

**St. Helens Council**

**ANNUAL GOVERNANCE STATEMENT 2018/19**

**1.0 Scope of Responsibility**

- 1.1 St. Helens Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. The Council also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.
- 1.2 In discharging this overall responsibility, the Council is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, and which includes arrangements for the management of risk.
- 1.3 The Council approved and adopted a Code of Corporate Governance in April 2017 based on the principles in the CIPFA /SOLACE Delivering Good Governance Framework 2016. A copy of the [Code of Corporate Governance](#) is held on the Council's website.
- 1.4 This statement explains how St. Helens Council complies with the Code and meets the requirements of regulation 4(2) of the Accounts and Audit Regulations 2015.

**2.0 The Purpose of the Governance Framework**

- 2.1 The governance framework comprises the systems and processes, and culture and values, by which the Council is directed and controlled, and its activities through which it accounts to, engages with and leads our communities. It enables the Authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate services and value for money.
- 2.2 The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the Council's policies, aims and objectives; to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically.
- 2.3 The governance framework at St. Helens Council has continued to operate and will remain subject to ongoing review to ensure its operational effectiveness in the future.

**3.0 The Governance Framework**

**3.1 Overview**

- 3.1.2 The following are the key strategic elements of the systems and processes that the Council has put in place which underpin the governance arrangements and how they meet the seven

principles of effective governance as outlined in the CIPFA / SOLACE Delivering Good Governance in Local Government Framework.

### 3.2 Strategic Planning

3.2.1 The Council vision is articulated in the St Helens Council Plan 2018-20. The Plan has three primary aims and these are;

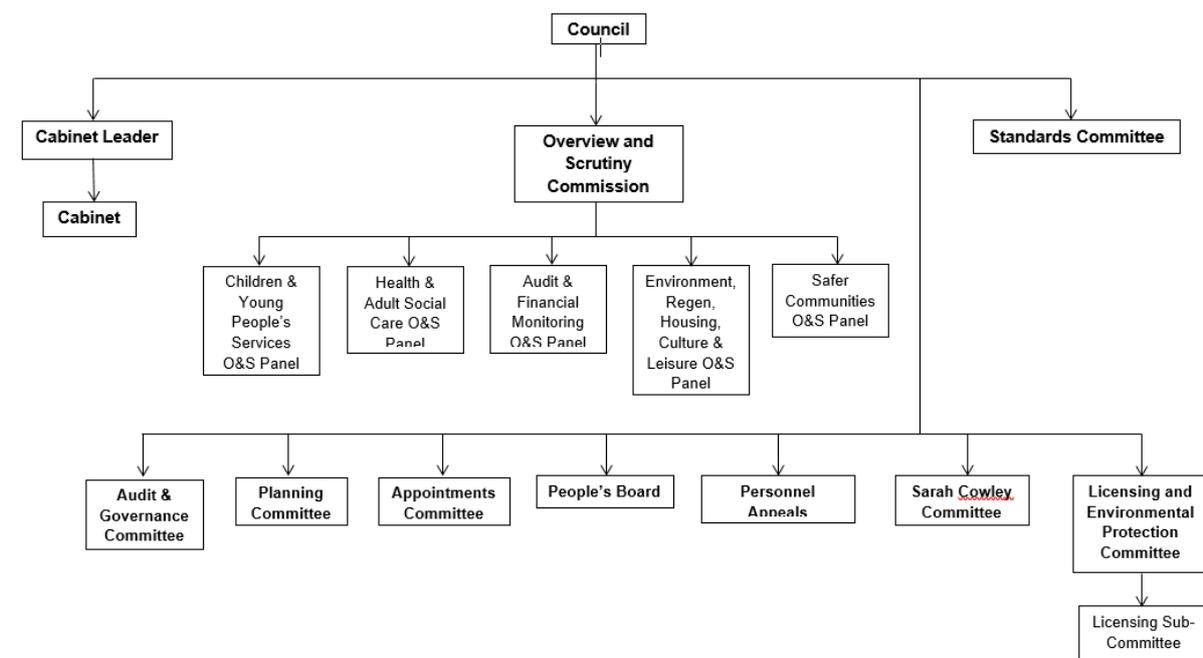
- i. Improving People's Lives
- ii. Creating a Better Place
- iii. Becoming an Adaptive Innovative Council

3.2.2 Each of the above aims contain a small number of objectives and a summary of the key programmes of activity that will be undertaken to achieve them. The Plan is supported by a suite of performance indicators and agreed targets against which the Council will measure the progress of its delivery. It is the objectives of the Council Plan which form the basis of the Council's approach to departmental service planning, with each service plan containing a series of actions specified against objectives of the Council Plan.

### 3.3 Decision Making

3.3.1 The Council has adopted and approved a Constitution that establishes an efficient, transparent and accountable decision-making structure. Member and Officer roles are clearly defined within the Constitution.

#### Democratic Structure



3.3.2 The Cabinet is the main decision-making Body. Meetings are open to the public except where personal or confidential matters are being discussed. It comprises the Leader of the

Council and Cabinet which consists of 8 portfolios that hold responsibility for the delivery of the Council Plan and its objectives.

- 3.3.3 This is supported by an effective scheme of delegation which is well understood and adhered to. These arrangements are clearly established in the Constitution and supporting documents, including financial and contract procedure rules.
- 3.3.4 The Council has an appointed Monitoring Officer and Deputy Monitoring Officer whose primary function is to ensure that the Council operates in a lawful manner.
- 3.3.5 The Council has established consultation and engagement mechanisms which enable the Council to understand the views, needs and preferences of all its stakeholders.

#### 3.4 **Scrutiny**

3.4.1 The Council has an Overview and Scrutiny Commission and 5 Scrutiny Panels which are;

- i. Audit and Financial Monitoring;
- ii. Children and Young People's Services;
- iii. Health and Adult Social Care;
- iv. Environment, Regeneration, Housing, Culture and Leisure;
- v. Safer Communities.

3.4.2 The Commission and Panels undertake an annual programme of reviews of services and performance and have the authority to request Cabinet Members and officers to attend meetings. Health and other partners are also invited to attend to review performance. Scrutiny reports and recommendations are presented to Cabinet. The scrutiny function is supported by dedicated staff resources.

#### 3.5 **Financial Management**

3.5.1 The Strategic Director of Corporate Services is the responsible Officer to the Council for the proper management of its financial affairs to meet the statutory requirements of Section 151 of the Local Government Act 1972, and complies with the requirements of the CIPFA 'Statement on the Role of the Chief Financial Officer in Local Government'.

3.5.2 Financial management has always been recognised as a strength in St. Helens and the Council's medium term financial strategy is aimed at maximising resources for priority areas, and promoting value for money to reduce in so far as possible the burden on local taxpayers.

#### 3.6 **Codes of Conduct and Policies**

3.6.1 The Council has a Code of Conduct for both Officers and Members together with a range of supporting policies and procedures including: -

- Risk Management Strategy;
- Health and Safety;
- Equalities and Diversity;
- Finance;
- ICT and Information Management;
- Procurement;
- Declarations of Interests;
- Member / Officer relationships;
- Confidential Reporting (Whistleblowing)
- Code of Recommended Practice on Local Authority Publicity;
- Anti-fraud, Bribery and Corruption.

- 3.6.2 These policies and procedures are supported with an ongoing programme of training for Officers and Members providing coverage on a wide range of topics ensuring awareness on new and developing issues.
- 3.6.3 The Council's Standards Committee seeks to promote and maintain high standards of conduct of Council Members, and meets to discuss matters of ethical standards. The Monitoring Officer provides reports to the Standards Committee in relation to the operation of the Code of Conduct and the maintenance of high ethical standards.
- 3.6.4 The Council has effective arrangements in place to ensure it is able to meet its duties in relation to the Equality Act 2010 and the Council's Comprehensive Equality Policy through the impact assessment of decisions, services and employment.

### **3.7 Performance Management**

- 3.7.1 The Council's performance management systems ensure strong links between budgets, service delivery and performance targets. Performance indicators exist to cover organisational objectives and are regularly reviewed for relevance. Three-year targets, linked to the medium-term Budget Strategy, are set annually and are approved by Cabinet.
- 3.7.2 Financial and service planning are integrated and joint financial and performance reporting ensures that resources are concentrated on achieving priority outcomes. Monthly meetings between the Strategic Director of Corporate Services and Strategic Directors of Departments are held to discuss budgets, progress against key performance measures, significant issues of service delivery and action required to address any identified concerns. Monthly Budget and Performance Monitoring Reports are presented to Cabinet and individual monthly performance briefings are provided for Cabinet Portfolio holders.

### **3.8 Risk Management**

- 3.8.1 The Council has effective risk management arrangements with commitment from Members and Officers supported by staff training. Risk management is embedded in the culture and operation of the Council. The Corporate Risk Register identifies threats and risks to the achievement of strategic priorities. Service Plans also contain an assessment of the likelihood and impact of service level risk, along with control measures. The business continuity and disaster recovery arrangements are subject to periodic review to ensure they remain current and fit for purpose.
- 3.8.2 The Safety and Risk Management Forum is a strategic group chaired by the Strategic Director of Corporate Services and attended by the Strategic Directors of Services or their nominated deputies and Senior Officers together with Trade Union and Human Resources representation, to consider occupational health, organisational safety and risk management issues.

### **3.9 Information Management**

- 3.9.1 The Council takes its Data Protection and Information Management responsibilities very seriously and has a corporate Information Management Group in place to ensure that standards, training and monitoring arrangements are robust and effective.
- 3.9.2 Information management policies governing how data is accessed and protected are regularly reviewed, and subject to consultation prior to amendments to reflect current and emerging practice. Policies have been reviewed and updated to reflect the Data Protection Act 2018 and General Data Protection Regulations (GDPR).
- 3.9.3 Transparency guidelines are monitored for levels of compliance and the information provided on the website on standard data sets is subject to regular review.

3.9.4 Agendas and minutes are published on the website together with Delegated Executive Decisions and Administrative Decisions in accordance with the Council’s Constitution.

3.10 **Workforce Planning**

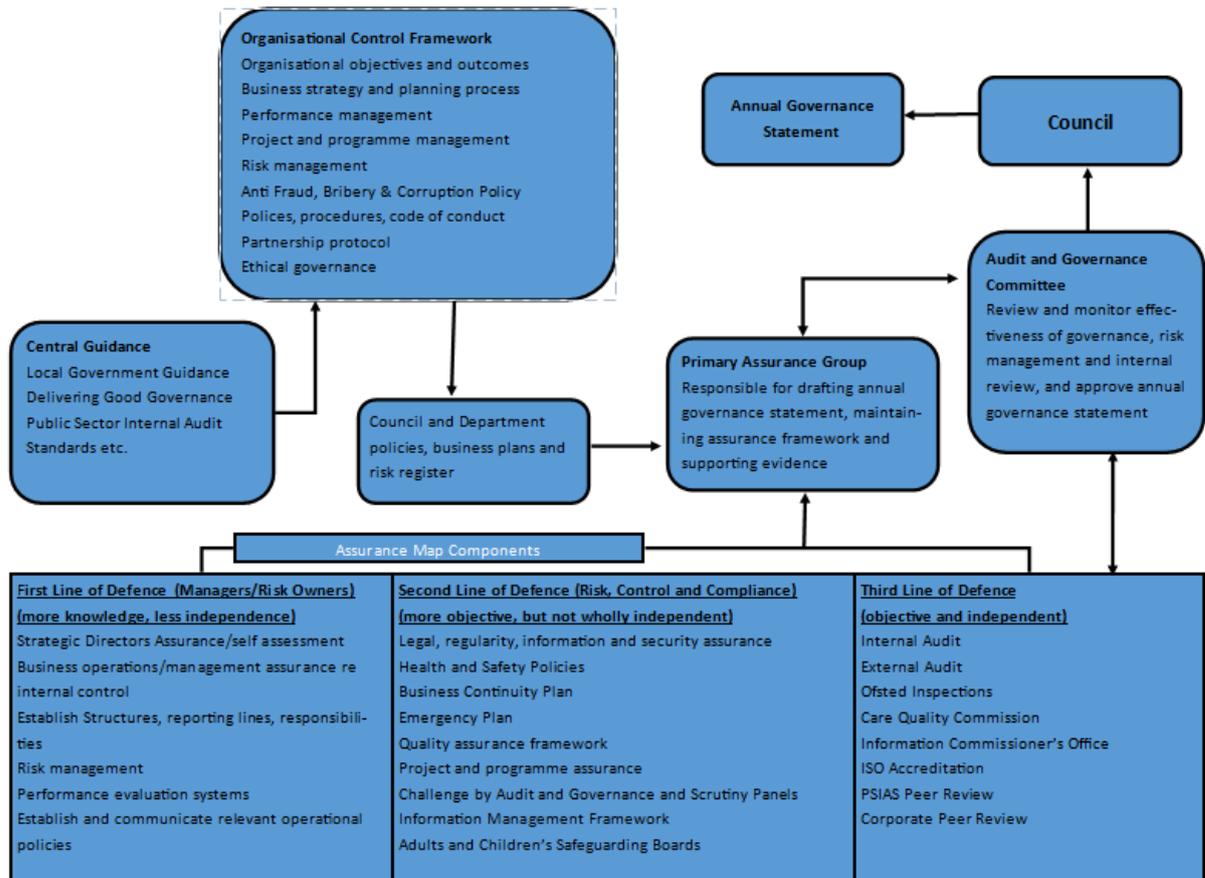
3.10.1 The Council recognises the benefits of having a committed, capable, skilled and diverse workforce. There is a requirement for workforce planning and the implications to be considered within departmental service plans.

3.10.2 The Council’s appraisal system links individual targets and performance to corporate priorities and informs the corporate training programme.

**4.0 Assurance**

4.1 The Audit and Governance Committee has a key role as the “body charged with governance” and its Terms of Reference set out the requirement to gain and monitor the necessary assurances in respect of the Council’s control, governance, financial management and reporting framework.

**Assurance Mapping**



4.2 The Assurance map above identifies the elements of the control framework and how they relate to the organisation and each of the Assurance map components.

4.3 The Strategic Directors of the Council are required, on an annual basis, to provide documented assurance as to the adequacy and effectiveness of departmental management arrangements and controls, and identify any areas for improvement.

- 4.4 The Council's complaints procedure is available to the community and complaints responses are closely monitored for quality and handling processes. The Council periodically conducts surveys to assess the levels of satisfaction with its services and their accessibility, and feeds these into service reviews.

## 5.0 The Primary Assurance Group

- 5.1 The Council has an established Primary Assurance Group chaired by the Strategic Director of Corporate Services, and includes senior representatives with responsibilities covering all elements of the governance framework.
- 5.2 A detailed annual self-assessment of the governance arrangements based on the CIPFA/SOLACE guidance identifies any risks to the Council's ability to meet its objectives and drafts the Annual Governance Statement and Action Plan for approval by the Audit and Governance Committee.
- 5.3 The remit of the Primary Assurance Group includes:
- Evaluating the Council's internal control and governance framework using a robust evidence-based methodology;
  - Consideration of assurances received from Strategic Directors;
  - Review the internal audit outturn and identification of any significant internal control issues that have implications for the Annual Governance Statement;
  - Identification of actions for improvement and monitoring of previous years' recommendations.
- 5.4 The self-assessment for 2018/19 incorporates all aspects of the CIPFA / SOLACE guidance.

## 6.0 Review of Effectiveness of Governance

### 6.1 Governance Principles

- 6.1.1 The annual review of the effectiveness of governance has been undertaken against the seven principles within the CIPFA/SOLACE framework. A detailed body of evidence is contained within a database which identifies the Core Principles, expected and actual assurance mechanisms and actions for improvement.

The core principles of good governance are as follows

- A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law
- B. Ensuring openness and comprehensive stakeholder engagement.
- C. Defining outcomes in terms of sustainable economic, social and environmental benefits.
- D. Determining the interventions necessary to optimize the achievement of the intended outcomes.
- E. Developing the entity's capacity, including the capability of its leadership and the individuals within it.
- F. Managing risks and performance through robust internal control and strong public financial management.

G. Implementing good practices in transparency, reporting, and audit, to deliver effective accountability.

6.1.2 During 2018/19 the Council has continued with its programme of organisational change and transformation to meet its future needs and aspirations and deliver its 2020 Vision. This process is continually reviewed and any impact on the governance arrangements is considered as part of decision making.

## **6.2 Core Principle A – Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.**

6.2.1 The Council's Constitution has been reviewed and updated during 2018/19 to ensure it is relevant and appropriate, and revisions have been approved by Council.

6.2.2 The Standards Committee has met as necessary throughout the year and continues to monitor the behaviour of elected members and address any areas for improvement.

6.2.3 Training on the Code of Conduct and Induction has been delivered to members and employees.

6.2.4 The Scrutiny Panels have delivered their programme of work including scrutiny of the budget process and all findings have been considered by Cabinet and responded to.

## **6.3 Core Principle B – Ensuring openness and comprehensive stakeholder engagement.**

6.3.1 Council plans and publications have been reviewed and the Council Plan for 2018-20 has established the organisational priorities and objectives which have been communicated to stakeholders.

6.3.2 Following the review of communications a comprehensive Communications Strategy has been produced which seeks to enhance all aspects of internal and external communications. Further development of our existing consultation and engagement processes has been identified and a review of this has also been planned.

## **6.4 Core Principle C - Defining outcomes in terms of sustainable economic, social and environmental benefits.**

6.4.1 The Council Plan defines its 2020 Vision, objectives and the outcomes it is seeking in relation to economic, social and environmental developments. Four longer term strategic objectives for the Borough have been agreed and are being developed through a St Helens 2030 Vision document. These are;

- Growing the Economy
- Sustainable Health and Social care
- Raising Aspiration and Ambition
- Being better connected

6.4.2 Increased financial pressures and rising demand for services, particularly to protect and care for vulnerable adults and children and young people has led to existing partnership models of delivery being expanded to introduce new models of integrated service delivery that are resilient and capable of delivering outcomes.

6.4.3 The integration of the Council and St Helens Clinical Commissioning Group (CCG) was formalised in May 2018 when the Clinical Chief Executive of the CCG was appointed

Strategic Director People's Services. The governance underpinning this arrangement is contained within a Section 75 Agreement which was approved via Cabinet in January 2019.

## 6.5 Core Principle D - Determining the interventions necessary to optimize the achievement of the intended outcomes.

6.5.1 The Budget Strategy and approved programme of budget savings have been developed to deliver a forward programme of further savings of £20.6m over the 3 year period 2017-2020. Increasing financial pressures on the Health and Care system for the Borough affirm that a wider collective response is needed to overcome the challenges and meet community needs.

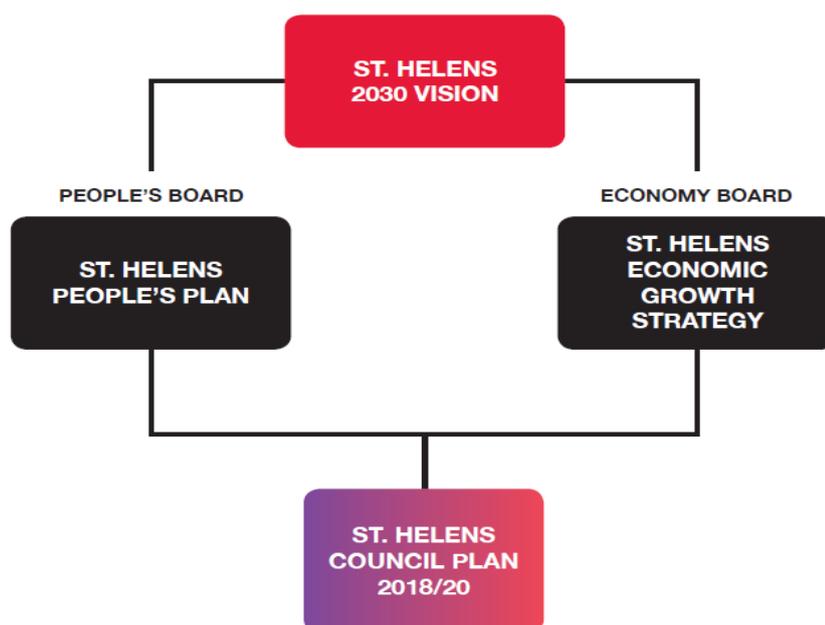
6.5.2 The 3 key elements of the work programmes to deliver this are:

- Delivering a balanced budget whilst maintaining effectiveness
- Development of the local health and care system, St Helens Cares
- Growing the economy

6.5.3 The consultation programme and forward decision-making processes have been further enhanced to develop and monitor proposals for change.

## 6.6 Core Principle E – Developing the entity's capacity, including the capability of its leadership and the individuals within it.

6.6.1 The new Council structure that was established during 2016/17 is supported by the new People's Board which has taken on the statutory responsibilities of the Health and Wellbeing Board and the Community Safety Partnership, and a new Economy Board has been established which will drive economic growth within St. Helens.



6.6.2 The capacity to deliver this ambitious work programme whilst maintaining existing strengths in governance and financial management has been considered and further revisions to the organisational structure have been implemented to mitigate the risks of failure due to capacity.

6.6.3 A recent Corporate Peer Review identified challenges in the Senior Leadership capacity to deliver this ambitious modernisation programme and further amendments to strengthen the Senior Leadership team are currently being proposed.

## **6.7 Core Principle F –Managing risks and performance through robust internal control and strong public financial management.**

6.7.1 Risk management arrangements have been enhanced during the year with more dynamic updates and reporting to Officers and Members introduced to support the changing organisational needs.

6.7.2 The Internal Audit annual outturn report has confirmed that the internal control environment was operating effectively and that there were no significant issues of concern within the Internal Audit process itself. A programme of audit recommendations to address system and operational weaknesses has been agreed and progress is monitored by the Audit and Governance Committee and Scrutiny panel. During the year there have been some issues identified with unsatisfactory progress being made, and these issues have been highlighted, and assurances sought from senior management on a robust process to implement outstanding recommendations.

6.7.3 The Council's Internal Audit Service has been subject to an external assessment and validation against the Public Sector Internal Audit Standards (PSIAs). A number of improvement actions were identified and these have been addressed during 2018/19.

## **6.8 Core Principle G – Implementing good practices in transparency, reporting, and audit, to deliver effective accountability**

6.8.1 The Audit and Governance Committee has also considered the Statement of Accounts, matters raised by the external auditor, risk management, and the arrangements for fraud, bribery and corruption.

6.8.2 The cycle of formal reporting of portfolio financial and performance information to Cabinet and Scrutiny was met, and all documents were published on the Council's website.

6.8.3 The Council's external auditors, Grant Thornton, concluded in their Annual Audit Management Letter that for the financial year 2017/18:

- i. an unqualified opinion on our financial statements;
- ii. an unqualified conclusion in respect of our arrangements for securing economy, efficiency and effectiveness in our use of resources;
- iii. an unqualified opinion on our Whole of Government Accounts submission.

6.8.4 The Council was subject to an external focused visit in July 2018 from Ofsted. The focused visit considered the Council's arrangements for children in need and children subject to a child protection plan. During this focused visit, areas of considerable weakness were identified that are placing children at risk of inadequate protection and significant harm. A number of priority actions were identified.

6.8.5 An immediate and robust Action Plan was developed, overseen by a newly created Children's Improvement Board. A subsequent focused visit in November 2018 looked at the 'Front Door' arrangements where contacts and referrals regarding concerns about children are received and actioned. Although this second focused visit raised a number of areas for development, it found that the Local Authority had taken swift action following the July visit, and the majority of children whose cases were reviewed as part of this visit receive a timely and proportionate response when they need help and support. No priority actions were identified.

The Council has committed significant additional resources to increase capacity within Childrens Services and will continue to prioritise improvements to Childrens Services.

#### 6.9 **Joint Venture Partnership**

The Council is one of two equal partners in Parkside Regeneration Limited Liability Partnership (Parkside LLP). Parkside LLP was set up in 2013 with a private sector partner with the aim of regenerating the former Parkside Colliery site.

Parkside LLP is run by a Board comprising of 6 persons of which 3 board members are nominated by the Council. Parkside LLP appoints its own independent auditors to review its annual accounts.

Whilst the board minutes of Parkside LLP remain private owing to the commercial sensitive information contained therein, questions may be submitted to the Council relating to its involvement in Parkside LLP under the Freedom of Information Act 2000.

### 7.0 Conclusion

- 7.1 It is our opinion, based on the self-assessment undertaken and the assurances provided above, that our systems of internal control and governance are fit for purpose and are in accordance with the framework.
- 7.2 The Council has identified significant governance issues within Childrens Services. A number of recent Internal Audit reports have reported limited or minimal assurance. The two focused Ofsted reviews have brought these governance issues, as well as service delivery issues and keeping children safe, to significant local prominence and improvements to Childrens Services is now a Council priority. Enhancements to existing arrangements necessary to ensure full compliance and mitigate exposure of the Council have been identified and are documented in the Children's Improvement Plan, Internal Audit reports and other associated documents.
- 7.3 Actions from the 2017/18 Annual Governance Statement Self-Assessment Action Plan in the main have been implemented with a small number of actions carried forward, where further improvement is still needed, and these have been incorporated into the 2018/19 Action Plan. This is attached at Appendix 1.
- 7.4 The Council continues to face extreme financial challenges, risks and pressures from continual grant reductions, and rising cost and demand for services. The latest financial settlement sees a further £6.2m during 19/20, with the cumulative loss of grant since 2010, over a ten-year period to 2020 of £90m.
- 7.5 The increasing demand pressures on our social care system which is already stretched means that it is increasingly difficult to meet the demands on our services. The protection of our most vulnerable, elderly persons and vulnerable children including those in care has necessitated a different approach to delivery across the locality, and for greater partnership working. This in turn demands that our governance arrangements need to be robust with clear accountabilities to our residents.
- 7.6 Our ambition around Growing the Economy is fundamental to our future financial resilience, and this approach brings new and emerging risks which need to be considered and assessed with a more commercial approach. Investment decisions for the future sustainability of the Council require robust, considered assessments, working in collaboration with our partners, and our governance arrangements will need to be transparent in this respect.
- 7.7 The completion of our assessment against the Governance framework provides a formal mechanism by which we can constantly review and plan to improve our operating

arrangements for enhanced partnership working, mitigation of financial risks, and support service redesign and economic growth.

- 7.8 The Council has a strong track record of promoting and maintaining high standards of behaviour and remains committed to seeking continuous improvement to review and strengthen the control, risk and governance environment wherever appropriate. In relation to the governance weaknesses identified in Childrens Services, a separate response with associated Action Plan has been provided. We are confident that the steps that we are taking to improve Childrens Services will address the current failings in this area. We will monitor their operation and implementation as part of our next annual review.

**Signed:** \_\_\_\_\_  
**Chief Executive**

**Date:**

**Signed:** \_\_\_\_\_  
**Leader of the Council**

**Date:**

**Self-Assessment Action Plan 2018-19**

<b>Assurance Ref.</b>	<b>Assurance</b>	<b>Action</b>	<b>Lead Officer</b>	<b>Target Completion Date</b>
<b>Core Principle - Behaving with Integrity, demonstrating strong commitment to ethical values and respecting the rule of the law.</b>				
A1.1	Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation.	To review the Members' Code of Conduct and Member/Officer Protocol for consideration by the Standards Committee and approval by Annual Council.  A further review of 'Welcome to St Helens' to take place to emphasise culture and values and also strengthen link to Council vision aims and objectives.	Deputy Director – Legal and Governance  Deputy Director – Finance and HR	30 <sup>th</sup> September 2019
A1.2	Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood.	To review the Member Induction Programme for newly elected members.	Deputy Director – Legal and Governance	31 <sup>st</sup> May 2019
A1.4	Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they operate effectively.	To revise the Complaints Policy.	Assistant Director – Service Delivery	30 <sup>th</sup> September 2019
A2.2	Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation	Review Employee Code of Conduct training (E-learning and briefings) for completion rates.  To establish focus groups to help determine Council values.  To embed within all aspects of the Organisation.	Deputy Director – Finance and HR/Senior Human Resources Manager	30 <sup>th</sup> September 2019

A2.3	Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values.	To review the Employee Code of Conduct Policy and the Recruitment Policy as part of the HR policy review schedule.	Senior Human Resources Manager	30 <sup>th</sup> September 2019
A2.4	Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with high ethical standards.	A strategy document for partnership arrangements to be produced.	Strategic Director, Corporate Services	31 <sup>st</sup> March 2020
<b>Core Principle - Ensuring openness and comprehensive stakeholder engagement</b>				
B1.1	Ensuring an open culture through demonstrating, documenting and communicating the Council's commitment to openness.	To refresh the Authority's goals and values.  To improve the website	Deputy Director – Finance and HR	30 <sup>th</sup> September 2019
B1.4	Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/course of action.	An LGA resident survey has been commissioned and further engagement to be developed throughout the year.	Head of Corporate Communications	30 <sup>th</sup> September 2019
B2.1	Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably.	The consultation and engagement activity to include a general stakeholder mapping exercise.	Head of Corporate Communications	30 <sup>th</sup> September 2019
B3.2	Ensuring that communication methods are effective, and that members and officers are clear about their roles with regard to community engagement.	Internal Communications Strategy to be implemented in 2019/20.	Head of Corporate Communications	31 <sup>st</sup> March 2020
<b>Core Principal – Defining Outcomes in terms of sustainable economic, social and environmental benefits</b>				
C1.1	Having a clear vision which is an agreed formal statement of the organisation's purpose and intended outcomes, containing appropriate performance indicators which provide the basis for the organisation's overall strategy,	To develop a new Council Plan, setting out a series of re-defined objectives and clear measures of success.	Strategic Director, Corporate Services	30 <sup>th</sup> June 2019

	planning and other decisions.			
C1.3	Delivering defined outcomes on a sustainable basis within the resources that will be available.	A review of financial and performance reporting will be undertaken to ensure the provision of clear, transparent information.	Strategic Director, Corporate Services	30 <sup>th</sup> June 2019
<b>Core Principal – Determining the interventions necessary to optimise the achievement of the intended outcomes</b>				
D2.1	Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets.	To review the Council's Corporate Planning timetable linked to the review of performance reporting which will be undertaken to ensure the provision of clearer information.	Strategic Director, Corporate Services	30 <sup>th</sup> June 2019
D2.2	Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered.	Focus Groups and Surveys to take place with Internal Stakeholders during 2019/20.  Working group ongoing on Customer Experience.	Deputy Director – Finance and HR	30 <sup>th</sup> September 2019
D2.3	Considering and monitoring risks facing each partner when working collaboratively, including shared risk.	A formal review of Risk profile to be undertaken	Deputy Director – Finance and HR	30 <sup>th</sup> September 2019
D2.6	Ensuring capacity exists to generate the information required to review service quality regularly.	To implement the Corporate Peer Review Improvement Plan. In particular to undertake a review and produce a new Council Plan, review of financial and performance reporting, and delivery of an agreed proportionate set of service plans across the Council's Directorates.  Improvement issues identified as part of the Reviews (Focussed visits) within Children's	Strategic Director, Corporate Services	30 <sup>th</sup> September 2019

		services to be monitored via the Children's Improvement Board.		
D2.7	Preparing budgets in accordance with organisational objectives, strategies and the medium-term financial plan.	To undertake a full review of the 3-year Budget Strategy during 2019-2020, linked to redefined objectives / emerging Council priorities.	Strategic Director, Corporate Services	30 <sup>th</sup> September 2019
D3.1	Ensuring the medium-term financial strategy integrates and balances service priorities, affordability and other resource constraints.	Budget setting and priorities to be reviewed for 2020/21 onwards.	Strategic Director, Corporate Services	30 <sup>th</sup> September 2019
<b>Core Principle – Developing the entity's capacity, including the capability of its leadership and the individuals within it</b>				
E1.1	Reviewing operations, performance use of assets on a regular basis to ensure their continuing effectiveness.	Asset utilisation to be considered as part of One Public Estate outputs.	Strategic Director, Place Services	30 <sup>th</sup> September 2019
E1.2	Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority's resources are allocated so that outcomes are achieved effectively and efficiently.	To be reviewed, as CIPFA benchmarking outputs are increasingly limited due to low participation.	Senior Assistant Director – Accountancy and Financial Management	30 <sup>th</sup> September 2019
E1.4	Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources.	To develop an Organisational Development and Workforce Strategy.  To review the Social Worker progression process and grading structure.	Deputy Director - Finance and Human Resources  Senior Human Resources Manager	30 <sup>th</sup> September 2019

E2.4	Developing the capabilities of members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks.	To implement the action plan from the Investors in People Assessment.	Senior Human Resources Manager	30th June 2019
E2.8	Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing	To develop a Health and Wellbeing Strategy, with the establishment of a strategic group to oversee its implementation	Deputy Director – Finance and Human Resources	30 <sup>th</sup> June 2019
<b>Core Principle – Implementing good practices in transparency, reporting and audit to deliver effective accountability</b>				
G3.3	Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations	Monitoring processes to be developed and reviewed in relation to Improvement Plans in response to Children's Inspections and Corporate Peer review.	Strategic Director, Corporate Services	31 <sup>st</sup> March 2020
G3.5	Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met.	New governance arrangements to be subject to monitoring and review.	Deputy Director – Legal and Governance	30 <sup>th</sup> September 2019
	Improved service and performance for Children's Services.	Monitoring delivery of separate detailed action plan for Ofsted improvements and governance arrangements.	Strategic Director of People's Services	31 <sup>st</sup> March 2020
	Improved governance awareness in Children's Services.	Training of managers in Children's Services and on-going support to understand and embed good governance arrangements.	Strategic Director of People's Services/ Deputy Director – Legal and Governance	30 <sup>th</sup> September 2019