

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.	Service Director: Human Resources & Organisational Development	Dec 2017	COMPLETED	Induction in place and has been delivered to new starters and existing staff. A suite of 'Essential Stuff' documents has been created which provide summarised versions of key policies that staff may need to have an awareness of. There are separate 'Essentials' documents in respect Anti-Fraud and Anti-Corruption, Anti-Money Laundering, Bribery Act and Whistleblowing'.
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	Revised Code of Corporate Governance presented to and approved by the Council's Governance Committee on 24 th April 2017
3.	Information Governance - Not all staff have completed the Data Protection and Freedom of Information training which is mandatory for all Council employees at induction and annually	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 resort, suspension of individual IT	Service Director - Legal and Governance	March 2018	COMPLETED	<ul style="list-style-type: none"> During the course of 2017-18 the two individual FOI and DPA modules were merged into a single mandatory e-learning module. The overall compliance rate stands at circa 85%. Realistically a record of 100% compliance is not likely to be

	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.	user accounts and disciplinary action. Equally, confidence in the core supporting data produced by HR Pay is lacking given accuracy issues.				possible notwithstanding that there are still some concerns around confidence in the accuracy of the recording of the completions. Management information reports will continue to be issued to highlight any non-compliance within services areas.
4.	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.	A new Annual Performance review framework was rolled out across the Council for 2017 appraisals. This new framework included 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.	Service Director – Human Resources and Organisational Development	March 2018	COMPLETED	A more streamlined APR framework has been developed following feedback from staff in 2017; this includes "golden thread" links to council outcomes and behaviours.
5.	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.	Delivery of a workforce strategy and action plan is addressing the issues that are highlighted as part of the Phase 3 restructures.	Service Director – Human Resources and Organisational Development	March 2018	COMPLETED	<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.