

Annual Governance Statement 2018-19

SIGNIFICANT GOVERNANCE ISSUES: STATUS REPORT

The following is a summary of the status of the agreed actions that were identified to address the significant governance issues were identified and recorded on the Council's Annual Governance Statement 2018-19:

1. Governance Issue	Planned Action	Status	Comments
<p>Lack of consistent approach regarding formal succession planning for key posts and/or arrangements in place to ensure that there is an appropriate spread of skills in order to avoid over reliance on any particular individual.</p>	<p>An important part of the 2019-25 corporate business planning process is the requirement for service areas to identify and consider future organisational development requirements. This is intended to capture the future required structure, skills mix and training together with consideration of the resilience of the service. This will inform the wider resourcing review of the council's leadership and the centrally led leadership development plans. The overall framework and plans will be in place during 2019 for commencement of key programmes. An additional outcome will be an increase in apprentice training (new starts and existing staff looking for higher level qualifications).</p>	<p>COMPLETED</p>	<p>The 2019-2025 business plans, developed by service areas, included the future required structure, skills mix and training together with consideration of the resilience of the service. In turn, these plans were used to inform the 2019 Resources Review that resulted in an organisational and management restructure.</p> <p>Recent work during coronavirus lockdown has looked at skills survey for staff against critical services and Business Plans have been updated to reflect this. Lessons learned from lockdown period are to be pulled together through EMB to help understand key skills issues and identify any gaps.</p> <p>New apprentice training in place and wider take up prior to lockdown.</p>
<p>Responsible Officer: Service Director Human Resources & Organisational Development Target for completion: January 2020</p>			

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2. Governance Issue		Status	Comments
<p>The 'annual performance appraisal' ("APR") process is still not fully embedded with some inconsistencies across service areas in terms of compliance with the process.</p> <p>Although compliance has increased, the HR Log of completed staff APRs is incomplete as not all forms were submitted on-line.</p>	<p>Completed Action: A more streamlined APR process was in place for 2019/2020 under a new HR Lead and informed by feedback on previous forms and process.</p> <p>Managers were been reminded of the importance of the APR process and the need to use the on-line "auto submit" tool or to provide confirmation of completion where on-line facilities are not part of the service provision (front-line). HR will oversee and report* on compliance with the process to ensure that all staff have the correct supervision and annual appraisal meetings.</p> <p>* Reported on internally but noted also at Governance Committee in respect of discussion around APR and employee recording</p>	<p>COMPLETED</p>	<p>Further update:</p> <p>A revised Performance and Development Form and associated guidance together with a series workshops for managers were held in early 2020. The timeline for completion of 2020 APRs has been extended due to priorities of work for COVID19; Business World reporting mechanism in place for 2020 onwards.</p>
<p>Responsible Officer: Service Director Human Resources & Organisational Development</p>			
3. Governance Issue		Status	Comments
<p>The follow-up reviews undertaken by Internal Audit in respect of 'limited' or 'no assurance' audit reports issued in 2017-18 (and including any 'Priority Levels' that were assessed as being 'high risk' in other audit reports) has identified that, at the date of the follow up review, 58% of the 'agreed management actions' had not been progressed.</p> <p>The foregoing is reflected in the Internal Audit Progress Reports that are presented to the Governance Committee throughout the year and in</p>	<p>Completed Action: Internal Audit to provide reports, normally on a quarterly basis, to the Council's Executive Management Board in respect of follow up reviews on any 'limited' or 'no assurance' audit reports (or where there are critical or high risk exceptions) where the review has identified that the agreed management actions have not been implemented or otherwise satisfactorily progressed.</p>	<p>COMPLETED</p>	<p>Results of follow up work completed as at February 2020 (50%) were presented to Deputy Chief Executive, pending presentation to EMB. Subsequently placed on hold following COVID-19 outbreak. Process will be ongoing.</p>

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the Chief Internal Auditors Annual Report and Opinion.

Responsible Officer: Service Director Finance & Commercialisation

4. Governance Issue	Planned Action	Status	Comments
<p>Whilst a number of actions have been implemented in order to improve officer compliance with the Council's procurement policies, and there is some evidence that they are having a positive effect, it is too soon to for assurance to be provided that they have been fully effective in terms of modifying behaviours. It is also recognised that some further actions are planned for implementation in 2019.</p>	<p>Planned Action: Internal Audit to undertake a review of contract framework and procurement in 2019 as part of the 2019/20 Internal Audit Annual plan. This audit review will look to obtain evidence and assurance of modified officer behaviours in respect of compliance with procurement policies. The Supplier Management Team will also be carrying out ongoing monitoring and reporting to Governance Committee.</p>	<p>Outstanding</p>	<p>Review scheduled March 2020, however due to COVID-19 outbreak the audit was deferred until 2020/21. Timing to be confirmed.</p>

Responsible Officer: Service Director Finance & Commercialisation

Target for completion: December 2019