

ANNUAL GOVERNANCE STATEMENT 2016/17

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 2016-17:

	Governance Issue	Planned Action	Responsible Officer	Target Date	Status	Comments
1.	The general level of staff awareness of the existence and content of the 'Whistleblowing Duty to Act' policy, 'Anti-Fraud and Corruption Strategy' and 'Anti Money Laundering Policy' and associated responsibilities is inconsistent.	A new Induction programme is being delivered to all new entrants to SCC and an Induction Plus programme for existing staff – this includes bespoke modules for Finance and financial regulations and Legal and Democratic Services – working with the subject matter experts for content and delivery. Specific e-learning to support the policies will be added to the L and D portal during 2017.	Service Director: Human Resources & Organisational Development	Dec 2017	COMPLETED	<ul style="list-style-type: none"> • Induction in place and has been delivered to new starters and existing staff. Modules now in place for 2017/18 delivery • E-learning modules are on portal for Whistleblowing; Anti-Fraud and Corruption; Bribery; Anti Money Laundering – modules devised with subject matter expert input and are available to all through Coursebooker
2.	The Council's Code of Corporate Governance needs to be reviewed and updated in order that it is aligned with the 'Delivering Good Governance in Local Government: Framework (CIPFA/Solace, 2016)'.	The Code of Corporate Governance to be reviewed and updated to reflect current best practice	Service Director - Legal and Governance	April 2017	COMPLETED	<ul style="list-style-type: none"> • Revised Code of Corporate Governance presented to and approved by the Council's Governance Committee on 24th April 2017
3.	Information Governance - Not all staff have completed the core Data Protection and Freedom of Information training which is mandatory	This is an ongoing concern. It was raised as part of the annual 'Information Governance' report at Council Management Team and actions agreed including, as a last	Service Director - Legal and Governance	March 2018 (revised - originally Sept 17)	IN PROGRESS	<ul style="list-style-type: none"> • At the end of Q2 17-18 the overall compliance rate stands at 85% overall and reflects an improved position. • The Learning & Development team are exploring ways of

	<p>for all Council employees at induction and annually thereafter. The training made is available via e-learning together with alternative options available for those staff unable to access a computer as part of their day to day work.</p>	<p>resort, suspension of individual IT user accounts and disciplinary action.</p> <p>Equally, confidence in the core supporting data produced by HR Pay is lacking given accuracy issues. This core element must be wholly accurate before starting any disciplinary action. Part of the issue is the interface between Resourcelink and the other databases involved. This aspect is being investigated urgently by the Service Director: Human Resources & Organisational Development.</p>				<p>improving the compliance rate, including merging both mandatory DPA and FOI modules and ultimately, once we have confidence in the accuracy of the recording of the completions, systems access restrictions (or terminations) will be introduced for those not complying.</p> <ul style="list-style-type: none"> • The “target” expected by the ICO is 100% which practically is impossible to achieve. Realistically if 90% can be achieved this will make us one of the top performing authorities and is a defensible position.
4.	<p>Performance Management - Not all staff have had an annual performance appraisal. The performance appraisal process is intended to allow for priorities and objectives for the forthcoming period to be determined and agreed which, in turn, should reflect the Service / Council’s key outcomes and priorities.</p>	<p>A new Performance Management Framework has been approved and is in the process of being implemented. This new Framework is intended to ensure all staff are working to deliver the Council Strategy and other key strategies which are then translated into outcome plans, service based business plans and individual and/or team objectives. This will be delivered throughout 2017/18 taking into account the implementation of Phase 3 restructures.</p> <p>For all staff, this will be through:</p> <ul style="list-style-type: none"> • A Performance Contract for each role (linked to the job description) • Annual and quarterly targets, 	<p>Service Director – Human Resources and Organisational Development</p>	<p>March 2018</p>	<p>COMPLETED</p>	<ul style="list-style-type: none"> •The new Annual Performance review framework is in place and has been rolled out across the Council for 2017 appraisals. This includes performance contracts for all staff and goals and targets for quarterly review for the year ahead and "golden thread" links to council outcomes and behaviours. • HR Advisors sample check at management team meetings; feedback will inform 2018 revisions to process and paperwork to make more user friendly.

		<p>considered at Annual Performance Review meetings and Quarterly Performance Review meetings</p> <ul style="list-style-type: none"> • Personal Development Plans • Team meetings • Individual supervision / one to one meetings 				
5.	<p>There is need for more a formal, robust and consistent approach to succession planning, for key posts and/or a spread of skills to avoid over reliance on any particular individual.</p>	<p>Delivery of a workforce strategy and action plan is addressing the issues that are highlighted as part of the Phase 3 restructures.</p>	<p>Service Director – Human Resources and Organisational Development</p>	<p>March 2018</p>	<p>IN PROGRESS (on target)</p>	<ul style="list-style-type: none"> • The Workforce Strategy is being implemented through a comprehensive HR and OD work plan with governance through an HR OD Board. • The Org Design Board established confirmed principles for future change and this are being applied for all restructures and supported by HR Advisory service. • Workforce plan data collection now in place to help inform planning; apprentice programme in place.