

Appendix 1 - Corporate Governance Framework Action Plan

Red - No started Amber - In progress Green - Complete

Improvement Area from AGS	Responsibility	Timescale	Progress	RAG Status
Significant Governance Issues form the Annual Governance Statement 2012/13				
Strategic HR needs to implement improvements following an adverse Internal Audit report.	Head of Strategic HR	December 2013	Head of Strategic HR & Head of Internal Audit provided separate progress report to Corporate Governance Committee 4 September 2013	Amber
We need to improve our information governance, management of information assets and the way we train employees and elected members in Data Protection and Freedom of Information requirements.	Head of Business Planning & Performance	April 2014	<ul style="list-style-type: none"> Reviewed Data Protection training and rolling out Developed Information Risk Policy, ready to launch Progressing roll out of EDRMS Corporate Filing programme 	Green
Governance Principle 1 - Focusing on the purpose of the Council and on outcomes for the community and creating and implementing our medium and long term vision				
We still have work to do to develop how we will deliver some of our corporate priorities	Head of Business Planning & Performance	n/a	<ul style="list-style-type: none"> Progressed as far as possible. Priorities expanded upon, with proposed outcomes, actions etc. Progress being monitored in performance reports. Economic Ambition Strategy developed and will soon be agreed 	Green
We need to improve co-ordination of the various self-assessments that we carry out.	Head of Business Planning & Performance	31/01/14	To be discussed with Head of Internal Audit services to agree a new approach for the 2013/14 self-assessment and Annual Governance Statement.	Amber
Within our financial planning, we need to develop a more strategic approach to the efficiency programme for the difficult years ahead.	Head of Finance & Assets	n/a	<ul style="list-style-type: none"> Three workshops a year with members programmed on financial planning. SLT session in November 2013 to look at 2015/16 and beyond. 	Green
Heads of Service are developing new service standards to improve customer service further.	Head of Customers & Education Support	31/03/14	<ul style="list-style-type: none"> Not all services have robust standards in place as yet. Will be subject to Internal Audit review during 2013/14 	Amber

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We still have work to do to improve how we manage customer complaints.	Head of Customers & Education Support		<ul style="list-style-type: none"> • The policy has been revised and re-launched with officers, elected members and the public. • Procedures are in place to record and monitor complaints in all services and further work has to be done to analyse and use the information to review service delivery. • Will be subject to Internal Audit review during 2013/14 	Amber
The configuration of Denbighshire's strategic partnerships is not yet right and requires further work.	Head of Business Planning & Performance	n/a	We have now discontinued CYPP and HSCWB partnerships and the main groups reporting to them. Instead we have a Single Strategic Partnership Board supporting the LSB. No further rationalisation is planned.	Green
We need to re-launch our partnership framework to make sure that everyone is aware of it and uses it.	Head of Business Planning & Performance	n/a	Partnership framework launched on Intranet and issued to SLT to cascade. No further action planned.	Green
We are improving our procurement strategy, systems and processes to achieve more financial savings.	Head of Finance & Assets	31//03/14	<ul style="list-style-type: none"> • Re-writing procurement strategy. • Members of National Procurement Service and Welsh Purchasing Consortium. • Developing e-sourcing and e-invoicing. • Undertaking KPMG procurement health check. • Draft Contract Procedure rules at consultation stage. • Developing four counties procurement project and category management project. 	Amber
We are strengthening the service performance challenge process for 2013.	n/a	n/a	New process now in place and service challenges commenced. No further action planned.	Green
We will continue our work to fully embed programme and project management into our culture.	Head of Business Planning & Performance	n/a	This is an on-going process but is now well established, with several officers trained in project management, use of Verto to record projects and regular reporting to CET. No further action planned.	Green

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Governance Principle 2 - Members and officers working together to achieve a common purpose with clearly defined functions and roles				
We are developing a performance management framework for elected members.	Cabinet Lead Member for Modernising & Performance	31/03/14	<ul style="list-style-type: none"> There is an annual report from Scrutiny to Full Council on the performance of Scrutiny. Work is on-going in respect of the framework for reporting on the activities of members in other forums. 	Amber
While we now have a partnership framework, we need to make sure that all current partnerships meet its requirements.	Head of Business Planning & Performance	n/a	This will be covered during Internal Audit work on partnerships on a regular basis.	Amber
We need to review the role of the S151 Officer to ensure that it meets recommended standards and good practice.	Head of Internal Audit Services	March 2014	Internal Audit review being prepared to measure S151 role against CIPFA guidance. Likely to be completed during autumn 2013.	Amber
Governance Principle 3 - Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour				
We need to update our anti-fraud and corruption policy.	Head of Legal & Democratic Services	January 2014	The policy remains to be reviewed. An updated policy will be presented to Corporate Governance Committee in January 2014	Amber
We are updating our Financial Regulations.	Head of Finance & Assets	31/12/13	Draft version being reviewed with Chief Accountant.	Amber
We are undertaking a self-assessment to ensure that the Corporate Governance Committee operates effectively as an audit committee.	Head of Internal Audit Services	December 2013	Assessment postponed from July 2013 to September 2013 Committee meeting. Action plan will be developed from outcome by December 2013.	Amber
Governance Principle 4 - Taking informed and transparent decisions, which are subject to effective scrutiny and managing risk				
We need to promote our scrutiny function among our stakeholders and provide further training for elected members. We will also implement any improvements arising from a recent peer review.	Head of Legal & Democratic Services	March 2014	<ul style="list-style-type: none"> The results of the WAO review of Scrutiny will be fed back at an event in Cardiff on 28 November. The Constitution Review Group will meet to discuss the findings of the review and any changes required to assist public engagement. 	Amber

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Our Corporate Self-assessment recognised some improvements needed in risk management and we will implement these and any additional issues arising from the recent Internal Audit review.	Head of Business Planning & Performance	n/a	All improvements in risk management now implemented and further work on-going on risk appetite.	Green
We will update Internal Audit's Charter and carry out a self-assessment of the service to ensure that it complies with the new Public Service Internal Audit Standards.	Head of Internal Audit Services	March 2014	Internal Audit Charter updated and approved by Corporate Governance Committee. Self-assessment planned for later in 2013.	Amber
We are strengthening our research and intelligence functions to be more proactive in the way that we consider the external environment to support decision-making and strategic planning.	Head of Business Planning & Performance	n/a	Research and development team now in place and working effectively. No further action planned.	Green
We are updating our Whistleblowing policy.	Head of Legal & Democratic Services	December 2013	The revised draft Policy has been the subject of consultation with trade unions and will be placed before Council in December 2013 for approval.	Amber
Governance Principle 5 - Developing the capacity and capability of members and officers to be effective				
We need to do more to improve the flexibility of our workforce to enable us to use them in the areas of greatest need.	Head of Strategic HR	n/a	<ul style="list-style-type: none"> After some initial research, the Modernisation Board decided that this was no longer viable, and the project to introduce job families and look at peaks and troughs in demand was stopped. Employees who find themselves at risk of redundancy are redeployed where possible. 	n/a
We are developing a new training programme for elected members based on a needs assessment.	Cabinet Lead Member for Modernising & Performance	January 2014	<ul style="list-style-type: none"> Members have held a workshop to discuss training needs and a survey of members' requirements has been conducted. The results of this process will be analysed and a training programme produced to reflect members' needs. 	Amber

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There is still work to do to ensure that officer performance appraisals are completed at least once a year.	Head of Strategic HR	March 2014	<ul style="list-style-type: none"> Improvements have been made to the performance appraisal system to improve functionality and reporting accuracy. The completion rates of performance appraisals now forms part of the quality assurance provided to the Service Challenge panel for each service. 	Amber
Governance Principle 6 - Engaging with local people and other stakeholders to ensure robust public accountability				
We need to make sure that our employees are fully aware of the requirements of equalities legislation.	Head of Business Planning & Performance	31/03/14	<ul style="list-style-type: none"> Respect Booklet launched. Will be subject to Internal Audit review in January 2014. 	Amber
The Consultation & Engagement Strategy needs to become embedded in our service delivery.	Head of Business Planning & Performance	n/a	Work on this is continuing and is being supported through the roll out of The Denbighshire Way and the LSB engagement strategy.	Green
We will roll out the Denbighshire Volunteering Strategy.	Head of Strategic HR	To be agreed	Funding has been secured for 12 months to roll out the strategy. Recruitment is currently underway for the post	Amber
We need to further improve the way we engage with business groups.	Head of Business Planning & Performance	n/a	Work is progressing through the Economic Ambition Strategy.	Green