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# Annual Governance Statement

## 2011-12

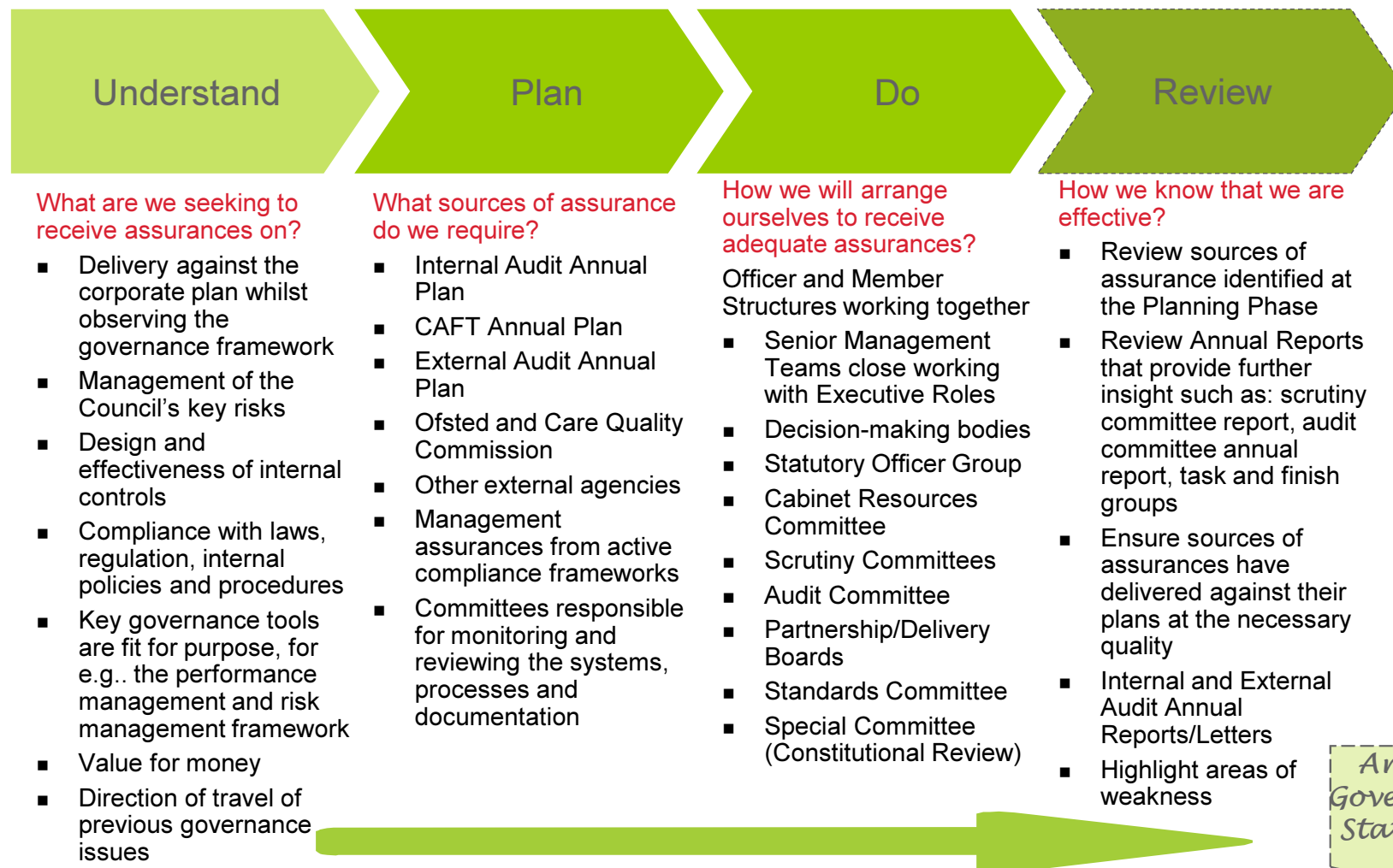
### 1. Scope of Responsibility

- Barnet London Borough Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded, 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 economy, efficiency and effectiveness.
- In discharging this overall responsibility the Council is also responsible for putting in place proper arrangements for the governance of its affairs and facilitating the effective exercise of its functions including the management of risk.
- Barnet London Borough Council has approved and adopted a code of corporate governance, which is consistent with the principles of the CIPFA/SOLACE Framework delivering Good Governance in Local Government. This statement explains how the Council has complied with the code and also meets the requirements of regulations 4[2] of the Accounts and Audit Regulations 2003 as amended by the Accounts and Audit Regulations 2006 in relation to the publication of a statement of internal control.
- The Director of Corporate Governance completed his biennial review of the Code of Corporate Governance during 2010-11. The Code of Corporate Governance is included within Part 5 of the Constitution.

## 2. The Purpose of the Governance Framework

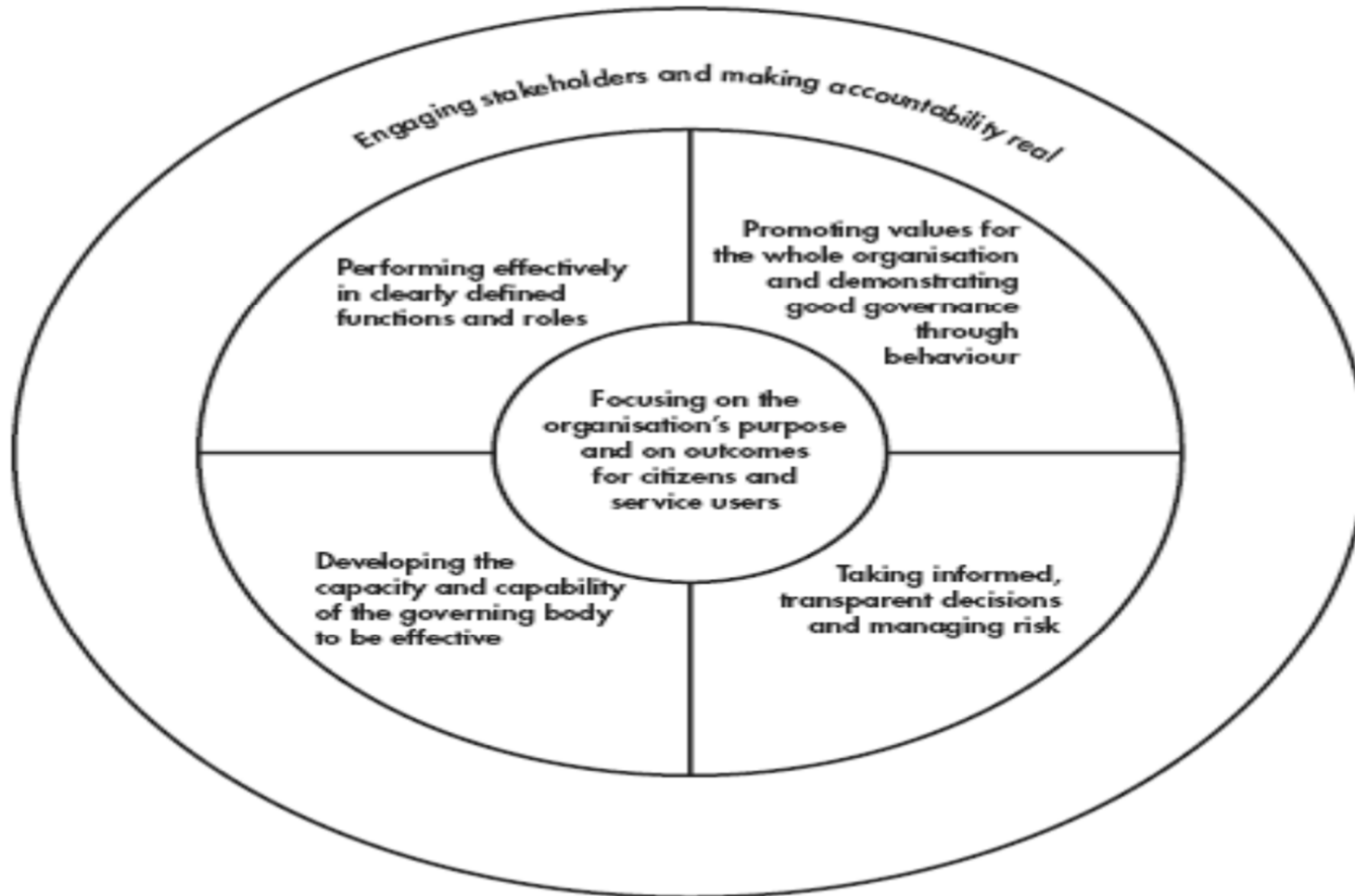
- The governance framework encompasses the systems and processes, culture and values, by which the authority is directed and controlled and its activities through which it accounts to, engages with and leads the community. It enables the authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost-effective services.
- 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 achievement of London Borough of Barnet 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.
- The governance framework has been in place within Barnet London Borough Council for the year ended 31st March 2012 and up to the date of approval of the annual report and accounts.

# Assurance Cycle



### 3. The Governance Framework

- The Councils governance environment is consistent with the six core principles of the CIPFA/SOLACE framework, within each principle we have identified the sources of assurance.



Principle	Description of Governance Mechanisms	Assurances received
<b>1. Identifying and Communicating the Council's Vision and Purpose</b>	<ul style="list-style-type: none"> <li>Members, working with officers, have developed a clear vision of their purpose and intended outcomes for citizens and service users:</li> <li>The One Barnet Sustainable Community Strategy sets out the ten year vision for the borough</li> <li>One Barnet Partnership Board works to the shared vision and oversees the other delivery boards that are tasked with leading on specific themes in the Strategy</li> <li>The Corporate Plan expresses the vision and priorities of the council and this has been communicated to residents, service users, partners and other stakeholders</li> <li>Delivery Boards: Safer Communities Board, Children's Trust Board, Health and Well Being Board continue to meet and are leading the development of integrated services around specific themes</li> <li>The Council uses different performance measures (quality, outputs, value for money, customer satisfaction) to give an overview of council performance and stimulate improvement</li> <li>A new governance structure around Partnerships and Partnership Boards was approved by Cabinet in February 2012.</li> </ul>	<ul style="list-style-type: none"> <li>Performance Management Framework – information is published quarterly against the corporate priorities and targets and reported through Cabinet Resources Committee subject to call in by scrutiny committees</li> <li>Externally reported data: Government Single Data List, London benchmarking and LGG Inform benchmarking available to support performance reporting</li> <li>We publish strategic and service data online to enable residents to hold us to account</li> <li>Internal Audit Plan linked to the overall objectives of the Council and the risks to their achievement</li> <li>Employee Annual and Half-year review process linked to the Council's objectives</li> <li>Governance paper on Strategic Partnerships, Cabinet February 2012</li> </ul>



Principle	Description of Governance Mechanisms	Assurances received
<b>2. Members and officers working together to achieve a common purpose with clearly defined functions and roles</b>	<ul style="list-style-type: none"> <li>Elected Members are collectively responsible for the governance of the Council. Decision making and scrutiny of these decisions has been separated through the executive arrangements introduced by the Local Government Act 2000.</li> <li>The Constitution includes a statement on the roles of the Executive and clarifies the Scheme of Delegation in place.</li> <li>Statutory Officers are also documented within the Constitution. The Chief Executive (Head of Paid Service) is documented in the Constitution and works with Members and Strategic Directors to deliver the council's themes.</li> <li>Role of the Chief Finance Officer (s.151 officer), as documented in the constitution, has responsibility for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and maintaining an effective system of internal financial control</li> <li>The Monitoring Officer is in place and, in accordance the Constitution, is responsible for ensuring agreed procedures are followed and that all applicable statutes and regulations are complied with.</li> <li>Formal procedures and rules govern the Council's business: Constitution, Scheme of Delegation, Financial Regulations, Contract Procedure Rules</li> <li>The Special Constitution Review Committee is in place to monitor and agree changes to the Constitution, making recommendations to full council.</li> <li>Published Pay Policy 2012/13 in place in accordance with the Localism Act section 38 (1) and the Remuneration Committee has been set up for 2012/13 whose remit will be the review of pay and pay policy</li> <li>General Functions Committee continues to be in place whose remit it is to review conditions of service and appointments</li> <li>Arrangements exist within services and corporate performance to evaluate value for money. Benchmark information is collated and reported quarterly along with an overall corporate value for money indicator.</li> </ul>	<ul style="list-style-type: none"> <li>Internal Audit Annual Report satisfactory assurance over the fundamental and key financial systems however limited assurance over system of internal control</li> <li>Monthly Statutory Officer reporting receiving internal and external sources of assurance</li> <li>Performance reporting through the Budget and Performance Overview and Scrutiny Committee on a quarterly basis provides information regarding value for money</li> </ul> <div> <p>Weaknesses identified within Internal Audit Annual Report:</p> <ul style="list-style-type: none"> <li>Contract management/compliance</li> <li>Data quality</li> <li>Data protection</li> <li>Processes that focus on outcomes</li> </ul> </div>

Principle	Description of Governance Mechanisms	Assurances received
<b>3. Values of Good Governance and Standards of Behaviour</b>	<ul style="list-style-type: none"> <li>The Council recognises that good governance is underpinned by shared values demonstrated in the behaviours of its Members and staff.</li> <li>On online staff survey assisted the Council in deciding the four core values of the Council, these were launched in 2011. The values are intended to shape the culture and define the character of the organisation now and into the future. The values are positioned at the core of all we do, guiding our decision making and informing our behaviour.</li> <li>The Director of Corporate Governance is the Monitoring Officer and is responsible for ensuring that the Council acts in accordance with the Constitution</li> <li>Directors have the primary responsibility for ensuring that decisions are properly made within operations of the Scheme of Delegation</li> <li>Standards of conduct and behaviour expected of Members and officers exist and are communicated and training programmes were in operation during the year to support good governance</li> <li>Arrangements are in place for Members and Officers to manage conflicts of interest</li> <li>Performance management framework is in place to embed values with staff</li> <li>Standards Committee was in place during the year</li> <li>There are plans for the values to be reflected within partnerships with private, public and voluntary sector bodies.</li> <li>The council has published its strategic equality objective as being 'our commitment is that citizens will be treated equally, with understanding and respect, have equal opportunity with other citizens; and receive quality services provided to Best Value principles'. These will be delivered through three corporate priorities which will act as the Barnet Standards : reducing disadvantage, promoting community cohesion, and delivering our values.</li> </ul>	<ul style="list-style-type: none"> <li>Values Awards Nomination Panel made decisions on who embodied the Values Awards</li> <li>Monitoring Officer reports to Statutory Officer Group</li> <li>Standards Committee minutes and decisions</li> <li>Minutes and Decisions of all Committees observed by Monitoring/Deputy Monitoring Officer</li> <li>Half-yearly and Annual Performance Review RAGG ratings for staff, explicitly linking to achievement of objectives</li> <li>Equalities Impact Assessments carried out for the 2011-12 and 2012-13 budget proposals, this was achieved without legal challenge</li> <li>Member training and development programme provides assurance that skill and capability is focussed on annually.</li> </ul>





Principle	Description of Governance Mechanisms	Assurances received
<b>4. Making transparent decisions which are subject to scrutiny and risk management</b>	<ul style="list-style-type: none"> <li>The Council has processes in place to demonstrate that decision makers followed due process, the decisions were properly documented and was taken having regard to all relevant considerations</li> <li>The Scrutiny function is in place to challenge policy development and performance and to be a 'critical friend' to the Executive. The Scrutiny function is supported by Task and Finish Groups and Scrutiny Panels, who comprise 5 elected councillors who work together to undertake in-depth reviews of a service, policy or issue of concern to local people</li> <li>Decision making is supported by adequate risk management arrangements, with the Risk Management Strategy and Policy Statement reviewed annually by the Audit Committee and approved by the Cabinet Resources Committee.</li> <li>Arrangements exist for the consideration of assurances from the Council's major partners/providers.</li> <li>Corporate Risks are considered quarterly by the Cabinet Resources Committee, Audit Committee and officer groups. Operational day to day risk management exists at an officer level with lead member involvement at trigger points.</li> <li>The Council's arrangements for providing economy, efficiency and effectiveness are reviewed by the external auditors on an annual basis. Their Annual Audit Letter provides a summary of the activity undertaken during the year.</li> <li>The Council is complying with minimum requirements of the Code of Recommended Practice for Local Authorities on data transparency, a standard which aims to enable residents to hold the Council to account. The Council has future plans to become more demand led in publishing data following improvements to the Council's website.</li> </ul>	<ul style="list-style-type: none"> <li>Overview and Scrutiny Annual Report, including the work of the 5 Task and Finish Groups <ul style="list-style-type: none"> <li>- Early Intervention and Prevention</li> <li>- Fostering and Adoption</li> <li>- Contract Management</li> <li>- Carbon footprint</li> <li>- Health and Social Care Integration</li> </ul> </li> <li>Statutory Officer monthly reporting</li> <li>Barnet Homes/Barnet Group Annual Internal Audit Report</li> <li>External Audit Annual Audit Letter 2010-11</li> </ul>

with our local  
police, social  
tial standards

vulnerable

tion orders  
time spent

oster carers

2. increase the number of children who were placed for adoption within 12 months of decision to 75%
3. reduce the number of children becoming the subject of a Child Protection Plan for the second subsequent time to 12%

#### How we will achieve this objective

Early identification, accurate needs assessment and effective interventions key in supporting and empowering families to ensure that all children have the best possible start.

To achieve this we will:

- implement the Family Focus programme to work with one hundred



Principle	Description of Governance Mechanisms	Assurances received
<b>4. Making transparent decisions which are subject to scrutiny and risk management (continued)</b>	<ul style="list-style-type: none"> <li>An effective Audit Committee is in place whose purpose is to provide independent assurance of the adequacy of the internal control environment, and to oversee the financial reporting process. The Audit Committee is chaired by a member of an opposition party and has two independent members.</li> <li>The Chief Internal Auditor supports the Audit Committee and reviews its effectiveness on an annual basis</li> <li>The Internal Audit function operates in line with the Code of Practice for Internal Audit on Local Government. There is a 'managed audit approach' with the Council's external auditor in place which ensures there is no duplication of effort. The internal Audit plan is based on the high risks reported within the risk registers.</li> <li>The Constitution makes it clear that management have the responsibility for operating a sound system of internal control. Internal Audit collaboratively works with services to make recommendations around improvement to the control environment.</li> <li>The Head of Corporate Anti Fraud Team (CAFT) supports the Audit Committee and reports to Statutory Officers. CAFT fulfils the Council's statutory obligation to ensure the protection of public funds and to have an effective system of prevention and detection of fraud and corruption. The council have zero tolerance to fraud and other irregularity.</li> <li>The Head of CAFT is the designated Whistle blowing officer which is accessible by officers, staff and those contracting with or appointed by the Council. There is an improved Counter Fraud Framework in place designed to prevent and detect fraud.</li> <li>The system of internal financial control is based upon a framework of regular management information, financial regulations, administrative procedures and a structure of delegation and accountability. The Medium Term Financial Strategy is updated each year and includes a risk assessment of budget options, the MTFS is agreed by Full Council.</li> <li>Within the year the Complaints process was revised and independently audited by internal audit and received limited assurance. In addition, the council received feedback from the local government ombudsman that required improvement in process. The Ofsted report also noted that the Children's service needed to identify complaints from children and reporting these and any trends to the safeguarding board.</li> </ul>	<ul style="list-style-type: none"> <li>Audit Committee Annual Report 2011-12</li> <li>Audit Committee workplan and terms of reference stipulating the way in which responsibility is discharged</li> <li>Internal Audit review on risk management arrangements 2011-12</li> <li>Internal Audit Annual Report 2011-12</li> <li>CAFT Annual Report</li> <li>Complaints Annual Report</li> <li>RIPA – Commissioner Office Surveillance control</li> <li>Finance and Business Planning group reviews budget risks on a monthly basis</li> <li>Ofsted report rating the Council as Good for Safeguarding and Looked after Children</li> <li>Medium Term Financial Strategy and signed Statement of Accounts</li> </ul> <div> <p>Weaknesses identified:</p> <ul style="list-style-type: none"> <li>Complaints process effectiveness</li> </ul> </div>

Principle	Description of Governance Mechanisms	Assurances received
5. Developing the capacity of members and officers to be effective	<ul style="list-style-type: none"> <li>The Council is committed to having Leaders with the right skills to direct and control staff. In addition, a member development programme was carried forward into 2011/12 following successful induction and training in 2010/11. The Council's learning and development needs are met through training, e-learning and other methods.</li> <li>Member Development sessions not only covered functional roles and responsibilities of the Council but also related to good governance and standards of behaviours such as Corporate Anti Fraud, Audit/probity, Code of Conduct for planning and Local Government Finance &amp; Budget setting.</li> <li>The Council has an Employee Performance Management Strategy to strengthen the relationship between corporate objectives and individual performance. Employees have half year and year end performance reviews and are rated under the RAGG (red, amber, green and gold) methodology.</li> <li>The Council's value set have been incorporated within the Council's Leadership Framework and form the basis of individual performance reviews.</li> <li>A corporate governance objective was mandatory for 2011/12 for all corporate management group members during 2011/12.</li> <li>The Council had a Standards Committee in place during the year that considered complaints against the Member Code of Conduct. Whilst there were increases in the number of complaints received there were no serious governance issues noted during the year.</li> <li>Full Council in May 2012 accepted changes to the Standards Committee going forward, in that there will not be a Standards Committee and that the Monitoring officer will liaise with group leaders over any complaint and any sanctions there after.</li> </ul>	<ul style="list-style-type: none"> <li>Individual performance review rating give assurances that staff are carrying out their work in accordance with Council priorities and objectives</li> <li>Member role Profile establish role and appraisal system agreed by General Functions Committee</li> <li>Attendance at Member Development sessions</li> <li>Standards Committee reports</li> </ul>

Principle	Description of Governance Mechanisms	Assurances received
6. Engaging with local people and stakeholders	<ul style="list-style-type: none"> <li>The Council feels it is important to consult, involve and listen to our citizens so that we can improve our services and plan for the future. The Council is also committed to publishing the results of all our consultations and explaining how we will use the results.</li> <li>A consultation hub 'Barnet Citizen Space' was set up on the web to allow residents to take part in consultations, this also includes a section on 'We Asked, You Said, We Did' feeding back the results of consultations</li> <li>We also have an ongoing dialogue between community and voluntary organisations via CommUnity Barnet, the umbrella organisation for community and voluntary groups in Barnet businesses via our quarterly themed Business Breakfast meetings.</li> <li>The Council has a Barnet Citizen's Panel, the panel is statistically representative of the population of Barnet, and has been invaluable to the council and its partners in researching how Barnet residents feel on issues. It also acts a sounding-board for future policies and decisions.</li> <li>The budget consultation also involved the 'ideas website' which asked for suggestions from residents on budget proposals.</li> <li>The website was re-launched in April 2012 and assists in ensuring transparent decision making processes take place and encourages public engagement with the council and the decision making process.</li> <li>Pledge bank is also another way in which residents can interact with the Council, against the priority of 'new relationship with citizens' this initiative looked to involve citizens by making part contributions to their community.</li> <li>In February 2011 the council and its partners conducted a Resident's Perception Survey with over 2000 residents from across the borough. The survey asked residents for their views on local services and various aspects of life in their local area</li> <li>Public Participation rules are included within the Constitution guiding public participation at Council meetings.</li> <li>Ward Walks continued into 2011-12, focusing on key officers of the council meeting with ward members in their wards for discussion around the 'Place'.</li> </ul>	<ul style="list-style-type: none"> <li>Local Account – Adult Social Care and Health was an annual report produced a local account of what was achieved in 2010/11 and 2011/12 to date in consultation with its residents</li> <li>Citizens Panel feedback newsletters and Annual Reports – highlighting the results of consultations and outcomes</li> <li>Consultation feedback – for example for the Business Plan and Budget. Providing insight from residents within the decision making process for key decisions.</li> <li>Review of resident's forums and area sub committees April 2011</li> <li>Residents Perception Survey, February 2011</li> </ul> <div> <p>Review of Residents Perception Survey indicated that the council scores relatively poorly on whether residents feel involved and able to influence local decisions</p> </div>

#### 4. Review of Effectiveness

- The Council has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of effectiveness is informed by the work of senior officers of the Council who have responsibility for the governance environment, the Chief Internal Auditors annual report, any comments made by the Council's external auditors and any other review agencies and inspectorates. In addition, the Council has assessed its group relationships (The Barnet Group) as part of this review framework.
- Internal Audit has concluded overall, based on the findings of work undertaken at London Borough of Barnet that only limited assurance can be given on the systems of internal control in place, however satisfactory assurance has been provided on the fundamental financial systems in place within the Council. Areas of weakness has been included within the governance issues noted for monitoring during 2012-13.
- The Council is able to confirm that its financial management arrangements conform with the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2010) as set out in the Application Note to Delivering Good Governance in Local Government: Framework.
- A number of areas were identified in the proceeding Annual Governance Statement, an update has also been included on our progress to improve governance regarding these issues. Where they have not been sufficiently progressed they have been included within our governance issues for 2011-12.

## Governance Issues – progress

The table below describes the governance issues identified during 2010-11 and the progress made against these during 2011-12:

Key Improvement Area	Lead Officer	Update on position	Carry forward for 2011-12
An overarching Information Management Strategy to pull together the various policies and procedures relating to information governance, data processing and management	Commercial Director	The Information Management Strategy was approved by the Information Governance Council in November 2011.	Complete.
Contract Management/Procurement – work is underway to ensure that the Council has an accurate and complete contracts register and that centrally there is a process to monitor spend in accordance with the contract procedure rules (CPR).	Commercial Director	Monitoring of compliance is now a regular activity across the service areas and a centrally held contract's register is in place. Contract management and supplier relationship management will now be implemented which will lead to good procurement practice across the Council. Recommendations identified in the April audit will be closed by end of July.	Internal Audit – Limited Assurance issued in April 2012, carry forward to 2012-13.

## Governance Issues – progress

Key Improvement Area	Lead Officer	Update on position	Carry forward for 2011-12
Data Quality – all services are to review their arrangements to have reliable, accurate, timely, complete, relevant and valid data, in particular services will review their quality assurance processes and work with the Assistant Chief Executive to perform 'spot checks' of current arrangements.	Assistant Chief Executive	<p>Each service has developed a Data Quality action plan following the DQ learning event in June 2011, and are responsible for improving the data quality in their services.</p> <p>Corporate Performance Team provide a quarterly assurance report to Statutory Officers Group, the current compliance framework, status and action required to improve data quality.</p> <p>Internal Audit gave limited assurance the data quality of the HR establishment data. Key challenges were change processes, sign-off, and errors/discrepancies in the establishment and sickness data. HR will deliver an action plan to respond to the limited assurance.</p> <p>New corporate data quality policy was approved in principle in March 2012 by the Information Governance Council. The new policy focuses on developing a consistently high level of data quality across all functions, the behaviours required to improve data standards, the application across internal and external delivery units, and the accountabilities of those working with data in different roles.</p>	Internal Audit – limited assurance on HR data quality indicators, carry forward to 2012-13

## Governance Issues – progress

Key Improvement Area	Lead Officer	Update on position	Carry forward for 2011-12
Oversight of devolved processes – work is required to set a series of expectations for Assistant Director level and below for the level of internal controls required to ‘meet the grade’.	Assistant Director of Human Resources	An Accountabilities and Leadership Framework has been completed for the new Council senior management structure. All Directorates updated their scheme of delegation in year to be clear around responsibilities and accountabilities, this will however be redesigned following the restructure to ensure it remains fit for purpose.	Complete
Measuring success of strategies – work is underway to better join business and financial planning and to ensure that strategies are reviewed from the previous period and included within forward looking plans.	All Directors	The Chief Executive commissioned an audit of strategies owned across the Council in June 2011. The outcome of that mapping exercise was that the number of strategies in place to be reduced and consolidated where possible. The review also gave assurances that we are meeting all of our statutory requirements for strategy documents.	Complete



## Governance Issues – progress

Key Improvement Area	Lead Officer	Update on position	Carry forward for 2011-12
Data protection – the Council has completed a large scale review to address concerns raised by the Information Commissioner in respects of personal data which has largely addressed major concerns, however during 2011-12 the focus will be on the security of paper documentation containing personal information.	Director of Corporate Governance	<p>Using the 'governance group' model the Children's Service initiated in their service the IMS project has supported other services in rolling out governance groups in their Directorates. These governance groups are playing a central role in improving information management practice by reviewing governance issues, carrying out information and business process audits to understand where there are IM weaknesses and leveraging 'local' channels of communication to disseminate information management messages. All of these efforts are intended to provide a sustained focus on improving information governance.</p> <p>The IMS project has also refreshed all Information Mgmt and Security policies and communicated them via first team and the dedicated information governance newsletter. In June an e-learning tool will be launched to further communicate and test people's understanding of the policies, of which the paper handling policy is one. Results will initially be analysed by the IMS project however, Governance groups and champions will again play a critical role in assessing compliance, identifying areas of weakness and devising/tailoring a response to address issues.</p>	Internal Audit review – Limited Assurance Issued during the year, improvement from No Assurance in previous year.

## Governance Issues – progress

Key Improvement Area	Lead Officer	Update on position	Carry forward for 2011-12
IT functionality – a detailed action plan has been devised to take forward the current arrangements within the IT service, work around project management arrangements will seek to address some IT dependencies within the Services.	Commercial Director	The Investment Appraisals Board (IAB) approved the implementation of the IS Project Gateway process. The process ensures all Capital projects are considered for IT impact prior to approval. In March 2012, the IS service reorganised to provide a project management office function, with responsibility to manage all IT projects. IT projects are delivered along with principles of the Prince2 standard.	Complete.
Partnerships – work is underway to make the best use of partnerships by agreeing mutual responsibilities, accountabilities and expectations. This includes forming a better understanding of neighbouring boroughs and their fit within key decision making bodies.	Assistant Chief Executive	Partners were engaged and consulted on the proposed changes to partnership working. New arrangements were approved by Cabinet in February 2012. The first meeting of the Barnet Partnership Board has been set for 24 May 2012.	Completed.
Work is required to understand how the Localism Bill will impact upon the Council's governance arrangements and also affect our relationship with the community particularly in the context of the provision for local authorities to work with locally established Neighbourhood Forums to prepare Neighbourhood Plans. The Bill is progressing through Parliament and Royal Assent is not expected until late 2011 with the main provisions implemented in 2012.	Director of Corporate Governance	A Localism Project Board has been formed and has delivered aspects of the Localism Act required at this stage, the main provisions however require implementation in 2012. However the governance has been established to monitor the delivery of these requirements. On-going action is regarding the delivery against the Act.	On-going action required however no governance issues identified.

## Governance Issues – progress

Key Improvement Area	Lead Officer	Update on position	Carry forward for 2011-12
As the One Barnet Programme progresses work is required to set out the principles on how the relationship between a potential provider and the Council will work in a way that clearly defines roles and responsibilities, supports good governance and openness and provides transparency in decision making.	Director of Commercial Services/Deputy Chief Executive	A senior management governance board has been formed to define accountabilities, responsibilities and decision-making alongside the Senior Management Restructure. This work will remain on-going until go-live date of the major outsourcing of the new support and customer services organisation (NSCSO) and Development and Regulatory Services (DRS).	Work on-going until go-live date

## 5. Governance Issues for 2011-12

The table below describes the governance issues identified during this review period 2011-12 to carry forward for monitoring within 2012-13.

Key Improvement Area	Lead Officer	Reporting through	Expected Delivery of Actions
Governance, accountabilities and decision-making – the change in organisational form to support the externalisation of elements of support services and regulatory services requires an updated governance model which clarifies accountabilities and responsibilities and provides assurance to decision-making bodies.	Assistant Chief Executive and Director of Corporate Governance	Special Constitution Committee and Full Council  Leader of the Council (corporate governance)	December 2012
Operating around outcomes – whilst the council is currently progressing the implementation of different models of delivery, its own policies and procedures will need to be aligned to ensure organisational boundaries are removed and there is a shift change is designing processes that focus on operating around outcomes for local people.	Assistant Chief Executive	Deputy Leader of the Council, Resources and Performance  Cabinet Resources Committee (performance)	April 2013
Devolving decision making to local people – the Localism Act requires devolving governance closer to local neighbourhoods and being cost effective in the process. Work is currently progressing to determine methods to grant communities more power to enable them to influence their local area.	Director of Corporate Governance and the Assistant Chief Executive	Member for Community Safety and Community Engagement  Special Constitution Committee and Full Council	April 2013

## 5. Governance Issues for 2011-12

Key Improvement Area	Lead Officer	Reporting through	Expected Delivery of Actions
Complaints – there is more work to do to embed arrangements to be effective, particularly to ‘close the loop’ and learn from complaints.	Assistant Chief Executive	Member for Customer Access and Partners  Audit Committee will monitor improvement to control environment	March 2013
Contract compliance and management post implementation of controls – continuing the progress in implementing an improved framework for contract compliance. The Procurement Controls and Monitoring Action Plan details the specific control improvements required.	Commercial Director	Deputy Leader of the Council, Resources and Performance  Audit Committee will monitor improvement to control environment	July 2012
Data Quality – embedding the updated data quality policy across the authority and its delivery partners. The data quality policy contains the expected implementation plan.	Assistant Chief Executive	Deputy Leader of the Council, Resources and Performance  Audit Committee will monitor improvement to control environment	May 2013
Data Protection – the Information Governance Council is progressing the Data Protection Compliance Project ensuring that areas such as records retention and management are being addressed with the roll out of Delivery Unit Governance Groups (DUGG) that sit within each service area. Third party interactions and processing are the focus of the project in the short term.	Director of Corporate Governance	Leader of the Council (Corporate Governance portfolio)  Audit Committee will monitor improvement to control environment	On-going

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## 6. Certification

To the best of our knowledge, the governance arrangements, as defined above have been effectively operating during the year with the exception of those areas identified in Section 5. We propose over the coming year to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified during the review of effectiveness and will monitor their implementation and operation as part of our next annual review.

Leader of the Council: \_\_\_\_\_

Date: \_\_\_\_\_

Chief Executive: \_\_\_\_\_

Date: \_\_\_\_\_

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# Appendix A: Published sources of Assurance

- Code of Corporate Governance – Part 5 of the Constitution
- Corporate Plan 2012-13, specifically the equalities page 18
- Quarterly Performance Reports 2011-12
- Internal Audit, Risk Management and CAFT Annual Plan 2011-12
- Internal Audit Annual Report 2011-12
- Pay Policy 2012-13
- CAFT Annual Report 2011-12
- External Audit Annual Audit Letter 2010-11
- Overview and Scrutiny Annual Report 2011-12
- Task and Finish Group reports
- Audit Committee Annual Report 2011-12
- Audit Committee Terms of Reference and workplan 2011-12
- Governance of Strategic Partnerships, Cabinet February 2012
- Ofsted report into Safeguarding and Looked After Children 2012
- Citizen Panel Annual Report 2012
- Local Account for Adults Social Care and Health
- Statement of Accounts and Medium Term Financial Strategy
- Residents Perception Survey 2011
- Review of residents forums and area sub committees, April 2011
- Committee minutes, agendas and reports 2011-12