

## **WIRRAL COUNCIL**

### **CORPORATE GOVERNANCE CABINET COMMITTEE**

**16 NOVEMBER 2011**

<b>SUBJECT:</b>	<b>WORK PROGRAMME PROGRESS AND ASSOCIATED ISSUES</b>
<b>WARD/S AFFECTED</b>	<b>ALL</b>
<b>REPORT OF:</b>	<b>CHIEF EXECUTIVE</b>
<b>RESPONSIBLE PORTFOLIO HOLDER:</b>	<b>COUNCILLOR STEVE FOULKES</b>
<b>KEY DECISION:</b>	<b>NO</b>

#### **1.0 EXECUTIVE SUMMARY**

- 1.1 At the meeting on 26 October, Members requested further development of the Comprehensive Work Programme. Consequently this report:
- presents Project Initiation Documents (PIDs) for prioritised areas from the programme previously considered;
  - discusses issues around how external support is to be acquired; and
  - presents an initial summary timeline for the programme.
- 1.2 This report also includes a number of other issues considered at the previous meeting, including:
- a review of Legal and Committee Services;
  - the creation of a Policy Unit; and
  - the creation of specific budgetary provision.

#### **2.0 RECOMMENDATIONS**

- 2.1 That the Cabinet Committee considers the PIDs relating to the Corporate Governance Improvement Programme and makes consequent recommendations.
- 2.2 That Cabinet Committee considers the issues around procurement of external support in relation to the Corporate Governance Improvement Programme and makes consequent recommendations to Cabinet.
- 2.3 That Cabinet Committee considers the initial summary timeline for the programme.

#### **3.0 REASON FOR RECOMMENDATION**

- 3.1 The reason for these recommendations is to respond to the findings of the AKA Report on Corporate Governance by developing a work programme to address identified weaknesses in corporate governance.

## **4.0 BACKGROUND AND KEY ISSUES**

### **Background**

- 4.1 The Council needs to develop a comprehensive work programme to strengthen corporate governance.
- 4.2 This Committee has agreed that the principles and approach adopted in developing the programme are:
- Whole systems, integrated approach to ensure step change rather than incremental
  - Led by Chief Executive
  - Project Managed with time limited tasks
  - Co-ordinated through a single point of management and reporting
  - Resourced appropriately
  - Owned by the whole organisation including Members and Officers

### **PIDs**

- 4.3 Committee requested that PIDs be developed for priorities identified within the work programme which was considered at the last meeting.
- 4.4 These are at Appendix 1, and are based on the format accepted by the Council as part of the Strategic Change Programme.

### **Resource and Procurement Issues**

- 4.5 The issue of funding the delivery of the programme, and specifically funding external support, was considered at the last meeting. Committee accepted in principle that specific resources would need to be identified, but requested that I report back on how this might be achieved.
- 4.6 An initial assessment of resources, including identification of where external support may be required, is incorporated in the PIDs. This illustrates the extent of the support which may be beneficial.
- 4.7 In terms of the process (and cost) by which such support is required, Committee needs to consider an appropriate process having due regard to probity and timeliness.
- 4.8 The Council's constitution lays down procedures to be followed in acquiring goods and services. Should specific circumstances dictate that following the Contract Procedure Rules may hinder achievement of the Council's needs then specific approval needs to be sought from Cabinet. I recommend that Committee considers this to be such an occasion.
- 4.9 The PIDs dictate that work needs to commence immediately in order to meet the completion timescale of April 2012. Information and advice needs to be sought to enable analysis and formulation of proposals: the initial summary timeline referred to in paragraph 4.12 below clearly indicates that various reports need to be considered, debated, evaluated

and explored by committees, significantly in advance of the ultimate April deadline. Some of the issues may have budgetary implications which need to be considered as part of the Council's 2012/13 budget setting process. Failure to meet these deadlines will mean that the Council will not address the corporate governance issues in a timely and effective manner; the Council may be further criticised and suffer further reputational harm.

- 4.10 Clearly there is a need to demonstrate probity, and where possible these should be demonstrated by evidence of competition. There may be instances, however, where the Council's appointed advisor in these matters, Anna Klonowski - who has extensive knowledge of the issues facing the Council, may recommend another specific advisor. It may be imperative therefore that a specific advisor is appointed: this would be subject to prudent enquiries being made by the Council – for example to ensure that there are no known conflicts of interest.
- 4.11 I recommend that Cabinet Committee considers the process detailed in Appendix 2 for the acquisition of external support in relation to the Corporate Governance Improvement Work Programme.

#### **Initial Summary Timeline**

- 4.12 Attached at Appendix 3 is a timeline which indicates the committee reports included in the PIDs.

### **5.0 RELEVANT RISKS**

- 5.1 Failure to develop and implement effectively an appropriate, comprehensive programme may mean that the weaknesses in corporate governance identified in the Corporate Governance report are not appropriately addressed. The Council may be further criticised and suffer further reputational harm.

### **6.0 OTHER OPTIONS CONSIDERED**

- 6.1 None: the programme addresses issues raised in the Corporate Governance Report.

### **7.0 CONSULTATION**

- 7.1 Opportunities for Members to review progress by engaging with officers and citizens will be included in the detailed programme which Lead Officers will develop.
- 7.2 Where appropriate, external agencies, councillors and officers from other authorities will be consulted and asked to share knowledge.

## **8.0 RESOURCE IMPLICATIONS: FINANCIAL; STAFFING; ASSETS**

8.1 **FINANCIAL:** There will be a cost to the Council if external resources to implement the programme are acquired.

8.2 **IT:** None identified at this stage.

8.3 **STAFFING:** Significant senior resources will be required to implement the programme.

8.4 **ASSETS:** None identified at this stage.

## **9.0 LEGAL IMPLICATIONS**

9.1 None identified at this stage.

## **10.0 EQUALITIES IMPLICATIONS**

10.1 None identified at this stage.

## **11.0 CARBON REDUCTION IMPLICATIONS**

11.1 None.

## **12.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS**

12.1 None.

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**Appendices:**            **1      KLOE Documents**  
   **2      Procurement Issues**  
   **3      Timeline**

## **SUBJECT HISTORY (last three years)**

<b>Council Meeting</b>	<b>Date</b>
Cabinet	22 September 2011
Cabinet	13 October 2011
Cabinet Committee	26 October 2011

## **Alignment of Corporate Planning and Budget Making Process**

### **OBJECTIVE**

To develop and implement a process which delivers a legal budget to meet Council Objectives by March 2012.

This will include:

- An agreed Corporate Plan by December 2011 to deliver priorities
- Service Plans developed and agreed by end of January 2012
- Identified services and developments for specific budget provision to achieve corporate objectives by end January 2012
- Members to be clear about the service implications during February 2012

### **APPROACH**

Review and revise existing process to take account of weaknesses and identified best practice.

### **IN SCOPE**

All Council activities

### **ASSUMPTIONS**

Any changes required will be implemented by Members and officers – e.g. (available) resource allocation will impact upon service delivery.

### **CONSTRAINTS**

- Timescales
- Resources

### **KLOE LEADS**

- Lead Officers – CX; DoF&DCX
- Manager Finance – Head of Financial Services  
Corporate Plan – To be confirmed

### **EQUALITIES ISSUES**

These will be contained within assessments undertaken within the service planning process.

## **TIMESCALES**

- Corporate Plan      Cabinet                      08/12/11  
                                 Council                      12/12/11
- Service Plans        Executive Team        26/01/12
- Budget Proposals   Cabinet                      20/02/12  
                                 Council                      01/03/11

## **COSTS AND BENEFITS**

Statutory Duty

## **KEY RISKS**

- Of failure
  - To deliver identified objectives in the Corporate Plan
  - To comply with statute and regulatory best practice
- Issues
  - Delivery                      - Resources
  - Staffing                      - Determined by Service Plans
  - Legal                         - Determined by Service Plans
  - Significant policy changes require 90 days' consultation
  - Asset Management - Determined by Service Plans

## **MEMBER INVOLVEMENT**

To be determined.

### **Note**

CX                      Chief Executive.

DoF&DCX        Director of Finance & Deputy Chief Executive.

## Review and Refresh Code of Corporate Governance

### **OBJECTIVE**

- To develop and implement a Code of Corporate Governance which is fit for purpose – enforceable, enforced, communicated, understood and which underpins the workings of a modern organisation – by April 2012.
- Ensure issues raised in the Annual Governance Statement are addressed within this process.
- From April 2012 develop and implement a review process.

### **APPROACH**

- Identify best practice from other local authorities/organisations
- Lead a critical review of effectiveness within relevant service areas
- Develop an implementation plan – including identified approval process
- Implement
- Review

### **IN SCOPE**

- All practices and policies relating to Corporate Governance (to be determined by reference to best practice).
- Implementation, communication will be developed during the project and beyond April 2012.

### **ASSUMPTIONS**

- Any changes required will be implemented by Members and officers
- Appropriate approval process is identified to permit agreement by, and implementation from, April 2012.

### **CONSTRAINTS**

- Timescales
- Approvals process
- Resources

### **KLOE LEADS**

- Lead Officers - Deputy Director of Finance
- Manager - Head of Legal Services

### **OTHER RESOURCES**

Potential engagement of external perspective – in accordance with approved procedure.

## **EQUALITIES ISSUES**

Individual policies and procedures must comply with relevant legislation and regulatory best practice.

## **TIMESCALES**

- Cabinet 02/02/12
- Council 13/02/12
- New Code in Place 01/04/12
- Stress-test effectiveness from 01/10/12

## **COSTS AND BENEFITS**

Compliance with statute and regulatory best practice.

## **KEY RISKS**

- Of failure
  - To comply with statute and regulatory best practice
- Issues
  - Delivery - Resources (Corporate services – including HR, Legal, Procurement, Financial Services, Internal Audit all will need to lead in specific areas – and service departments)
  - Staffing - As above will be involved in development, implementation and review
  - Legal - All policies must be legally compliant and enforceable.
  - IT - All documentation to be enforceable and held electronically

## **MEMBER INVOLVEMENT**

To be determined.



## Relationship between Devolved and Central Corporate functions

### **OBJECTIVE**

To identify and implement a model which defines roles, responsibilities and accountabilities of functions which are provided corporately and functions which are devolved.

The revised model, aiming at consistency and flexibility, will be in place by April 2012.

### **APPROACH**

- Identify best practice from other local authorities/organisations
- Lead a critical review of effectiveness within relevant service areas
- Develop an implementation plan – including identified approval process
- Implement
- Review

### **IN SCOPE**

The functions include:

- HR
  - Legal (interdependency with KLOE 6)
  - Procurement
  - Finance
  - Policy (interdependency with KLOE 5)
  - Communications
  - Performance (interdependency with KLOE 7)
  - Asset Management
  - Information Management and Governance
  - Information Technology
  - Health and Safety
- Scope does not include a fundamental restructure of the Council.

### **ASSUMPTIONS**

Full involvement of services at critical review stage.

### **CONSTRAINTS**

- Resources
- Timescales
- Current Policies and practices

### **KLOE LEADS**

- Lead Officers: CX; DoF&DCX; DoLHRAM
- Manager To be confirmed

## **OTHER RESOURCES**

Potential engagement of external perspective – in accordance with approved procedure.

## **EQUALITIES ISSUES**

Equality Impact Assessments will be undertaken within service delivery functions

## **TIMESCALES**

Model Agreed	Cabinet	15/03/2012
	E & A Cttee	22/03/2012

## **COSTS AND BENEFITS**

- Clarity and consistency in respective roles
- More effective working

## **KEY RISKS**

- Of failure
  - To deliver optimum effective service delivery
  - To comply with statute and regulatory best practice
- Issues
  - Delivery - Lack of departmental buy in to the process  
- Resources: all identified 'In Scope' Services will need to lead in relevant areas, involving service departments as appropriate
  - Staffing - As above: will be involved in development, implementation and review
  - Legal - All policies must be legally compliant and enforceable.
  - IT - All documentation to be enforceable and held electronically

## **MEMBER INVOLVEMENT**

To be determined

### **Note**

CX	Chief Executive.
DoF&DCX	Director of Finance & Deputy Chief Executive.
DoLHRAM	Director of Law, HR and Asset Management.
E & A Cttee	Employment and Appointments Committee

## Review of Internal Audit

### **OBJECTIVE**

- To provide a fit for purpose Internal Audit Service - both in terms of planned work and skills availability,
- to which management responds,
- thereby strengthening the corporate governance of the Council, and
- consequently enhancing service delivery.

Any revision to how the Internal Audit Service operates will be in place by April 2012.

### **APPROACH**

- Identify best practice from other local authorities/organisations
- Lead a critical review of effectiveness within relevant service areas
- Develop an implementation plan – including identified approval process
- Implement
- Review

### **IN SCOPE**

The workload and structure of Internal Audit: this will include other areas identified beyond current Audit Plan, such as

- Corporate Performance – systems, interpretation and use of data.
- Governance – on-going role to ensure compliance with systems and that systems and policies are appropriate.
- Risk Management – ensuring culture is embedded in the Council, and particularly that risks and emerging risks are clearly identified.
- Counter Fraud – an increasing area of risk
- Identification, dissemination and reporting of good practice across the Council.
- Corporate Planning - links from corporate to service planning
- Effectiveness and appropriateness of strategies.

### **ASSUMPTIONS**

- Any changes required will be implemented by Members and officers
- Preferred solution is compliant with statutory and best practice regulation.

### **CONSTRAINTS**

- Resources
- Timescales
- Current Policies and practices

## **KLOE LEADS**

- Lead Officer DCX/DoF
- Manager DDoF

## **OTHER RESOURCES**

Engagement of external perspective – in accordance with approved procedure.

## **EQUALITIES ISSUES**

Any decisions taken must take account of the Council's Equalities Duty.

## **TIMESCALES**

- External perspectives of the workload, organisation and structure of Internal Audit to identify possible improvements reported to:
  - CGC 07/12/11
- Proposals
  - CGC 18/01/12
  - A&RM 25/01/12
  - E & A Cttee 30/01/12 or 22/03/12
  - Cabinet 02/02/12 or 20/02/12

## **COSTS AND BENEFITS**

Statutory responsibility, but also enhanced control for Management of the Council, including Members.

## **KEY RISKS**

- Of failure
  - To comply with statute and regulatory best practice
  - To enhance control environment
- Issues
  - Delivery - Resources
  - Staffing - Will be involved in development, implementation and review

## **MEMBER INVOLVEMENT**

To be determined.

### Note:

DoF&DCX Director of Finance and Deputy Chief Executive  
DDoF Deputy Director of Finance

## Review of Policy

### **OBJECTIVE**

To identify and implement a fit for purpose model for a Council Policy Unit by April 2012.

### **APPROACH**

- Identify best practice from other local authorities/organisations
- Consideration and clarification of the precise role and responsibilities of the Policy Unit taking into account perspectives from all Council Departments.
- Develop an implementation plan – including identified approval process
- Implement
- Review

### **IN SCOPE**

All aspects of a policy function in a large local authority. These may include the following principles: forward looking, outward looking, innovative, flexible, joined up, inclusive, evidence based, evaluated, reviewed.

### **ASSUMPTIONS**

- A Policy Unit would be an integral part of the Council's Performance Management Framework. (Interdependency with KLOE 3).
- Resources may already exist, or can be developed, within the Council.
- Service Departments actively contribute to the development.

### **CONSTRAINTS**

- Resources – to be delivered in the first instance through secondment of existing staff.
- Timescales

### **KLOE LEADS**

- Lead Officer                      Chief Executive
- Manager                              To be confirmed

### **OTHER RESOURCES**

Potential engagement of external perspective – in accordance with approved procedure.

### **EQUALITIES ISSUES**

Any decisions taken must take account of the Council's Equalities Duty.

## **TIMESCALES**

- Cabinet 15/03/12
- E & A Cttee 22/03/12

## **COSTS AND BENEFITS**

- Greater ability of the Council to
  - plan for the medium and long-term;
  - co-ordinate and review the impact of policy
  - ensure inclusivity in the policy making process.

## **KEY RISKS**

- Of failure
  - To deliver enhanced policy-making and review process, which underpins effective service delivery.
- Issues
  - Delivery - Resources

## **MEMBER INVOLVEMENT**

To be determined.

Note:

CX Chief Executive

**Review of Committee Services including a Review of Committee Reports over the last Three Months**

**OBJECTIVES**

- To implement transparent decision making based on appropriate information, in a timely manner
- To provide the most appropriate committee services support to the democratic process of the Council

**APPROACH**

- Identify best practice from other local authorities/organisations
- Lead a critical review of effectiveness within relevant service areas
- Develop an implementation plan – including identified approval process
- Implement
- Review

This approach will be applied to three separate but related phases of the review. Given the timescales, these will have to run concurrently.

- Review of the decision-making processes
- Review of Committee Service to support the above
- Review of committee reports to identify weaknesses and potential improvements

**IN SCOPE**

- Competence of committee reports placed before Members for consideration
- Delegation to Members and officers
- Appraisal of the forward planning process
  
- Scope does not include the democratic structure of the Council, although the project may well provide observations to the Democratic Working Party.

**ASSUMPTIONS**

- Involvement of Members and service departments
- Any changes required will be implemented by Members and officers
- The different phases of this project can be run concurrently

**CONSTRAINTS**

- Timescales
- Resources

## **KLOE LEADS**

- Lead Officer DoF&DCX
- Manager HoLS

## **OTHER RESOURCES**

Engagement of external perspective – in accordance with approved procedure.

## **EQUALITIES ISSUES**

Any decisions taken must take account of the Council's Equalities Duty.

## **TIMESCALES**

- Proposal to Cabinet 02/02/12
- Consideration by Council 13/02/12 or 23/05/12

## **COSTS AND BENEFITS**

- More effective use of scarce resources
- Effective, transparent, decision-making based on evidence and consultation

## **KEY RISKS**

- Of failure
  - To improve the decision-making process of the Council
  - To comply with statute and regulatory best practice
  - Potential for continuing criticism of /Council decisions
- Issues
  - Delivery - Resources  
- Member buy-in
  - Staffing - Will be involved in development, implementation and review
  - Legal - All policies must be legally compliant and enforceable.
  - IT - Underpinning recording and information processes will be IT based.

## **MEMBER INVOLVEMENT**

To be determined.

### Note:

DoF&DCX Director of Finance and Deputy Chief Executive  
HoLS Head of Legal Services



## Review of Performance (Corporate)

### **OBJECTIVES**

1. Develop, implement and embed an effective, measurable corporate performance management process and culture which integrates service and financial outcomes, is consistent with corporate objectives, and which enables responsible Members and officers to be held to account.
2. Identify and implement an effective corporate performance management framework which enables responsible Members and officers to be held to account.

### **APPROACH**

For each strand:

- Identify best practice from other local authorities/organisations
- Lead a critical review of effectiveness across all service areas
- Develop an implementation plan – including identified approval process
- Implement
- Review

This approach will be applied to the two separate but related strands of the project. These will run concurrently.

### **IN SCOPE**

1. All information from, and which underpins, the Corporate Plan. This includes Service Plans.
2. Any activity undertaken by, or on behalf of, the Council.

### **ASSUMPTIONS**

- Engagement of Members and service departments
- Any changes required will be implemented by Members and officers
- The different strands of this project can be run concurrently

### **CONSTRAINTS**

- Timescales
- Resources

### **KLOE LEADS**

- Lead Officer CX/DCX
- Managers HoHR  
SCPM

## **OTHER RESOURCES**

- Potential engagement of external perspective – in accordance with approved procedure.
- Opportunity to learn from NHS Wirral

## **EQUALITIES ISSUES**

Any decisions taken must take account of the Council's Equalities Duty.

## **TIMESCALES**

Any revised processes to be implemented from April 2012.

1. Approval	Cabinet	15/03/12
• Q3 2011	Cabinet	02/02/12
• Q4 2011	Cabinet	02/06/12
• Q1 2012	Cabinet	July 12
2. Approval	E&A	30/01/12 or 22/03/12
	Cabinet	15/03/12

## **COSTS AND BENEFITS**

- More effective management of scarce resources
- Effective mechanism for monitoring delivery of Council Objectives
- Effective process for benchmarking Council performance

## **KEY RISKS**

- Of failure
  - To monitor effectively the implementation of the Council's objectives
  - To comply with regulatory best practice
  - To manage effectively the scarce resources of the Council
  - To benchmark the Council's performance against 'best in class'
- Issues
  - Delivery - Resources
  - Staffing - Member and staff buy-in
  - Legal - Will be involved in development, implementation and review
  - Legal - All policies must be legally compliant and enforceable.
  - IT - Underpinning recording and information processes will be IT based.

## **MEMBER INVOLVEMENT**

To be determined

### Note:

HoHR            Head of Human Resources  
SCPM           Strategic Change Programme Manager

## **Equalities**

### **OBJECTIVES**

To ensure that the Council meets best practice in respect of equalities and diversity legislation, in all areas of activities including policy development, service delivery, community needs and recruitment.

### **APPROACH**

- Identify best practice from other local authorities/organisations
- Lead a critical review of effectiveness within relevant service areas
- Develop an implementation plan – including identified approval process
- Implement
- Review

### **IN SCOPE**

- Workforce issues and all Council services

### **ASSUMPTIONS**

- Involvement of all Departments
- Involvement of Elected Members
- Development of more robust approach to Equality Impact Assessment

### **CONSTRAINTS**

- Timescales
- Resources

### **KLOE LEADS**

- Lead Officer      Chief Executive  
                                  Head of Communications and Community Engagement
- Manager            Corporate Equality and Cohesion Manager

### **OTHER RESOURCES**

- Use of Corporate Equalities Group and Departmental Equalities Groups
- Potential engagement of external perspective – in accordance with approved procedure.
- Equalities and Human Rights Commission

### **EQUALITIES ISSUES**

Any decisions taken must take account of the Council's Equalities Duty.

## **TIMESCALES**

- Cabinet – 15/03/12

## **COSTS AND BENEFITS**

- Improve social outcomes for Wirral residents

## **KEY RISKS**

- i) Failure to meet legal obligations
- ii) Legal challenge
- iii) Reputational risk

## **MEMBER INVOLVEMENT**

To be determined.

## **Fees and Charges**

### **OBJECTIVES**

- To implement a comprehensive schedule of fees and charges for all appropriate Council services commensurate with law, the Council's Constitution, accepted best practice and Council objectives.
- To review the schedule on an annual basis.

### **APPROACH**

- Identify best practice from other local authorities/organisations
- Lead a critical review of current practice within relevant service areas
- Develop an implementation plan – including identified consultation and approval process
- Implement
- Review

### **IN SCOPE**

- All Council activities unless otherwise precluded from charging by law.
- Scope does not include political decision-making.

### **ASSUMPTIONS**

Comprehensive information relating to law and best practice is readily available.

### **CONSTRAINTS**

- Timescales
- Resources

### **KLOE LEADS**

- Lead Officer DoF&DCX
- Manager To be confirmed

### **OTHER RESOURCES**

- Chief Officers responsible for reviewing charging within their service areas.
- Potential engagement of external perspective – in accordance with approved procedure.
- Merseyside authorities' review.

### **EQUALITIES ISSUES**

Any decisions taken must take account of the Council's Equalities Duty.

## **TIMESCALES**

Report to A&RM 13/03/12

## **COSTS AND BENEFITS**

A transparent policy and process which underpins income and service delivery within the Council, compliant with legal and best practice regulations.

## **KEY RISKS**

- Of failure
  - To ensure the Council maximises its income, commensurate with Council objectives, the Council Constitution and the law.
  - To hold officers and executive to account
- Issues
  - Delivery - Consultation; Member buy-in
  - Resources - Overall financial context
    - Ability to deliver policy within budget and service planning framework
  - Legal - All policies must be legally compliant and enforceable.

## **MEMBER INVOLVEMENT**

To be determined.

Note:

A&RM Audit and Risk Management Committee

## **Member Capacity**

### **OBJECTIVES**

To ensure that elected Members:

- Understand the roles and responsibilities of Members and officers
- Are equipped to undertake their roles and responsibilities effectively; this includes as individual portfolio holders and as collective executive authority.

### **APPROACH**

Commission external trainer/mentor to work with elected Members, in order to:

- Identify best practice from other local authorities/organisations
- Lead a critical review of effectiveness within relevant service areas
- Develop an implementation plan – including identified approval process
- Implement
- Review

### **IN SCOPE**

- Any Member activity within the Council

### **ASSUMPTIONS**

- That the Council's Constitution and Code of Corporate Governance are an appropriate framework.

### **CONSTRAINTS**

- Timescales/Member availability
- Resources

### **KLOE LEADS**

- Lead Officer CX
- Manager Specific Commission

### **OTHER RESOURCES**

Engagement of external trainer/mentor – in accordance with approved procedure.

### **EQUALITIES ISSUES**

Any decisions taken must take account of the Council's Equalities Duty.

## **TIMESCALES**

This project should commence immediately and run in parallel to the other KLOEs.

## **COSTS AND BENEFITS**

Better skilled and informed leadership of the Council.

## **KEY RISKS**

- Of failure
  - To exercise democratic responsibilities effectively and appropriately within the Council Constitution and the law.
  - To hold officers and executive to account
- Issues
  - Delivery - Member buy-in; appropriateness/ability of external trainer/mentor
  - Legal - All policies must be legally compliant and enforceable.

## **MEMBER INVOLVEMENT**

To be determined.

### Note:

CX Chief Executive



### **Procedure for recruiting external assistance to support the Corporate Governance Improvement Programme**

Outlined below are a number of steps which must be complied with in the recruitment of external assistance. The financial limits to which this process applies will be agreed by Cabinet.

1. A Project Initiation Document (PID) comprising the:
  - a. Scope of the document
  - b. The objectives to be achieved
  - c. The external benchmarks and information to be sought
  - d. The methodology for the review including proposed member involvement
  - e. The project timelines
  - f. Resource requirements including skills, abilities and experiences of those employees or external support required
2. The Chief Executive and Deputy Chief Executive will be asked to approve the requirement for external support. If approved, the Programme Lead Officer will move to the next stage.
3. Three CVs, or statements of skill, ability and experience, from differing organisations or - where the work is of sufficient scale - three bids from organisations, must be sought. These bids may be invited in writing. In all cases, one of these organisations will be the Local Government Group.
4. As time is of the essence for the Corporate Governance Improvement Programme, all organisations will be required to submit CVs/bids within 7 working days of the requirement being sent out. Those which cannot meet this deadline will be rejected.
5. The CVs or bids will be evaluated on relevance of skills, abilities and experience to the Corporate Governance Improvement Programme together with value for money and a recommendation will be made by the project team to the Chief Executive within 3 days of receiving the submissions for approval.
6. There may be instances, however, where the Council's appointed advisor in these matters, Anna Klonowski - who has extensive knowledge of the issues facing the Council, may recommend that a specific advisor is appointed. In such cases – where it is not possible to demonstrate competition - this would be subject to prudent enquiries being made by the Council – for example to ensure that there are no known conflicts of interest.
7. In all cases, appointments of external support, with appropriate details – including costs, will be reported to the next available Cabinet Committee.

## INITIAL SUMMARY TIMELINE

<b>Date</b>	<b>Committee</b>	<b>KLOE Report</b>
7 December 2011	Corporate Governance	4: Internal Audit
8 December 2011	Cabinet	1: Corporate Plan
12 December 2011	Council	1: Corporate Plan
18 January 2012	Corporate Governance	4: Internal Audit
25 January 2012	Audit & Risk Management	4: Internal Audit
30 January 2012	Employment & Appointments	4: Internal Audit 7: Performance Management
2 February 2012	Cabinet	2: Code of Corporate Governance 6: Committee Services
8 February 2012	Corporate Governance	
13 February 2012	Council	2: Code of Corporate Governance 6: Committee Services
20 February 2012	Cabinet	1: Budget Proposal 4: Internal Audit
29 February 2012	Corporate Governance	
1 March 2012	Council	1: Budget
13 March 2012	Audit & Risk Management	9: Fees and Charges
15 March 2012	Cabinet	3: Corporate/Devolved Functions 7: Performance (Corporate) 7: Performance (Management) 8: Equalities 5: Policy
21 March 2012	Corporate Governance	
22 March 2012	Employment and Appointments	3: Corporate/Devolved Functions 5: Policy
11 April 2012	Corporate Governance	