

## Corporate Governance Statement Action Plan 2010/11

<b>Assistant Chief Executive (Corporate Governance) 2009/10 Actions</b>		
<b>Improvement Activity</b>	<b>Progress</b>	<b>Due for Completion</b>
Establish a framework of Directorate and professional lead officer assurances as part of the appraisal process.	A framework of assurances has been established for governance lead officers. Further consideration is being given to the value of and potential extent of a directorate based assurance framework.	To be confirmed
<b>Assistant Chief Executive (Corporate Governance) 2010/11 Actions</b>		
<b>Improvement Activity</b>	<b>Progress</b>	<b>Due for Completion</b>
Review the Council's internal control arrangements to ensure that they are proportionate to its risks.	To initiate this work a report will be presented to the November meeting of the committee outlining the challenges arising from the Comprehensive spending review.	September 2011
Consideration will be given as to how failure to update a sub-delegation scheme may be escalated to prompt compliance. Directors' assurance templates may also add value in this area if introduced, as they could include the arrangements in place to ensure that Sub-Delegation Schemes are up to date.	Escalation arrangements have been introduced from the Head of Governance Services to the relevant Director/Chief Officer and where necessary to the Assistant Chief Executive (Corporate Governance). The Head of Governance Services provides an overview of arrangements to ensure that sub delegation schemes are in place for those with direct and concurrent delegations. Updates to sub delegation schemes are required when new Directors/Chief Officers are appointed or when acting arrangements are introduced. A review is also required after each Annual Council Meeting.	Completed.
Better alignment is required of the Financial Procedure Rules, Contracts Procedure Rules, Executive Procedure Rules and decision making framework.	Work has commenced between the Assistant Chief Executive and relevant Chief Officers.	March 2011
The guidance for report authors needs to be updated to advise authors on the duties to which they need to have regard	The guidance to report authors and the report templates for reports to committees is in the process of being reviewed. Core cities and local comparator authorities are being evaluated with a view to	January 2011

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such as exempt information and arguments to support the public interest test.	revised guidance being available in the new year.	
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<b>Assistant Chief Executive (Planning, Policy and Improvement) 2009/10 Actions</b>		
<b>Improvement Activity</b>	<b>Progress</b>	<b>Due for Completion</b>
Complete audit of consultation activity and staff capacity in community engagement, and develop action plan as appropriate.	<p>Audit of staff consultation capacity was completed June 2009 but has been superseded by DECATS auditing during 2010.</p> <p>A gap analysis has been completed of the council's strategic arrangements for engagement (of all kinds, not just consultation) was commenced in August 2010. This sets our current arrangements for engaging communities against a range of criteria set by CIPFA, the Equality Framework, Compact for Leeds and other sources. This work now needs to involve the Corporate Consultation Group and develop recommendations on the ways to address the identified gaps.</p> <p>Options for improved support arrangements for delivery of consultation work exist but this will be linked to the outcomes of the gap analysis as described above.</p>	<p>November 2010</p> <p>Late 2010</p>
Review of the Community Engagement Strategy	To follow the outcome of the gap analysis work above to reflect any new arrangements.	Early 2011
Research to understand what we do well and what needs improving when we communicate with and consult residents	Joint Project Board consisting of council and PCT members. Survey element completed end August 2010. External funding was not forthcoming so the project scope has been revised. The focus group elements of work to follow up the survey results has been completed. Report due to go to Strategic Planning and Policy Board in Nov 2010.	Nov 2010

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<b>Chief Officer( Leeds Initiatives and Partnerships) 2010/11 Actions</b>		
<b>Improvement Activity</b>	<b>Progress</b>	<b>Due for Completion</b>
<p>The Vision for Leeds, Leeds Strategic Plan and Council Business Plan will be reviewed and revised during 2010/11. In addition the Performance Management Framework will be reviewed to strengthen partnership performance management arrangements.</p>	<ul style="list-style-type: none"> <li>• A draft Vision has been developed with an overall vision statement and three underpinning aims. A public-facing consultation approach for the Vision has been agreed a variety of methods developed to engage a broad range of audiences. This will launch in Sept and run until Dec.</li> <li>• Proposals for changes to the planning framework, partnership structures and performance management framework are also being developed and discussed. The aim is to ensure better alignment and to strengthen the partnership delivery and performance management role. The role and function of the key plans is currently being debated with key stakeholder.</li> <li>• At the same time work is also on-going to develop the priorities for these plans building on the challenge event on the Leeds Strategic Plan (LSP) held in June and consultation on the new Business Plan. These priorities are still being developed and are due to go to CLT and Partners in November. These proposals will go to Scrutiny in Jan/Feb with the final plans being ready for the new financial year.</li> </ul>	<p>Completion date April 2011</p> <p>Next update Dec 2010</p>
<p>Arrangements to secure data quality are not fully embedded and complied with, therefore work will continue to raise awareness of the importance of data quality. The development of the Data Quality Management Framework in 2010/11 will provide a mechanism for</p>	<ul style="list-style-type: none"> <li>• New data quality audit arrangements were implemented at Q1 for the key performance information used in corporate and partnership accountability processes. This ensured that the DQ traffic light reported against each indicator has a more robust basis. Audit and improvement work is now focused on the indicators where there are concerns. In addition a review of corporate performance indicators was undertaken as a result of</li> </ul>	<p>Next update Dec 2010</p>

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<p>monitoring data quality going forward.</p>	<p>the removal of CAA and the freedom this provided. Data quality was taken into account as part of the decision about which PIs to continue reporting at a corporate level.</p> <ul style="list-style-type: none"> <li>• DQ Management Framework has been developed and is being tested and reviewed prior to approval. However work has already started to implement these principles in our key systems. DQ issues are currently being identified in each system and an action plan for improvement developed.</li> </ul>	
<p>Better co-ordination of consultation and engagement through the development of a Council wide forward plan of activities and developing the role of the Consultation Group</p>	<p>The consultation group is fully constituted and reports to Strategic Planning and Policy Board, and to the partnership wide Leeds Strategic Involvement Leads (LSIL) group.</p> <p>An initial council wide forward plan has been developed using information from 2010-11 service plans. 380+ separate consultation projects are currently scheduled, but, this does not cover all services and key information is still missing especially the dates, spend and staff hours per project. A report on this work is due to go to Strategic Planning and Policy Board in November.</p> <p>All this work is linked to a similar partnership mapping exercise through the Strategic Involvement Group (SIG).</p>	<p>Completed</p> <p>November 2010</p> <p>Ongoing</p>

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<b>Chief Officer (Financial Management) 2010/11 Actions</b>		
<b>Improvement Activity</b>	<b>Progress</b>	<b>Due for Completion</b>
Development of a new Medium Term Financial Plan to reflect the changed financial climate facing the Council. To be reviewed in Summer/Autumn 2010 in line with the review of the Council's Business Plan	High level Strategy prepared for Exec Board on 13 <sup>th</sup> October. New MTFP on schedule to be approved by full Council in February 2011.	February 2011
Financial Procedure Rules to be reviewed and modernised.	Initial scoping of review commenced. Detailed plan still to be developed.  Initial scoping of the review will determine the implementation and review dates.	Officer group established and initial scope and actions agreed.  April 2011 target completion date
Improved financial reporting and accountability, including the roll out of the new FMS projections module.	The new FMS projection module went live in June 2010. High level of completion by budget holders. Customer satisfaction survey currently being developed.  Review of budget reporting in Adult Social Care has been undertaken.  Improvements in budget monitoring for property maintenance actioned.	Full review of the module to be completed in the next quarter.  Proposed changes have been implemented  Completed

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	<p>Confirmation now being sort as to whether there are any further areas not monitored through FMS.</p> <p>Reviews of information supplied to DMTs linking financial and activity data now built into Heads of Finance appraisals.</p>	<p>December 2010</p> <p>Ongoing</p>
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<b>Chief Officer (Human Resources) 2009/10 Actions</b>		
<b>Improvement Activity</b>	<b>Progress</b>	<b>Due for Completion</b>
Review safeguarding arrangements and develop and implement action plan to address findings.	In light of the coalition government's review of arrangements regarding the implementation of ISA, a further review has taken place on the impact of the proposals in Leeds. Part of these proposals is to consult management teams for discussion. Feedback from these discussions will form the basis of a further report to CLT in November.	November 2010
Regular review of the employee Register of Gifts and Hospitality and Register of Employee Interests to evaluate effectiveness of administrative arrangements and to provide guidance for Directors/Chief Officers on reviewing their returns.	The processes supporting the Register of Gifts & Hospitality and Register of Interests were reviewed in 2009 and again in 2010. Improvements to the processes have been identified and are being implemented.  Revised guidance notes have been drafted and will be distributed in late 2010 to coincide with the updating of the officer code of conduct and the scheduled collation of declaration of interests (November 2010).	Process of Annual Review in Place
Ensure processes are in place so that employees can flag potential conflicts of interests to demonstrate that employees of the Council are not influenced by prejudice, bias or conflicts of interest when taking decisions.	Amendments to the Officer Code of Conduct have been discussed informally with Trade Union reps. Trade Unions have verbally indicated that they are comfortable with the changes and will be able to endorse the changes once an EIA is completed. Register of interest process has also been reviewed.	Process of annual review in place
Procure Self Service Provider	BSC currently in final stages of process to procure a supplier to deliver managers desk/top/employee self service.	November 2010
Implement Self-Service.	The first project team meeting has taken place. Phased delivery and roll-out due to commence in April 2011, projected completion date September 2011.	September 2011



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Develop Leadership and Management training /briefings.	A new framework contract has been established with QA to deliver Leadership & Management training following the success of this training in 9/10.	Complete
Review the extent to which the Council's Appraisal Framework is embedded within Services.	Review complete of how well councils appraisal framework is embedded. Review complete – led to actions below.	Complete
<b>Chief Officer (Human Resources) 2010/11 Actions</b>		
<b>Improvement Activity</b>	<b>Progress</b>	<b>Due for Completion</b>
Leeds Manager Project	Briefings on key policies for managers have been completed. The Leeds manager Project is being established and is due to formally commence as a project by the end of the year.	December 2010
Undertake a light touch review of the Officer Code of Conduct and introduce the amended version during 2010.	Amendments to the Officer Code of Conduct were signed off by trade unions at CNG on 28 October 2010.	Complete
Communicate Register of Interest and Gifts & Offers of Hospitalities.	Processes reviewed, improvements being implemented, due to be communicated by end of year.	December 2010
An audit of employment policies will be undertaken to establish whether they are fit for purpose, effectively communicated and embedded and routinely complied with. A rolling programme will also be developed to ensure that managers can effectively operate employment policies.	A schedule of all People Management policies and procedures has been established which lead officers actively update. This is to be reviewed through quarterly Head of HR accountability meetings.  Rolling programme of review of appropriate policies to be agreed with Heads of HR at accountability meetings.	December 2010
Appraisal completion rates to be monitored and reported on	Recording and reporting on completed appraisals is now taking place using SAP.	Complete
HRBP's work with services to achieve	Appraisal completion rates used by HRBP's to increase the number	December 2010

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Business Plan appraisal completion.	of appraisals completed and recorded.	
An independent review of health and safety suggested that a number of improvements were required to ensure arrangements are current and fit for purpose. Action Plan is required to address the identified issues.	<p>Health and Safety Team structure has been reviewed and is being implemented. H&amp;S project established.</p> <p>Three year H&amp;S strategy has been drafted and a strategy board is being set up to address recommendations.</p>	In progress, plans in place

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<b>Chief Procurement Officer 2010/11 Actions</b>		
<b>Improvement Activity</b>	<b>Progress</b>	<b>Due for Completion</b>
Training will be provided to officers who are involved in procurement activities to ensure a consistent approach, and to increase awareness of legal updates and the Remedies Directive.	Access to training, both CPR's and the Certificate of Competency modules, is available on an open basis with the sessions held on a periodic basis. Specific bespoke training is now taking place in 2010 within Adult Social Care, Children's Services and ICT with the other directorates receiving such training on a rolling basis during 2011. A Remedies Directive Masterclass was held on 24 <sup>th</sup> March 2010 which was open to all Directorates.	Ongoing
There is no proactive monitoring by the Procurement Unit to confirm whether Contracts Procedure Rules are currently being complied with by Directorates. Therefore, procedures and reporting guidelines will be developed and implemented to address this.	Plans are in place to develop a strategy for pro-active monitoring of CPRs. Reference has already been made in draft Contract Management Guidance for the need to comply with CPRs. However, we are looking at using the contracts diary and off-contract spend information to establish a process of "spot checks" for compliance with CPRs. In this regard, it may be appropriate for a report to be brought to the Legal and Procurement Decisions Group detailing proposed Directorate spend over the forthcoming 6 months along with the results of any spot checks made.	To be completed 30 <sup>th</sup> November 2010

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<b>Chief Officer (Audit and Risk) 2009/10 Actions</b>		
<b>Improvement Activity</b>	<b>Progress</b>	<b>Due for Completion</b>
Embed formal risk management into significant partnerships and engage partners in directly inputting to shared risk registers.	<p>Registers housed on the new risk management software will be accessible by external partners subject to the signing of appropriate information sharing / access rights agreements.</p> <p>The software is now in its final testing stage and pilots are expected to begin Dec 10 / Jan 11.</p> <p>Internal Audit has carried out a central review of partnership risk management to provide assurance on Governance Services' Partnership toolkit and Governance Framework for significant partnerships and also monitoring and compliance arrangements. The recommendations made are being addressed by the Head of Governance Services with, as yet, no specific actions from Risk Management Unit.</p> <p>Governance Services' review in 2009 indicated that 39% of our significant partnerships may not have formal risk management processes in place. (14% responded 'N/A', 39% 'No'.) The RMU will therefore focus its work over the next 2 years on these.</p>	Review January 2011
Ensure risk assessments within reports for key decision-making are consistent and of a scaleable level of rigour in accordance with the significance of the decision.	<p>The Principal Risk Management Officer has held initial discussions with the Head of Governance Services as this improvement activity forms part of a wider piece of work to revise the reports for decision-making template and associated guidance.</p> <p>The RMU has carried out a benchmarking exercise with the Core City local authorities on risk assessments within decision-making. The findings should then be used to inform revisions to the LCC</p>	Review January 2011

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	<p>template and guidance.</p> <p>In addition to this work, the RMU has incorporated 'risks within reports for decision-making' in its training provided to CGAC and Executive Board members and will add this guidance to the revised members' induction packs later in the year.</p>	
Roll-out of risk management software across Council, with training for all users	<p>As noted above, the RM software is in its final phase of testing. The RMU then has several major pieces of work to do before the pilots can begin. The RMU is still aiming to roll out the system from April 2011 but this is dependent on staffing capacity and the success of the pilots.</p>	Review January 2011
<b>Chief Officer (Audit and Risk) 2010/11 Actions</b>		
<b>Improvement Activity</b>	<b>Progress</b>	<b>Due for Completion</b>
The Council needs to ensure that it has a corporate and systematic approach to securing value for money as a contribution to the Council's response to economic pressures.	<ul style="list-style-type: none"> <li>• Further refinement of the medium term financial strategy.</li> <li>• The VfM interest area on the intranet was launched.</li> <li>• Internal Audit and business analysts have been engaged on a number of projects across the Council, notably Adult Social Care, Streetscene and Changing the Workplace.</li> <li>• The VfM alert service has been set up.</li> <li>• Work has started on the review of support functions identified as part of the DECATS process, from which £68m of savings has been included in the medium term financial strategy.</li> <li>• Internal Audit VfM studies nearing completion; emerging findings would indicate significant potential for efficiencies.</li> </ul>	Review April 2011

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<b>Chief Officer (Business Transformation) 2010/11 Actions</b>		
<b>Improvement Activity</b>	<b>Progress</b>	<b>Due for Completion</b>
<p>Policies to govern the management and secure handling, storage, disposal, and sharing of information assets are not yet current and fit for purpose. The Government Protective Marking Scheme, new Records Management Facility and the Electronic Document and Records Management System will be rolled out over the next 12 months. Key policies will be in place by March 2011.</p>	<p>Protective Marking now part of Information Governance project. Government Protective Marking Scheme workshop for Information Compliance Officers and Records Managers to be undertaken on 7<sup>th</sup> December.</p> <p>Following policies to be signed off by Information Governance Management Board on 11<sup>th</sup> November:                      Protective Marking &amp; Asset Control;                      Clear Desk &amp; Clear Screen;                      Removable Media &amp; Mobile Computing;</p> <p>Acceptable Use Policy is out for initial consultation;</p> <p>Information Security Policy is currently being reviewed.</p> <p>Information Sharing policy in initial draft – going out for consultation w/c/ 1<sup>st</sup> November.</p> <p>Information Assurance Sub-Group established – Terms of Reference agreed and workplan being developed.</p> <p>Records Managers group established – Terms of Reference agreed and workplan being developed.</p> <p>Potential training options for information compliance identified.</p>	<p>Policies to be signed off by end of 2010</p>

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	<p>West Yorkshire Information Sharing Protocol adopted by Council.</p> <p>Internet Usage Rules being updated – will go to Information Governance Management Board for agreement.</p> <p>Social Networking Policy being developed by Corporate Communications.</p> <p>Procurement of Electronic Document and Records Management System has been significantly delayed in the past 12 months as a result of a number of changes in procurement rules. However, these have all been addressed in the past year and we have now completed the Evaluation exercise and identified the preferred supplier. During November 2010, work will continue to finalise the business case and engage the supplier on Phase 1 delivery.</p> <p>Policies on Scanning, Legal Admissibility and Email Management require input from Electronic Document and Records Management System supplier and will be started as soon as Electronic Document and Records Management System contract is awarded.</p> <p>A decision about the future of the Records Management Facility is linked to the outcome of the business case for Changing the Workplace to be considered at Executive Board (August 2010).</p> <p>In light of decision undertaken at Executive Board, an options paper for the Records Management Facility and an interim solution, is to be considered by the Assistant Chief Executive (Planning, Policy &amp; Improvement) in early November 2010.</p>	
<p>The Information Governance Framework is not fully embedded across the Council, therefore it will be reviewed and aligned</p>	<p>The Information Governance Framework is currently being reviewed.</p>	<p>Expected that all will be complete by March 2011</p>

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<p>with the Information Assurance Maturity Model and the Security Policy Framework, and a communications plan will be developed.</p>	<p>An Information Assurance strategy is being developed which is aligned with the Information Assurance Maturity Model and Security Policy Framework (Draft ready by Sept 2010). Initial assessment of Information Assurance Maturity Model has been undertaken - tactical plan for achieving level 1 and strategic plan for developing higher levels of maturity have yet to be developed. Communication plan will be developed as part of Information Governance Project (Dec 2010).</p> <p>Draft Information Assurance Strategy going out for initial consultation w/c 1<sup>st</sup> November.</p>	
<p>Arrangements are not currently in place to ensure that information assets are identified and risk managed, therefore an Information Asset Register will be created, Information Risk Management and Information Sharing Policies will be drafted and a report will be prepared setting out proposals for the Assistant Chief Executive (Planning, Policy and Improvement) to adopt the role of Senior Information Risk Owner.</p>	<p>Report prepared for Corporate Leadership Team on Information Assurance and to endorse Asst CX (Planning, Policy &amp; Improvement) as Senior Information Risk Owner.</p> <p>Risk Management Regime will be developed once Information Assurance Strategy agreed.</p> <p>Senior Information Risk Owner role adopted by Asst Chief Exec (Planning, Policy &amp; Improvement) (June 2010).</p> <p>Initial compilation of Information Asset Register will be complete w/c 1<sup>st</sup> November. Work will then be undertaken to identify key information assets, Information Asset Owners and potential risks. Information Asset Register will be used to develop information risk management regime.</p> <p>Information Sharing Policy in initial draft. Information Risk Management Policy yet to be drafted (2010/11). Corporate ICT leading on the development of Information Incident Management policy, to be signed-off by Feb 2011.</p>	<p>Expected that all will be complete by March 2011</p>



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<b>Chief Officer (Legal, Licensing and Registration) 2010/11 Actions</b>		
<b>Improvement Activity</b>	<b>Progress</b>	<b>Due for Completion</b>
A planned realignment in legal services will free-up senior officer time to increase the effectiveness of arrangements to communicate statutory obligations to relevant decision makers.	Draft proposals have been issued for consultation with affected staff.	March 2011

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<b>Head of Governance Services 2009/10 Actions</b>		
<b>Improvement Activity</b>	<b>Progress</b>	<b>Due for Completion</b>
Implement programme of training to assist Leeds City Council members, Parish and Town Councillors, and certain officers with understanding the new Members' Code of Conduct (anticipated sometime in 2009)	Awaiting clarification, to be provided in the decentralisation and Localism Bill to be published in October, as to whether a National Members' Code of Conduct is to be retained. Awaiting publication of new Code.	Awaiting the localism bill
Review of the suite of Local Codes and Protocols to assess their relationship with the Members' Code of Conduct and the appropriate avenue for dealing with breaches of such protocols.	The review is in progress, a key part of which is consultation with the Member Management Committee. The outcome of the review is due to be reported to Standards Committee in 2010. The review is in progress, a key part of which is consultation with the Member Management Committee. The outcome of the review is due to be reported to Standards Committee early in 2010.	Originally March 2010 but with the uncertainties around the future of the national Members Code of Conduct, now deferred until the outcome of the localism.
<b>Head of Governance Services 2010/11 Actions</b>		
<b>Improvement Activity</b>	<b>Progress</b>	<b>Due for Completion</b>
Review of the processes involved in delegated decision making and the	A further review of the guidance notes will follow once the work being undertaken by the ACE (Corporate Governance) and Chief	Pending outcome of review

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related guidance notes to ensure that they are fit for purpose	Officers from Finance and Procurement to better aligned procedure rules has concluded.	
There is no communication plan in place for the responsibilities set out in Parts 2 and 3 (Sections 1-4) of the Constitution, therefore a plan will be developed and implemented, particularly aimed at more clearly communicating Member, Committee and officer responsibilities	Work is underway to document a communication framework. This will provide for a number of differing communication methods to be utilised which will be targeted to a variety of audiences.	January 2011
To increase awareness of the role and responsibility of lead officers for significant partnerships and the low take-up of training on partnership governance, new lead officers will be advised of their role and responsibilities as soon as their partnership is added to the register, and they will be invited to training at least annually. An offer will also be made on a regular basis to attend DMTs to provide training, and Directors will be advised of training for lead officers to encourage take-up.	New lead officers are now advised of their role and responsibilities as soon as their partnership is added to the register. Lead Officers are also now invited to training at least annually.  Further to this an offer will also be made on a regular basis to attend DMTs to provide training, and Directors will be advised of training for lead officers to encourage take-up.	Completed
A communication plan will be developed to increase awareness of all Leeds City Council Members of the local assessment process.	A broad range of communication tools have been established with individual members, group whips and group leaders. These are in the process of being brought together and documented in a communication plan.	Completed August 2010

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<b>Performance Manager 2009/10 Actions</b>		
<b>Improvement Activity</b>	<b>Progress</b>	<b>Due for Completion</b>
Continue to monitor Service Plans and Area Delivery Plans to ensure they are aligned to the Leeds Strategic Plan and Council Business Plan.	<p>As reported above the planning framework is currently being reviewed.</p> <p>A review of the service planning guidance and templates is underway with a view to simplifying and giving services more flexibility in terms of the corporate requirements.</p>	Update in Nov 2010