% | 36% |
| **Q13** | **Job Descriptions** | | | | | | | |
| 13.1 | Do you have a job description? | 91% | 96% | 93% | 98% | 86% | 84% | 93% |
| 13.2 | Do you clearly understand your role and responsibilities? | 90% | 92% | 92% | 91% | 93% | 82% | 91% |
| **Q14** | **Political Restrictions** | | | | | | | |
| 14.1 | Is your post politically restricted? | 17% | 7% | 19% | 31% | 31% | 20% | 15% |
| 14.2 | If yes, do you know what this means? | 93% | 81% | 90% | 95% | 100% | 73% | 90% |

| | | RES 2007/08 % Yes Replies | AHCS 2007/08 % Yes Replies | CYPF 2007/08 % Yes Replies | P&D 2007/08 % Yes Replies | E&E 2007/08 % Yes Replies | CP 2007/08 % Yes Replies | ALL 2007/08 % Yes Replies |
|---|---|---|---|---|---|---|---|---|
| **Q15** | **Access to Information** | | | | | | | |
| 15.1 | Do you understand your responsibilities to keep accurate and accessible information? | 90% | 98% | 95% | 94% | 96% | 86% | 95% |
| 15.2 | Do you have access to the Council's Policy Statement on Information? | 61% | 74% | 64% | 80% | 89% | 60% | 71% |
| 15.3 | Do you have access to a copy of the Freedom of Information Code of Practice? | 54% | 68% | 58% | 73% | 86% | 55% | 66% |
| 15.4 | Do you have access to a copy of the Freedom of Information Staff Guide? | 44% | 54% | 45% | 55% | 66% | 52% | 51% |
| 15.5 | Do you know who is your Directorate's nominated Freedom of Information Officer? | 32% | 23% | 23% | 53% | 70% | 38% | 33% |
| 15.6 | Do you know who is your Directorate's nominated Data Protection Officer? | 26% | 21% | 17% | 34% | 50% | 27% | 25% |
| 15.7 | Does your Directorate have procedures governing the disclosure of information? | 55% | 73% | 66% | 71% | 73% | 54% | 67% |
| 15.8 | Do you write reports for Member Bodies? | 11% | 9% | 9% | 24% | 26% | 14% | 13% |
| 15.9 | If yes, do you know what background papers are? | 83% | 56% | 74% | 92% | 89% | 88% | 79% |
| 15.10 | Do you know what arrangements your Directorate has for handling background papers? | 56% | 39% | 31% | 71% | 61% | 37% | 51% |
| **Q16** | **Decision Making Process** | | | | | | | |
| 16.1 | Do you have a copy, or have access to, the Constitution? | 34% | 28% | 27% | 58% | 41% | 34% | 33% |
| 16.2 | Do you know what it covers? | 26% | 14% | 13% | 46% | 23% | 27% | 20% |
| 16.3 | Do you know what the definition of a key decision is? | 28% | 17% | 18% | 49% | 33% | 25% | 24% |
| 16.4 | Does your Directorate have any special arrangements for identifying key decisions? | 21% | 11% | 12% | 45% | 26% | 20% | 18% |
| 16.5 | Do you know what the forward plan covers? | 30% | 13% | 14% | 52% | 39% | 25% | 23% |

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| | | RES 2007/08 % Yes Replies | AHCS 2007/08 % Yes Replies | CYPF 2007/08 % Yes Replies | P&D 2007/08 % Yes Replies | E&E 2007/08 % Yes Replies | CP 2007/08 % Yes Replies | ALL 2007/08 % Yes Replies |
|---|---|---|---|---|---|---|---|---|
| Q17 | **Performance Management** | | | | | | | |
| 17.1 | Do you have a copy of, access to, the Corporate Business Plan? | 93% | 57% | 71% | 91% | 83% | 77% | 72% |
| 17.2 | Is your Directorate Business/Service Plan driven by the Corporate Business Plan? | 91% | 58% | 69% | 93% | 70% | 77% | 70% |
| 17.3 | Are your Directorate performance monitoring arrangements consistent with the Council's Performance Management Framework? | 80% | 48% | 60% | 84% | 71% | 68% | 61% |
| Q18 | **Corporate Governance** | | | | | | | |
| 18.1 | Do you have a copy of, or access to, the Corporate Governance Framework? | 50% | 37% | 46% | 71% | 53% | 55% | 47% |
| 18.2 | Do you have a copy of, or access to, the Corporate Governance Code of Practice? | 50% | 39% | 43% | 69% | 54% | 50% | 47% |
| 18.3 | Have you attended any training/briefing session on corporate governance? | 36% | 15% | 13% | 58% | 37% | 32% | 24% |
| Q19 | **General** | | | | | | | |
| 19.1 | Do you feel that your Directorate encourages high standards of conduct? | 94% | 91% | 90% | 93% | 90% | 82% | 91% |

**MEMBER'S QUESTIONNAIRES – LAST THREE AUDITS (% YES REPLIES)**

| 1 | Access to Information –General | '03 | '05 | '07 |
|---|---|---|---|---|
| 1 | Have you received, or do you know where to find a copy of the following documents: | | | |
| 1.1 | • Members Code of Conduct | 100% | 100% | 97% |
| | • Do you know what its purpose is? | 94% | 100% | 100% |
| 1.2 | • Standing Orders | 94% | 100% | 97% |
| | • Do you know what their purpose is? | 100% | 94% | 100% |
| 1.3 | • Contract Standing Orders | 59% | 70% | 79% |
| | • Do you know what their purpose is? | 88% | 82% | 92% |
| 1.4 | • Financial Standing Orders | 81% | 82% | 79% |
| | • Do you know what their purpose is? | 82% | 88% | 89% |
| 1.5 | • Anti-Fraud and Anti-Corruption Policy | 41% | 70% | 63% |
| | • Do you know what its purpose is? | 65% | 94% | 84% |
| 1.6 | • Corporate Complaints Procedure | 65% | 88% | 79% |
| | • Do you know what its purpose is? | 94% | 100% | 92% |
| 1.7 | • Protocols governing relationships between members and officers | 69% | 76% | 84% |
| | • Do you know what their purpose is? | 88% | 94% | 97% |
| 1.8 | • The Forward Plan | 94% | 94% | 95% |
| | • Do you know what this covers? | 94% | 94% | 92% |
| 1.9 | *(Members of the Regulatory Committee only – in 2005, only 5 members responded to this question and in 2007, only 9 of the 12 members responded. No data for 2003.)* | | | |
| | • Planning Code of Conduct | 67% | 100% | 100% |
| | • Do you know what its purpose is? | 100% | 100% | 97% |

| 2 | Decision-Making | '03 | '05 | '07 |
|---|---|---|---|---|
| 2.1 | Are you clear about the objectives of the Council? | 88% | 82% | 92% |
| 2.2 | Do you feel that you can have an input into the development of these objectives? | 88% | 82% | 76% |
| 2.3 | Are you clear about the strategic risks that may prevent the Council achieving its objectives?<br><br>NB: Not asked in '03 Audit. | - | 64% | 74% |
| 2.4 | Do you know what plans and policies are included in the policy framework? | 82% | 64% | 63% |
| 2.5 | Do you feel that you can have an input into the development of the policy framework? | 76% | 58% | 68% |
| 2.6 | Are you clear about the Council's performance management arrangements? | 65% | 70% | 73% |
| 2.7 | Do you feel that you have an input into monitoring performance? | 76% | 76% | 79% |

| 2.8 | Do you feel the information you are given is: | Too much | About right | Too little |
|---|---|---|---|---|
| | '03 | 18% | 64% | 12% |
| | '05 | 12% | 88% | - |
| | '07 | 11% | 82% | 7% |
| | | | | |
| | Is the information generally relevant? | Mostly | Sometimes | Rarely |
| | '03 – 29% said info relevant | - | - | - |
| | '05 | 58% | 42% | - |
| | '07 | 60% | 40% | - |

| 2.9 | Do you believe that the issues reported to Member bodies are: | Too many | About right | Too little |
|---|---|---|---|---|
| | '03  **(NB: % don't add up)** | 100% | 85% | 50% |
| | '05 | 18% | 70% | 12% |
| | '07 | - | 87% | 13% |
| | | | | |
| | Are the issues reported generally relevant? | Mostly | Sometimes | Rarely |
| | '03 - 100% said info relevant | - | - | - |
| | '05 | 76% | 24% | - |
| | '07 | 60% | 37% | 3% |

| 2.10 | Do you have difficulty in accessing information or documents? | '03 | '05 | '07 |
|---|---|---|---|---|
| | | 12% | 17% | 24% |

| 3 | Relationship with the Public and Scrutiny | '03 | '05 | '07 |
|---|---|---|---|---|
| 3.1 | Do you feel that members of the public have easy access to WCC policies and guidelines? | 38% | 53% | 47% |
| 3.2 | Are the current arrangements for enabling public participation satisfactory? | 50% | 53% | 53% |
| 3.3 | Do you think that the Council's arrangements, including the support given to members, enable us to link well with our communities? | 47% | 88% | 63% |

| 3.4 | How satisfied are you with the impact overview & scrutiny? | | | Poor | OK | Good |
|---|---|---|---|---|---|---|
| | '03 | | | NO | DATA | |
| | '05 | | | NO | DATA | |
| | '07 | | | 15% | 66% | 19% |

| 4 | Roles and Responsibilities | '03 | '05 | '07 |
|---|---|---|---|---|
| 4.1 | Are you clear about your role and responsibilities? | 94% | 94% | 97% |
| 4.2 | Do you have a job description? | 35% | 38% | 35% |
| 4.3 | If yes, have you found this helpful?<br><br>*NB: In 2007, 42% did not answer this question.* | 75% | 38% | 6% |
| 4.4 | Do you have an individual learning plan? | - | - | 65% |
| 4.5 | Have you found any training / support you have received helpful?<br><br>'03-'05: Do you need training to clarify your role and responsibilities?' | 44% | 41% | 94% |
| 4.6 | Are you clear about the role and responsibilities of Officers? | 82% | 88% | 94% |

| 5 | Standards of Conduct | '03 | '05 | '07 |
|---|---|---|---|---|
| 5.1 | Do you believe that the Council encourages high standards of conduct? | 100% | 88% | 94% |
| 5.2 | Are you clear about the role of the Audit and Standards Committee? | 88% | 94% | 94% |

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| | | | | |
|---|---|---|---|---|
| 5.3 | Do you feel that standards of ethics / probity are sufficiently high: <br> • Amongst elected members? <br> • Amongst officers? | 88% <br> 100% | 76% <br> 82% | 94% <br> 97% |
| 5.4 | Have you received any training in relation to ethical governance/ standards of conduct? | 53% | 76% | 68% |
| 5.5 | Have you received any training in relation to the new Member Code of Conduct? <br><br> NB: Question not asked in '03 and '05 Audits. | - | - | 82% |
| 5.6 | Do you know who to contact if you have concerns about ethical issues? | 88% | 82% | 82% |
| 5.7 | Do you know what interests you need to register? | 100% | 100% | 97% |
| 5.8 | Do you know when you need to declare interests at meetings? | 94% | 94% | 100% |
| 5.9 | Do you know when you need to declare the receipt of a gift or hospitality? | 100% | 94% | 100% |

## 6 General

6.1 What could be done to improve ethical standards?

6.2 Please add any additional comments you would wish to make?

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## [DRAFT] CORPORATE GOVERNANCE ACTION PLAN 2007/08

**Corporate Actions**

| Ref | Recommendation | Responsible Officer(s) | Target Implementation date |
|---|---|---|---|
| | **Strategy** | | |
| 1. | Adopt the strap line "Do the right thing" for corporate governance code, training and publicity etc. | Head of Communications | 30 June 2008 |
| 2. | Launch the new Code of Corporate Governance to all staff through intranet / Lotus Notes headline and accompanying summary leaflet for staff | Head of Law and Governance | 30 June 2008 |
| 3. | Each Directorate to nominate a corporate governance champion to act as a key point of contact for corporate governance matters | Strategic Directors | 30 April 2008 |
| | **Accessibility to Information** | | |
| 4. | Develop a corporate governance home page on the intranet to ensure all key documents and contacts are easily identifiable. | Head of Law and Governance | 30 June 2008 |
| 5. | Make relevant corporate governance documents accessible via the internet | Head of Communications | 30 June 2008 |
| 6. | Review and update key corporate governance documentation (eg. the existing leaflet and the framework) and establish a central key contacts list on intranet | Head of Law and Governance | 30 June 2008 |
| 7. | Introduce a corporate governance mailbox in lotus notes as a means of answering specific questions from members of staff, elected members, partners and contractors.  P&D to act as recipients for any e-mails received. | Head of Law and Governance | 30 June 2008 |
| | **Training and Development** | | |
| 8. | Raise awareness of corporate governance issues through the Council's induction course. | Head of HR | 31 May 2008 |
| 9. | Continue to deliver corporate governance training for managers. Mandatory for all 3$^{rd}$ and 4$^{th}$ tier managers | Head of Law and Governance | All relevant managers trained by 31 March 2009 |

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| Ref | Recommendation | Responsible Officer(s) | Target Implementation date |
|---|---|---|---|
| 10. | Ensure training / development on governance issues is incorporated into the Management Development Programme. | Head of HR | To be incorporated into learning & development programme for 2008/9 |
| 11. | Deliver interactive online training for staff on general governance issues as an alternative to out of office training. As part of this ensure staff acknowledge that they understand key policies. | Head of Law and Governance | 31 December 2008 |
| 12. | Provide training and support on the new constitutional arrangements to meet the requirements of the Local Government and Public Involvement in Health 2007 | Head of Law and Governance | 31 March 2009 |
| | **Awareness Raising** | | |
| 13. | Drip feed approach to maintain high profile of governance issues – to include<br>➢ Publicise the results of the survey and key elements of the action plan on the intranet and through W4W<br>➢ Development of posters to publicise governance issues (eg. whistleblowing)<br>➢ Periodic messages from Chief Executive on specific aspects of governance<br>➢ Use core brief as a means of launching corporate governance code<br>➢ Periodic articles on aspects of governance to be included in W4W.<br>➢ Periodic alerts/ headlines through lotus notes<br>➢ Develop short guides to key issues and link on intranet | Head of Communications<br>Head of Communications<br><br><br><br><br><br><br>Head of Law and Governance<br>Head of Law and Governance | Ongoing over year – programme to be developed by 30 June 2008 |
| | **Policies and Procedures** | | |
| 14 | Consider introducing a dedicated phone line to allow staff and/or contractors to raise concerns under the whistleblowing code. | Head of HR | 30 June 2008 |

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| Ref | Recommendation | Responsible Officer(s) | Target Implementation date |
|---|---|---|---|
| 15 | Promote whistleblowing arrangements to contractors (including their staff) through contract documents, tender packs, website access etc in light of new requirements of Use of Resources assessment | Head of Finance | 30 April 2008 |
| 16 | Review and revise the anti-fraud and corruption policy / strategy and publicise | Head of Law and Governance | 31 Dec 2008 |
| 17 | Launch the revised Financial Standing Orders in line with the revised Contract Standing Orders. | Head of Finance | 31 May 2008 |
| 18 | Review and revise Contract Standing Orders and Procurement Code of Practice and publicise. Consider making documents electronically interactive | Head of Law and Governance | 31 May 2008 |
| 19 | Strengthen and clarify existing corporate policy on acceptance of gifts and hospitality | Head of HR | 30 April 2008 |
| 20 | Develop a standard form for recording Gifts and Hospitality as an interim measure prior to introduction of HRMS self service (and for use by staff without HRMS access) with corporate principles around accepting gifts and hospitality to be agreed by SDLT. | Head of HR | 31 March 2008 |
| 21 | Develop and publicise a summary of the constitution/ the Council's decision making arrangements for staff and members | Head of Law and Governance | 30 June 2008 |
| 22 | Revise the Council's constitutional arrangements to meet the requirements of the Local Government and Involvement in Public Health Act 2007 and amend the summary constitution accordingly | Head of Law and Governance | 31 March 2009 |
| | **Members Support and Training** | | |
| 23 | Put in place effective arrangements to deal with complaints under the Members' Code of Conduct, following the new local filter arrangements and provide appropriate training for relevant members | Head of Law and Governance | 31 March 2008 |
| 24 | Deliver interactive online training for members on general governance issues | Head of Law and Governance | 31 December 2008 |

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| Ref | Recommendation | Responsible Officer(s) | Target Implementation date |
|-----|----------------|------------------------|----------------------------|
| 25 | Deliver face to face/ DVD training on ethical governance / standards | Head of Law and Governance | 31 December 2008 |
| 26 | Raise awareness of members' job descriptions through accessibility on the internet, constitutional summary and links with work being undertaken by the remuneration panel | Head of Law and Governance | 30 June 2008 |
| 27 | Periodic briefings on corporate governance issues (eg anti-fraud and corruption) in 'Inform' and by members' briefings on the intranet | Head of Law and Governance | At least 2 by 31 December 2008 |
| 28 | Publicise the results of the survey and key elements of the action plan in Inform | Head of Law and Governance | 30 April 2008 |
| 29 | Provide training and support on the new constitutional arrangements to meet the requirements of the Local Government and Public Involvement in Health 2007 | Head of Law and Governance | 31 March 2009 |
| 30 | Undertake appropriate surveys of elected members to help assess the effectiveness / impact of the new locality arrangements | Head of Change Management | Base line survey by 31 May 2008. Follow up survey within 12 months of new arrangements becoming operational. |

**Directorate Actions**

Each Directorate to incorporate the following as part of the 2008/09 normal business planning cycle;

| Ref | Recommendation | Responsible Officer(s) | Implementation date |
|-----|----------------|------------------------|---------------------|
| | Introduce a systematic process to identify the training needs of individual members of staff as part of the appraisal process. | Strategic Director | 1st April 2008 |
| | Develop a means of identifying training needs of non Notes users and ensure key issues, documents and contacts are made available and regularly disseminated. | Strategic Director | 1st April 2008 |
| | Identify a process to ensure circulation of key corporate governance contacts within the Directorate. | Strategic Director | 30 June 2008 |

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| Ref | Recommendation | Responsible Officer(s) | Implementation date |
|---|---|---|---|
| | Establish a single central Directorate gifts and hospitality register using the agreed standard format (prior to the implementation of HRMS self service) and following the corporate guidance issued by SDLT. | Strategic Director | 1 April 2008 |
| | Ensure there are arrangements in place to undertaken the annual register of staff interests exercise until HRMS self service elements are implemented. | Strategic Director | Ongoing |
| | Ensure that the results of this audit are considered as part of business planning process for 2008 – 2009 and incorporate any additional Directorate specific actions. | All Strategic Directors and Heads of Service | 1st April 2008 |

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# Update on progress against Corporate Governance Action Plan 2005/06
*(Key:   Green= Target already met; Blue= Target on course to be met;*
*Red= Target not met / not on course, remedial action necessary)*

| Subject Area | Specific Tasks | Timescales | Status |
|---|---|---|---|
| Clarifying and publicising our standards of corporate governance | Complete managers briefing sessions | Corporate governance training sessions for managers continue to be held at least quarterly | Green |
| Clarifying and publicising our standards of corporate governance | Publicise corporate governance code to other members of staff | To be picked up as part of 2007/08 Action Plan taking into account CIPFA/SOLACE guidance issued in summer 2007 | Red |
| Clarifying and publicising our standards of corporate governance | Develop proposals to engage partners | LAA governance arrangements were agreed by all partners by 31 March 2007 including a Code of Conduct on partnership working | Green |
| Clarifying and publicising our standards of corporate governance | Ensure all partnerships the Council is engaged in have appropriate governance arrangements | Directorates have identified their significant partnerships and the governance arrangements to support them.  Report approved by  SDLT on 5th September. Governance arrangements for the LAA partnerships have been agreed. | Green |
| Clarifying and publicising our standards of corporate governance | Review officers code of conduct and consider guidance on declarations of interest by officers at meetings of member bodies when new legislation is issued on this subject | New legislation has not been issued.    WCC has drafted guidance on declarations by officers at meetings of member bodies but this has been held back pending issue of employee code | Blue |
| Clarifying and publicising our standards of corporate governance | Review members code of conduct when new legislation is issued on this subject | New members code of conduct was adopted by Council on 15th May 2007 with a members' training session held on the same day following the meeting | Green |
| Improving arrangements for staff register of interests | As part of Phase 2 of the HRMS Project provide a computerised register of interests. To include periodic reminders to maintain declarations up to date. | 31 March 2007 – Although the deadline was not met this is now on track. Manual system was operated for the 2007/08 exercise (April 2007) however we are hoping to automate the process for 2008/09. Forms have been drafted and system is being piloted with ICT | Blue |
| Improving arrangements for staff register of interests | As part of Phase 2 of HRMS Project develop a computerised register of gifts and hospitality | 31 March 2007 – Although the deadline was not met we are working on a timescale of  HRMS being available from Sept 2008. | Blue |

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| Subject Area | Specific Tasks | Timescales | Status |
|---|---|---|---|
| Improving awareness of Anti-Fraud and Anti-Corruption Policy | Further publicise main points of the policy to staff in particular advice on what to do in the event of suspected fraud. | 31 March 2007 – Internal Audit leaflet was reissued in July 2006 and business style' cards issued to all staff in pay slips. Policy was launched and articles published in Working for Warwickshire to raise awareness. Policy also put on the internet | Green |
| Improving awareness of the Confidential Reporting Code | Further publicise the existence and the main elements of the Confidential Reporting Code to all members of staff | The amended corporate guidance was re-launched and is now on the intranet. The terminology of the code has still to be considered | Green |
| Improving awareness of the Confidential Reporting Code | Consider whether the Code should be extended to cover partners | Code has been extended to apply to contractors | Green |
| Improving our decision making processes | Develop the forward plan into a full agenda management system | 31 March 2006 – the forward plan has been developed into a full agenda management system which is accessible and details all future reports to committees | Green |
| Improving our decision making processes | Further publicise the existence of forward plans and their role in the decision-making processes of the Council | 30 September 2007. Regular reminders sent to staff and group sessions also held for staff. Regular meetings held with Leader and briefings for Cabinet. | Green |
| Improving our decision making processes | Further clarify and publicise the definition and process for taking key decisions | The Forward Plan now includes facilities for individual members and is used as a key agenda planning tool. Awareness of its use including the process around key decisions has been raised through sessions with members (Cabinet / OSC) and support has also been offered to Directorates with individual and group sessions being delivered by Member Services. A demo movie clips ICT based learning system around the decision making process including key decisions is also in development. The current VFM review in this area will also have a bearing on future work in this area | Blue |
| Improving our decision making processes | Provide at least four briefing sessions a year on requirements of Contract Standing Orders (delivered corporately) | Commence Spring 2006: on target. A new course Effective Procurement has been developed and is being rolled out in conjunction with the County Procurement Manager | Green |

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| Subject Area | Specific Tasks | Timescales | Status |
|---|---|---|---|
| Improving our decision making processes | Develop and provide at least four briefing sessions on the requirements of Financial Standing Orders (delivered corporately) | Commence Spring 2006: The original deadline was not met. A decision has been taken to include FSOs within training module for Cost Centre Managers. This is being rolled out to all CCMs from Nov 07. | Blue |
| Strengthening our processes for risk management | Provide briefing sessions as appropriate to further embed risk management | 31 March 2006: Although the target was not hit, a series of briefing sessions were held with Directorate DMTs, Members and the Corporate Risk Management Group led by the Strategic Risk Manager.  A series of risk workshops will be held in the first quarter of 2008 to refresh existing risk information and present it within the new format required to comply with the revised risk management strategy that was approved by the Cabinet in December 2008. | Green |
| Strengthening our processes for business continuity | Produce corporate business continuity plan (BCP) covering core issues | The first phase of BCM is completed.  The Council has a BCM policy and strategy in place approved by Cabinet. Plans for all priority services are in place.  A corporate plan is in place. A test exercise took place in Dec 2007. Discussion will now be held with the Project Board on design and development of phase 2. | Green |
| Engaging with the public | Improve level of Service user/representative input into the work of O&S Committees | 31 March 2007 – During 2006 (calendar year) over 90 representatives of external organisations attended OSCs. Representatives of the PPI Forum were  regular attenders at Health OSCs.  Relevant OSCs have also received presentations from service users (eg alcohol and young people, adult social care). Members are also engaging with the public through visits out to service users, representative groups and community facilities. Young people also ran an OSC exercise relating to bullying . | Green |

| Subject Area | Specific Tasks | Timescales | Status |
|---|---|---|---|
| Engaging with the public | Further publicise meetings at which the public can participate | Work has been undertaken by the OSC team to engage with the public (above) and Area Committees continue to attract members of the public for public question time.  Focus however is now shifting to how we engage with the public in their local communities rather than inviting the public to observe / participate in Council meetings | Red |
| Engaging with the public | Review our processes and procedures governing access to information | Process was reviewed following changes to categories of exempt information which were effective from 1st March 2006.  This resulted in changes to the constitution and revised guidance being circulated to relevant staff, including a new process for agreeing exempt reports | Green |

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