

**AGENDA MANAGEMENT SHEET**

<b><i>Name of Committee</i></b>	<b>Audit and Standards</b>		
<b><i>Date of Committee</i></b>	<b>18 November 2008</b>		
<b><i>Report Title</i></b>	<b>Corporate Governance Action Plan</b>		
<b><i>Summary</i></b>	An update on the Directorate and Corporate response to the Corporate Governance Action Plan.		
<b><i>For further information please contact:</i></b>	<table border="0" style="width: 100%;"> <tr> <td style="width: 50%;">David Carter, Strategic Director of Performance and Development (01926 412564) davidcarter@warwickshire.gov.uk</td> <td style="width: 50%;">Jane Pollard, Corporate Legal Services Manager (01926 412565) janepollard@warwickshire.gov.uk</td> </tr> </table>	David Carter, Strategic Director of Performance and Development (01926 412564) davidcarter@warwickshire.gov.uk	Jane Pollard, Corporate Legal Services Manager (01926 412565) janepollard@warwickshire.gov.uk
David Carter, Strategic Director of Performance and Development (01926 412564) davidcarter@warwickshire.gov.uk	Jane Pollard, Corporate Legal Services Manager (01926 412565) janepollard@warwickshire.gov.uk		
<b><i>Would the recommended decision be contrary to the Budget and Policy Framework?</i></b>	No.		
<b><i>Background papers</i></b>	None		

**CONSULTATION ALREADY UNDERTAKEN:-**

Details to be specified

- |                       |                                     |                                     |
|-----------------------|-------------------------------------|-------------------------------------|
| Other Committees      | <input type="checkbox"/>            |                                     |
| Local Member(s)       | <input type="checkbox"/>            |                                     |
| Other Elected Members | <input type="checkbox"/>            |                                     |
| Cabinet Member        | <input checked="" type="checkbox"/> | Councillor Timms                    |
| Chief Executive       | <input type="checkbox"/>            | .....                               |
| Legal                 | <input checked="" type="checkbox"/> | Jane Pollard, Paul Fairweather..... |
| Finance               | <input type="checkbox"/>            |                                     |
| Other Chief Officers  | <input type="checkbox"/>            | .....                               |
| District Councils     | <input type="checkbox"/>            | .....                               |
| Health Authority      | <input type="checkbox"/>            | .....                               |

Police  .....

Other Bodies/Individuals  Mr John Bridgeman, independent chair of Audit and Standards

**FINAL DECISION NO**

**SUGGESTED NEXT STEPS:**

Details to be specified

Further consideration by this Committee  .....

To Council  .....

To Cabinet  .....

To an O & S Committee  .....

To an Area Committee  .....

Further Consultation  .....

## Agenda No 6

### Audit and Standards Committee - 18 November 2008

#### Corporate Governance Audit

#### Report of the Strategic Director of Performance and Development

##### Recommendation

- 1) That the Committee notes the progress being made both corporately and by Directorates in response to the 2007 Corporate Governance audit, and makes any comment it wishes.

#### 1. Introduction

- 1.1 The Council's fourth Corporate Governance Audit was carried out during the summer and autumn of 2007 and the results were reported to Cabinet on 13 March 2008. Members approved the Corporate Action Plan and agreed that each Directorate should prepare its own Action Plan to outline the steps to be taken to improve performance in key areas. Cabinet required that a mid year progress report against the Corporate Governance Plan be reported to the Audit and Standards Committee [with a view to a full report being presented to Cabinet in February 2009] during the year.

#### 2. Corporate Action Plan

- 2.1 Progress on implementing the Corporate Action Plan is shown at Appendix 1. At the present time it is estimated that 73% of the corporate targets will be on course at the end of November. Good progress has been made on implementing 22 out of the 30 targets set out in the Corporate Action Plan against the timetable set. Eight targets (indicated by their "red" status in the final column of the table in Appendix 1) are currently at risk of falling behind deadline and half of these relate to the same activity (putting in place on-line training). Action is being taken to bring these eight targets back on track and to maintain momentum.
- 2.2 A number of areas where improvements could be made were identified as a result of the 2007 audit. These included staff understanding of key corporate policies such as Contract and Financial Standing Orders, the Council's Public Interest Reporting Code, our anti-fraud and corruption policy and our decision making process. In raising such staff awareness we have, amongst others, launched and publicised a new corporate governance section on the intranet

that brings together all the relevant corporate governance documents in one place.

### **3. Directorate Action Plans**

- 3.1 Attached at Appendix 2 is an outline of each Directorate's current progress on implementing the key areas of improvement highlighted by the Corporate Governance Audit in respect of their own Directorates.
- 3.2 Each Directorate has identified responsible officers for the purposes of implementing their Directorate Action Plan (which may be different persons to the Corporate Governance Champion each Directorate now has and who meet throughout the year) and, where relevant, their plans also include specific actions that the Directorate needs to take to ensure an improved performance in next year's Corporate Governance Audit. Some Directorates are further advanced in preparing and implementing a Directorate Action Plan, as required by Cabinet.

### **4. Recommendation**

- 4.1 The Committee is asked
  - (i) To note the progress being made both corporately and by Directorates in response to the 2007 Corporate Governance audit, and make any comment it wishes.

DAVID CARTER  
Strategic Director of  
Performance and  
Development

Shire Hall  
Warwick  
21 October 2008

## APPENDIX 1

### CORPORATE GOVERNANCE ACTION PLAN 2007/08

(Key: **Green**= Target already met;  
**Blue**= Target on course to be met;  
**Red**= Target not on course, remedial action necessary)

**73% completed or on target**

Ref	Recommendation	Responsible Officer(s)	Target Implementation date	Update as at 21 October 2008	Direction of Travel
	<b>Strategy</b>				
1.	Adopt the strap line "Do the right thing" for corporate governance code, training and publicity etc.	Head of Communications	30 June 2008	Done – strap line adapted for the new training and publicity which is being rolled out	Green
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	New Code launched at 1 <sup>st</sup> revamped corp gov training session on 24 <sup>th</sup> June  Accompanying summary leaflet has also been produced and has been handed out at the training sessions.	Green

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	Done – each Directorate has a nominated rep. Meeting more frequently. Next meeting mid September.	Green
	<b><u>Accessibility to Information</u></b>				
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	Site launched. Apart from following 2 points site is complete:  Need to make appropriate links with the work being undertaken on information governance. This is wider than just FoI and the intranet pages should direct staff to the most up to date information.  Our corporate governance home page should also have a link to the various risk and other policies/guidance that the Strategic Risk Manager is working on.	Green
5.	Make relevant corporate governance documents accessible via the internet	Head of Communications	30 June 2008	The website is currently being developed and will be available imminently.	Red  <i>Revised implementation date: 31 November 2008</i>

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	All corp gov training material including framework, handouts, summaries etc have been revised and updated and issued at training session and to be linked through intranet page. Comms have also producing a simple summary of our new Code to hand out at training sessions and will also add to intranet.  Central contact list on intranet established.	Green
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	Done and referred to at the corp gov training session	Green
	<b>Training and Development</b>				

8.	Raise awareness of corporate governance issues through the Council's induction course.	Head of HR	31 May 2008	Deliver through on-line / DVD training  Obtained details of several Councils who have already purchased this through different companies. Following a meeting in early October the Head of HR and the Audit and Risk Manager are contacting their opposite numbers in other authorities who have this in place to set up site visits for WCC following which WCC to determine best way forward.	Red  <i>Revised implementation date: 31 March 2009</i>
9.	Continue to deliver corporate governance training for managers. Mandatory for all 3 <sup>rd</sup> and 4 <sup>th</sup> tier managers	Head of Law and Governance	All relevant managers trained by 31 March 2009	4 sessions arranged between now and 31 <sup>st</sup> March 2009	Blue
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	Not appropriate given Learning Academy proposals. However the Head of HR to consider whether anything could be added to the Prospectus for the Warwickshire Manager documentation – generic guidance / sign posting  Also agreed that the development of on-line/dvd training should cover the gap that this action was intended to address.	Blue



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	Obtained details of several Councils who have already purchased this through different companies. Following a meeting in early October Head of HR and the Audit and Risk Manager are contacting their opposite numbers in other authorities who have this in place to set up site visits for WCC following which WCC to determine best way forward.	Red (see 8 above)  <i>Revised implementation date: 31 March 2009</i>
12.	Provide training and support on the new constitutional arrangements to meet the requirements of the Local Government and Public Involvement in Health Act 2007	Head of Law and Governance	31 March 2009	Members have agreed to have a leader and Cabinet model and to set up a cross-party working group. December's Council meeting is the deadline for approving the new constitution. Training packages will be developed between December 2008 and the May 2009 elections. Training will be a continuing process.	Blue
	<b>Awareness Raising</b>				

13.	<p>Drip feed approach to maintain high profile of governance issues – to include</p> <ul style="list-style-type: none"> <li>➤ Publicise the results of the survey and key elements of the action plan on the intranet and through W4W</li> <li>➤ Development of posters to publicise governance issues (eg. whistleblowing)</li> <li>➤ Periodic messages from Chief Executive on specific aspects of governance</li> <li>➤ Use core brief as a means of launching corporate governance code</li> <li>➤ Periodic articles on aspects of governance to be included in W4W.</li> <li>➤ Periodic alerts/ headlines through lotus notes</li> <li>➤ Develop short guides to key issues and link on intranet</li> </ul>	<p>Head of Communications Head of Communications</p> <p>Head of Law and Governance Head of Law and Governance</p>	<p>Ongoing over year – programme to be developed by 30 June 2008</p>	<p><b>Publicity/Raising Awareness we've already done:</b></p> <p>Stop press in Core Brief re Register of Interests</p> <p>CSOs headline on intranet.</p> <p>Register of Interests headline on intranet.</p> <p>Inform (to members) article on general corporate governance (July)</p> <p>W4W (general corporate governance) (June)</p> <p>CSOs briefing for P&amp;D and CYPF</p> <p>Directorates have raised awareness of new Gifts and Hospitalities arrangements.</p>	Blue
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				<p><b>What we're doing now:</b></p> <p>W4W Sept (on new intranet pages) – Comms</p> <p>Inform</p> <p>Suggested potential Core Brief in Oct</p> <p>Various headlines on intranet, liaising with the Head of HR, the Audit and Risk Manager and the Strategic Risk Manager re their areas.</p> <p>Posters to publicise governance issues (eg. whistleblowing).</p>	
	<b>Policies and Procedures</b>				
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	To check with the Audit and Risk Manager. Suggested we don't pursue	Red <i>Revised implementation date: 31 December 2008</i>

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	Done – reference now in contract docs, tender packs etc	Green
16	Review and revise the anti-fraud and corruption policy / strategy and publicise	Head of Law and Governance	31 Dec 2008	The revised anti fraud and corruption policy and supporting strategy was approved by Cabinet on 16 October. Work is now underway to raise awareness (eg, external press release and publicising the documents on the intranet and internet).	Blue
17	Launch the revised Financial Standing Orders in line with the revised Contract Standing Orders.	Head of Finance	31 May 2008	Done through Resources	Green
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	Done – publicised on intranet. Training revamped to line up with new CSOs. 1 <sup>st</sup> training session on 20 <sup>th</sup> June	Green
19	Strengthen and clarify existing corporate policy on acceptance of gifts and hospitality	Head of HR	30 April 2008	Done – new policy approved by SDLT.  Has been rolled out by Directorates.	Green

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	Done with (19) above	Green
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	Summary developed but need to work with Comms to make it user friendly and accessible to staff – links with (12) above	Red <i>Revised implementation date: 31 March 2009</i>
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	Not yet done – but see (12) above	Blue
	<b>Members Support and Training</b>				

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	Done – new arrangements in place (eg documents on the internet re complaints about members, accessible from the corporate complaints page) from May 08 when new regs came into force	Green
24	Deliver interactive online training for members on general governance issues	Head of Law and Governance	31 December 2008	Obtained details of several Councils who have already purchased this through different companies. Following a meeting in early October the Head of Human Resources and the Audit and Risk Manager are contacting their opposite numbers in other authorities who have this in place to set up site visits for WCC following which WCC to determine best way forward.	Red – see (8) above  <i>Revised implementation date: 31 March 2009</i>
25	Deliver face to face/ DVD training on ethical governance / standards	Head of Law and Governance	31 December 2008	Obtained details of several Councils who have already purchased this through different companies. Following a meeting in early October the Head of HR and the Audit and Risk Manager are contacting their opposite numbers in other authorities who have this in place to set up site visits for WCC following which WCC to determine best way forward.	Red – see (8) above  <i>Revised implementation date: 31 March 2009</i>

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	The Member Services Manager has confirmed that there is no point in promoting the current member job descriptions as these are being changed. A "short form" job descriptions document will go to the Member Steering Group on 4 November 2008 and it is planned to get this document on the intranet and internet by December 2008.	Red <i>Revised implementation date: 31 December 2008</i>
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	Article published in Inform (June / July edition) – one more to do by end of Dec 08	Blue
28	Publicise the results of the survey and key elements of the action plan in Inform	Head of Law and Governance	30 April 2008	This has been done through (27) above	Green
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	As (21) / (22) above	Blue

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.	It has taken longer than was anticipated to develop the new locality arrangements. These were adopted by the Council on 13th May 2008 and are yet to be fully implemented (only 19 of the 30 community forums are operating at present). It is anticipated that the arrangements should be fully operational by the beginning of 2009. It is suggested that the baseline survey should be conducted in January 2009 with a follow up survey at the end of 2009 in line with the Council's resolution to formally review the arrangements after 12 months of operation.	Blue (taking into account longer time period required to implement the new locality arrangements)
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### 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	1 <sup>st</sup> 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	1 <sup>st</sup> April 2008
	Identify a process to ensure circulation of key corporate governance contacts within the Directorate.	Strategic Director	30 June 2008
	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	1 <sup>st</sup> April 2008

## APPENDIX 2

### DIRECTORATE CORPORATE GOVERNANCE ACTION PLANS

(Key: **Green**= Target already met;  
**Blue**= Target on course to be met;  
**Red**= Target not on course, remedial action necessary)

## PERFORMANCE AND DEVELOPMENT DIRECTORATE – CORPORATE GOVERNANCE ACTION PLAN

95% completed or on target

Action	Timescales	Responsible officer	Resources	Update	Direction of Travel
<b>ALL STAFF</b>					
<b>1. Fraud and Corruption</b>					
1.1 Awareness raising exercise in respect of reporting procedures if officers suspect fraud/financial irregularity (to support review and revision of anti-fraud and corruption policy in Council action plan)	31 December 2008	Audit and Risk Manager	None	The revised anti fraud and corruption policy and supporting strategy was approved by Cabinet on 16 October. Work is now underway to raise awareness (eg, external press release and publicising the documents on the intranet and internet).	Blue
<b>2. Access to Information</b>					
2.1. DMT annual approval of Directorate nominated officers (eg. FOI/Data Protection)	30 June 2008	Corporate Legal Services Manager	Part of Corporate Legal Service work	Done	Green

Action	Timescales	Responsible officer	Resources	Update	Direction of Travel
			plan		
2.2. Awareness raising exercise in respect of Directorate nominated officers	30 Sept 2008	Corporate Legal Services Manager	Part of Corporate Legal Service Work Plan	Done	Green
<b>3. Whistleblowing</b>					
3.1 Raise awareness of the public interest reporting code across all staff in the Directorate and consider revising terminology across the Council (whistleblowing)	31 Dec 2008	Head of HR	Part of Corporate Legal Service Work Plan	Corporate Legal to e-mail the Strategic Director of Performance and Development and copy in the Head of HR re proposal to rename the policy. If agreed, rename on training / handout material and on Managing People. Posters on corp gov to be launched including this element.	Blue
<b>4. Code of Conduct</b>					
4.1 Amend and re-launch the Code of Conduct for all WCC employees	31 Dec 2008	Head of HR		Head of HR happy with the Employer and Employee	Blue

Action	Timescales	Responsible officer	Resources	Update	Direction of Travel
				Responsibilities document in Managing People. Doesn't want to issue Working for Warks – no added value in this. Need to consider how we make staff aware of the fact that the ER and EE Responsibilities document is the EE Code of Conduct	
4.2 Raise awareness of its contents amongst all staff in the Directorate, particularly what to do in the event of a breach	31 Dec 2008	Head of HR		Consider as part of 4.1 above – possibly include in the poster?	Blue
<b>5. Constitution</b>					
5.1 Raise awareness of content of constitution through accessibility to simple guides, summary constitution and basic constitution training, taking into account any constitutional changes made as a result of the LGPIH Act.	31 December 2008	Corporate Legal Services Manager	Part of Corporate Legal Service Work Plan	Summary of constitution drafted. Comms to make more plain English and shorter.  Three short guides have been drafted.  Note that these do not	Blue

Action	Timescales	Responsible officer	Resources	Update	Direction of Travel
				take into account any LGPIH Act changes as these are not yet available.	
<b>6. Freedom of Information</b>					
6.1 Review our policies and procedures on FOI and Data Protection to ensure that they are up to date	30 Sept 2008	Corporate Legal Services		Docs have been reviewed and, where necessary, updated and are now being considered for sign off internally.	Blue (subject to sign off of docs)
6.2 Raising awareness of our policies and procedures on Freedom of Information across all staff in the Directorate in line with the work being carried out corporately by the Information Governance Group.	31 December 2008	Corporate Information Manager		Dependent on 6.1 Expected to update/add Intranet pages once documents have been updated where necessary. Information Governance Task Group suspended until the Review of Information Management concludes organisational	Blue

Action	Timescales	Responsible officer	Resources	Update	Direction of Travel
				structures and responsibilities and in place.	
<b><u>MANAGERS</u></b>					
<b>7. Risk Management</b>					
7.1 Review our Directorate Risk Register in line with the Corporate Risk Management Strategy	30 April 2008	Strategic Risk Manager	None	P&D risks have been entered into Magique software and will be reported to DMT in October.	Green
7.2 Embed risk management across our managers through the delivery of training and briefing sessions	30 June 2008	Strategic Risk Manager	Part of Corporate Legal Service Work Plan	Training sessions completed.	Green
7.3 Implement across the Directorate Magique our electronic risk management system for managing risks	30 Sept 2008	Strategic Risk Manager	None	P&D risks have been entered into Magique software. Admin resource to maintain register has been identified.	Green
7.4 Strengthen the reporting of management information on risk to DMT using the functionality within Magique	30 Sept 2008	Corporate Legal Services Manager		Corporate Legal to speak to the Strategic Risk Manager about when and how often	Red <i>Revised implementati</i>

Action	Timescales	Responsible officer	Resources	Update	Direction of Travel
				we report to DMT and in what format. (It is understood that a report is going in October.) Suggest that this reporting, which should probably be every six monthly, is aligned with performance reporting.	<i>on date: 31 November 2008</i>
<b>8. Business Continuity</b>					
8.1 Implement BCP across the Directorate in line with the corporate roll out plan as recommended by the Risk Management Project Board	31 Dec 2008	Strategic Risk Manager		A BCP plan is in place for the Customer Service Centre. Work underway as part of the work agreed by the Risk Management Project Board to identify whether any other BCPs needed.	Blue
<b>9. Financial and Contract Standing Orders</b>					
9.1 Develop a more robust method of identifying and monitoring which staff need to receive FSO and CSO training/refresher training	30 June 2008	P&D Financial Services Manager	None	We have reviewed all current cost centre managers and booked those that needed refresher training on the appropriate	Green



Action	Timescales	Responsible officer	Resources	Update	Direction of Travel
				<p>course. Therefore we only need to deal with any new CCMs joining the Directorate.</p> <p>A check has been included as part of the financial systems user setup for all new Cost Centre Managers and training requested from County HR where required.</p>	
9.2 Consider incorporating Guidance on FSOs into constitution training (see 5.1 above)	31 December 2008	Corporate Legal Services Manager	None	Considered and decided that constitutional training should not pick up FSOs. Aim to link FSO and CSO reviews and incorporate sign posts in CSO training and corporate governance training.	Green
<b>10. Corporate Governance Training</b>					
10.1	100% of identified 3 <sup>rd</sup>	31 March	Corporate	None	Of the 31 3 <sup>rd</sup> and 4 <sup>th</sup>
					Blue

Action	Timescales	Responsible officer	Resources	Update	Direction of Travel
and 4 <sup>th</sup> tier managers attended the corporate governance training	2009	Legal Services Manager		<p>tier managers in P&amp;D identified as needing to attend this training 22.6% have attended and 65% have either attended or have booked onto one of the sessions.</p> <p>We are chasing the 11 staff who have not yet booked a place.</p>	
<b>GENERAL (as identified by Council's Corporate Governance Action Plan)</b>					
11.1 Ensure that training needs are identified as part of appraisal process	31 July 2008	All Managers	None	Incorporated into appraisal documentation and audited as part of appraisal review.	Green
11.2 Develop a means of identifying training needs of non Notes users and ensure key documents and contacts are made available and regularly disseminated	30 April 2008	Corporate Legal Services		These few P&D staff have been identified and their managers have been asked to ensure that these staff are given certain handouts on corporate governance.	Green

Action	Timescales	Responsible officer	Resources	Update	Direction of Travel
11.3 Establish a single Directorate Gifts and Hospitality Register using the agreed standard format (prior to implementation of HRMS self service) and following corporate guidance issued by SDLT	30 April 2008	Corporate Legal Services Manager		SDLT have approved the new guidance on gifts and hospitalities. It has been rolled out in directorates (including P&D (P&D intranet pages and P&D newsletter)).	Green
11.4 Ensure the Directorate has arrangements in place to undertake the annual register of staff interests exercise until HRMS self service elements are implemented	31 July 2008	Personnel Officer for P&D		Exercise finished. Returns now with corporate HR.	Green
11.5 Consider whether any specific actions from this audit need to be incorporated into the Directorate's business plan for 2008/09	30 April 2008	DMT	Corporate Legal Services	Corporate Governance Action Plan included in the P&D Law and Governance Business Plan for 2008/09.	Green

## RESOURCES DIRECTORATE - CORPORATE GOVERNANCE ACTION PLAN

100% completed or on target

Ref	Recommendation	Responsible Officer(s)	Implementation date	Action	Direction of Travel
1	Introduce a systematic process to identify the training needs of individual members of staff as part of the appraisal process.	Line managers	On-going at each appraisal	Each manager will examine the need for corporate governance training as part of the staff appraisal	Green
2	Develop a means of identifying training needs of non Notes users and ensure key issues, documents and contacts are made available and regularly disseminated.	Head of Facilities Management	Completed	Arrangements which exist for communication with site based staff, who do not have regular access to Lotus Notes, have been refreshed to ensure that Corporate Governance issues are effectively communicated to site based staff.	Green
3	Identify a process to ensure circulation of key corporate governance contacts within the Directorate.	RDMT	Completed	Included as a Directorate item in Core Brief and added to the Directorates Intranet page	Green

4	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.	Heads of Service	Completed	Because of the diversity of staff locations this is currently managed within each Service	Green
5	Ensure there are arrangements in place to undertaken the annual register of staff interests exercise until HRMS self service elements are implemented.	N/a	In place	Staff currently receive requests to complete register of interest forms. It is anticipated that this will continue	Green
6	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 managers	Completed	DMT have considered various aspects of corporate governance at its meetings and tightened up on areas of perceived weakness	Green

## CHILDREN, YOUNG PEOPLE AND FAMILIES DIRECTORATE – CORPORATE GOVERNANCE ACTION PLAN

73% completed or on target

Ref	Action Plan Recommendations / Areas for Improvement	Action To Date (Nov 2008) Or To Be Taken	Timescale	Responsible Officer(s)	Direction of Travel
1	A systematic process towards training needs as part of the appraisal process.	The Directorate is currently updating its Induction pack for all staff, in conjunction with the need for a corporate approach towards induction. This will provide a starting point for identifying governance training needs. With the implementation of the new Authority-wide appraisal process throughout 2008 it is expected that training needs (including governance training issues) will be identified through that.	March 2009 (revised from April 08)	Learning and Organisational Development Co-ordinator	Red  <i>Revised implementation date: 31 March 2009</i>
2	Ensure key issues, documents and contacts are made available and regularly disseminated to non Notes users	Key issues and documents are made available and regularly disseminated primarily through the Core Brief. That is, contact names are made available for obtaining documents through that process. All staff are in receipt of the monthly Core Brief, irrespective of whether they are non Notes users. The training needs of non-Notes users will be addressed via the normal appraisal process.	Not Applicable – already undertaken (Directorate Core Brief in April 2008 and placed on Directorate's Intranet site at the same time)	Head of Service (Resources)	Green

3	Ensure circulation of key corporate governance contacts within the Directorate.	Key issues relating to Corporate Governance (including contacts) are made available via the Directorate's Intranet site. This covers Employee Code of conduct, Financial Standing Orders, Internet Code of practice, Contract Standing Orders, Complaints procedure, Anti Fraud and Corruption policy, and Gifts and Hospitality. This aspect of the Intranet site was originally set up to also provide advice and guidance on Information Governance. Again, details were provided in the Core Brief for staff unable to access the Intranet.	Not Applicable – already undertaken (Directorate Core Brief in April 2008 and placed on Directorate's Intranet site at the same time)	Head of Service (Resources)	Green
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4	Establish a single central Directorate gifts and hospitality register	The Directorate already has a single central Directorate Gifts and Hospitality register. It follows the corporate guidance. A colleague in the Finance team wrote to all staff in September reminding them of their responsibilities in registering all Gifts and Hospitality and has collated responses to form the Directorate's current register, in a format that complies with new corporate requirements. As with other aspects of governance, the Directorate has raised awareness regarding Gifts and Hospitality via the Directorate's Intranet site and also via the Directorate's Core Brief.	Completed in September 2008	Senior Finance Officer	Green
5	Ensure arrangements are in place for the annual register of staff interests	The Directorate follows the corporate approach to the annual register of staff interests exercise, as used as part of the final accounts process. The Directorate followed up with any key members of staff that had not provided a response on the electronic system.	Not Applicable – already undertaken as part of final accounts process (for 2007/08)	Directorate Finance Manager	Green



6	Ensure consideration as part of business planning process for 2008 – 2009	<p>The Directorate Leadership Team reviewed and updated its plan in November 2007, as part of ensuring that directorate specific actions were embedded in Business Plans (primarily the Children and Young Persons Plan – CYPP). In addition, the Directorate now has an Assistant Head of Service dedicated to Governance issues in schools. The Directorate has also worked with colleagues in Law &amp; Governance (and elsewhere) in updating guidance / regulations to schools. For example, in reviewing the Scheme for the Financing of Schools (under the School Standards &amp; Framework Act); in the implementation of the Financial Management in Schools Standard (which includes several important areas of governance) and in recent guidance on Procurement and Schools Contract Standing orders.</p>	<p>Was undertaken in November 2007.</p> <p>Next Review Planned for November 2008</p>	Directorate Leadership Team	Green
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7	Employer & Employee Responsibilities	Inform staff of location of the Employee Code of Conduct. Also, the Directorate's Staff Charter was launched.	Was reported in the Directorate Core Brief in April 2008 and placed on Directorate's Intranet site at the same time	Head of Service (Resources) & Programme Officer - Workforce Strategy	Green
8	Confidential Reporting Code (whistle blowing)	Inform staff of location of the Whistle Blowing Code (via Directorate's Intranet site and directorate's Core Brief)	Not yet Undertaken – Target Date – December 2008	Head of Service (Resources)	Blue
9	Raising Issues	Inform staff of who to contact regarding problems of: <ul style="list-style-type: none"> <li>○ Health &amp; Safety at work</li> <li>○ Sexual harassment</li> <li>○ Equal Opportunities</li> <li>○ Racial harassment</li> <li>○ Disability discrimination</li> </ul>	Not yet Undertaken – Target Date – December 2008	Head of Service (Resources)	Blue
10	Financial Standing Orders	Inform staff of location of the Authority's Financial Standing Orders (via Intranet site and directorate's Core Brief). Also make Budget Manager training available to appropriate staff.	Was reported in the Directorate Core Brief in April 2008 and placed on Directorate's Intranet site at the same time	Head of Service (Resources) & Strategic Finance Manager	Green

11	Access to Information	Inform / remind staff of the various statements relating to Access to Information.	Was reported in the Directorate Core Brief in April 2008 and placed on Directorate's Intranet site at the same time (including detailed guidance on Data Protection and Data Sharing). Also reported to Cabinet in February 2008	Head of Service (Resources) & Information Governance Officer	Green
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## COMMUNITY PROTECTION DIRECTORATE - CORPORATE GOVERNANCE ACTION PLAN

**50% completed or on target**

Ref	Recommendation	Responsible Officer(s)	Original Implementation date	Revised Implementation date	Action	Direction of Travel
1	Introduce a systematic process to identify the training needs of individual members of staff as part of the appraisal process.	Line Managers	1 <sup>st</sup> April 2008	Complete and on-going	This will be addressed through the training and development plans identified during annual staff appraisals.	Green
2	Develop a means of identifying training needs of non Notes users and ensure key issues, documents and contacts are made available and regularly disseminated.	Line Managers	1 <sup>st</sup> April 2008	Complete and on-going	Existing communication methods such as team briefs which are delivered by Line Managers will be used to ensure key issues are communicated to members of staff without access to Notes.	Red <i>Revised implementation date: 31 January 2009</i>
3	Identify a process to ensure circulation of key corporate governance contacts within the Directorate.	RDMT	30 <sup>th</sup> June 2008	31 <sup>st</sup> October 2008	To be included as Directorate item in October 2008 team brief.	Red

4	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 <sup>st</sup> April 2008	Complete	The register is currently maintained at the headquarters site by the PA to the Strategic Director.	Green
5	Ensure there are arrangements in place to undertake the annual register of staff interests exercise until HRMS self service elements are implemented.	N/a	Ongoing	Complete	This exercise is carried out corporately.	Green
6	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.	Strategic Director	1 <sup>st</sup> April 2008	Complete and on-going		Red <i>Revised implementation date: 31 January 2009</i>

## ENVIRONMENT AND ECONOMY DIRECTORATE – CORPORATE GOVERNANCE ACTION PLAN

33% completed or on target

Ref	Recommendation	Key Issues for E&E	Action to Date /Required Actions	Implementation Date (specific EED Implementation dates also included)	Responsible Officer(s)	Direction of Travel
1	Introduce a systematic process to identify the training needs of individual members of staff as part of the appraisal process		<p>The Environment &amp; Economy induction session/pack will be updated to include information on key corporate governance issues (including those identified as key issues for EED).</p> <p>The authority wide appraisal process has been adopted by the Environment &amp; Economy Directorate. This process allows the training and development requirements of staff to be identified on a six monthly basis (appraisal and review), including any</p>	<p>Corporate Implementation date: 1 April 2008</p> <p><b>EED Implementation Date: 30 Jan 2009</b></p> <p>Process implemented and action on going at each appraisal</p>	<p>EED Human Resources</p> <p>EED managers with responsibility for appraisals</p>	<p>Red</p> <p>Green</p>

			corporate governance requirements.			
2	Develop a means of identifying training needs of non Notes users and ensure key issues, documents and contacts are made available and regularly disseminated.	<p>Key Corporate Governance documents that EED staff need to be made more aware (where documents can be accessed and what the strategies cover) and include the following:</p> <ul style="list-style-type: none"> <li>• Anti Fraud &amp; Corruption strategy</li> <li>• Employer &amp; Employee Responsibilities</li> <li>• Corporate Complaints Procedure (inc key contact)</li> <li>• Confidential Reporting Code (Whistleblowing) (including what the code covers)</li> <li>• The EED arrangements for Risk Management.</li> <li>• The EED Business</li> </ul>	<ul style="list-style-type: none"> <li>• Key Issues/documents are disseminated via the core Brief process. This process includes key messages about Corporate Governance and associated documents. EED will ensure that that key messages are communicated via its Directorate Business Bulletins on at least an annual basis and more frequently if documents are updated or key contacts change. All staff receive a monthly Business Bulletin, irrespective of whether or not they are Notes users.</li> <li>• Ensure that the annual staff appraisal process covers all aspects of Corporate Governance training needs</li> <li>• Item to be included periodically in EED Managers' Seminars to cover key Corporate Governance Issues, paying particular attention to the key issues for EED.</li> </ul>	<p>Corporate Implementation date: 1 April 2008</p> <p><b>EED Implementation date: 30 Jan 2009</b></p> <p>On-going.</p> <p>EED will include an item on Corporate Governance in the 2009 Managers' Seminar programme.</p>	<p>Communications and Information Manager/HR</p> <p>EED managers with responsibility for appraisals</p> <p>Organisation Development / Communication team</p>	Red

		<p>Continuity Plan (in particular what this covers)</p> <ul style="list-style-type: none"> <li>• Financial Standing Orders (including training and access)</li> <li>• The procurement process.</li> <li>• How the Decision Making Process works (definition and the purpose of the Forward Plan).</li> </ul>				
3	Identify a process to ensure circulation of key corporate governance contacts within the Directorate.	Awareness needs to be raised about all key contacts for areas of Corporate Governance, in particular the Directorates Corporate Complaints Officer.	<p>Key contacts for Corporate Governance and those responsible for specific areas of work (e.g. Corporate complaints ) in EED will be made available via:</p> <ul style="list-style-type: none"> <li>• Intranet (EED pages)</li> <li>• EED Lotus Notes front page</li> <li>• Article of Corporate Governance to be published in Working for Warwickshire (list of key contact for each directorate to be included (corporate action)).</li> <li>• email to all EED staff</li> <li>• The Directorate Business Bulletin (targets staff who do not have access to email/intranet).</li> </ul>	<p>Corporate Implementation date: 30 June 2008</p> <p><b>EED Implementation date: Jan 2009</b></p>	EED Communications team	Red



4	<p>Establish a single central Directorate gifts and hospitality register using the agreed standard format and following the corporate guidance issued by SDLT.</p>	<ul style="list-style-type: none"> <li>EED staff must be made aware that even gifts and hospitality that have been declined must be recorded on the register.</li> </ul>	<p>The Environment &amp; Economy Directorate has established a single central gifts and hospitality register in line with the corporate guidance. All offers of gifts and hospitality which are more than just a token must be recorded by completing and submitting an employee declaration form to the appropriate Head of Service for signature. Signed forms are then returned to the Strategic Director's PA who is responsible for maintaining the Directorate register of gifts and hospitality offered, <b>including</b> refusals.</p> <p>Staff are made aware of the requirement to complete the register on a regular basis via email communication to managers who are responsible for briefing all their staff. I</p> <p>Future communication regarding the Gifts and Hospitality register will include a stronger message that <b>all offers</b> of gifts/hospitality must be included on the register. Communication will be via email, intranet (Including the E&amp;E pages)</p>	<p>Corporate Implementation date: 1 April 2008</p> <p><b>EED Implementation date: Completed</b></p>	<p>Heads of Service.</p> <p>The PA to the EED Director is responsible for administering the register.</p> <p>Communicati on action – The PA to the EED Director / Communicati ons and Information Manager.</p>	Green
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5	Ensure there are arrangements in place to undertake the annual register of staff interests exercise until HRMS self service elements are implemented.		All staff receive a request on an annual basis to complete the register of interest form. This request is distributed via email. The request is also circulated via the core brief for those without access to email/the intranet.	<b>Completed</b>	Corporate Human Resources	Green
6	Ensure that the results of this audit are considered as part of the business planning process for 2008-09 and incorporate Directorate specific actions.	This action needs to be carried out to coincide with the EED Service Planning process.	EED Leadership team to discuss the results of this audit, and ensure that key action points/tasks are included in the service planning process for 2008-09. Particular attention will be paid to the perceived areas of weakness within EED.  Corporate governance actions to be included in Group Service Plans where appropriate	Corporate Implementation date: 1 April 2008  <b>EED Implementation date:</b> EED Leadership Team to discuss in October 2008 and ensure integration into the Directorate's Service Plan	EED Leadership Team and all EED managers as appropriate.  Group Managers	Red

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## ADULT, HEALTH AND COMMUNITY SERVICES DIRECTORATE – CORPORATE GOVERNANCE ACTION PLAN

54% completed or on target

	ISSUE	ACTION	TO BE DONE BY	RESPONSIBILITY	UPDATE	DIRECTION OF TRAVEL
1.	Insufficient knowledge of main contact personnel	Publish the main named contacts and their responsibilities in Heads Up, on Intranet and by e-mail to managers and staff as appropriate	February 2008	Head of Resources	Not yet done but will be met shortly	Red  <i>Revised implementation on date: 31 January 2009</i>
2.	Insufficient knowledge of location of key policies and procedures	Identify all key documents and provide access details to managers and staff as appropriate	February 2008	Head of Resources	Not yet done but will be met shortly	Red  <i>Revised implementation on date: 31 January 2009</i>

		Feature each area separately during the year probably through Heads Up eg. Complaints, Decision-making processes	March onwards	Head of Resources	Not yet done and cannot now achieve intention across whole year	Red
3	Insufficient knowledge of Corporate Business Plan and Performance Management Framework	Ensure that all managers and staff are provided with access details as to the location of Corporate & Directorate Plans and guidance as to the Performance Reporting Framework as appropriate	May 2008	AHCS	Achieved	Green
4	Lack of reference to Corporate Governance within Directorate Business Planning	Ensure that Resources Divisional Plan includes an item linking it to this Corporate Governance Action Plan	May 2008	Head of Resources	Achieved	Green
		Consider corporate & directorate strategic risks as part of the business plan	January to March 2008	Planning Group	Achieved	Green
5	Lack of knowledge about political restrictions on posts	HR to remind staff as appropriate of this aspect of their employment contract	March 2008	AHCS	Achieved	Green
6	Lack of resource to maintain progress on corporate	Bring a report to DLT following budgetary process	April 2008	Head of Resources	Achieved but by October 2008. Implementation may be affected	Green

	governance issues				by budget issues	
7	Insufficient training for managers in key aspects of corporate governance	Develop specifications in based on those determined corporately and issue procedure for use for Management Development plan as part of Appraisals	During 2008	Corporate Working Group then Head of Resources	Achieved corporately but needs to be picked up in this directorate	Blue
8	Introduce a systematic process to identify the training needs of individual members of staff as part of the appraisal process.		1 <sup>st</sup> April 2008	AHCS	Not done yet	Red  <i>Revised implementation on date: 31 January 2009</i>
9	Develop a means of identifying training needs of non Notes users and ensure key issues, documents and contacts are made available and regularly disseminated.		1 <sup>st</sup> April 2008	AHCS	Not done yet	Red  <i>Revised implementation on date: 31 January 2009</i>
10	Identify a process to ensure circulation of key corporate		30 June 2008	AHCS	Not done yet but will be shortly	Red  <i>Revised implementation</i>

	governance contacts within the Directorate.					<i>on date: 31 January 2009</i>
11	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.		1 <sup>st</sup> April 2008	AHCS	Achieved	Green
12	Ensure there are arrangements in place to undertaken the annual register of staff interests exercise until HRMS self service elements are implemented.		Ongoing	AHCS	Achieved	Green
13	Ensure that the results of this audit are considered as		1 <sup>st</sup> April 2008	AHCS	Achieved	Green

	part of business planning process for 2008 – 2009 and incorporate any additional Directorate specific actions.					
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