Senior Management Team – Rossendale Improvement Plan

The internal audit report clearly stated that the majority of controls were in place but they were overridden. With this in mind the key matters for action and behavioural change are as follows, which we have grouped into the themes we have used throughout this Improvement Plan.

	Action	Timeline	Responsible Officer	Theme
1	Implementation of an organisational development programme in order to address behavioural and cultural change.	2016/18 and beyond.	HR Manager	Behaviour / Cultural Change
2	Alongside this we need to define what a good Council looks like in order to identify our goals and ensure that senior managers job descriptions and person specifications accurately reflect the core competences required for a fit for purpose Council	2016/18 and beyond.	HR Manager	Effective / Successful Council
3	Review the Council's Performance Management framework and Project Management framework	2016/18.	Director of Communities and HR Manager to lead a corporate wide review of the frameworks and resources	Performance/ Project Management
4	Review of the Council's material partnerships and the due diligence of such partnerships	2016/17.	Senior Management Team to identify all key partnerships and update partnership and risk registers as required	Partnerships
5	Review of Contract Procedure Rules	2016/18	Monitoring Officer and Section 151 Officer to lead a review.	Managerial/ Procedural

Progress update

The following is not an exhaustive list but seeks to give examples the Council will take with regard to future actions and considerations;

	Behavioural / Cultural Change	Action Taken	Responsible Office
1	The Council procurement rules and the Council's trading terms will nullify netting off of costs in order to ensure transparency, unless netting off is to the advantage of the Council	Completed - Incorporated into the next Constitutional update (Part 4, s 4.47). Governance working group scheduled for January 2017.	Head of Finance
2	Future projects involving Member authority will also stipulate the frequency of future updates to Members	Completed and now forms part of the organisations Performance Management Framework, as evidenced by projects: • Spinning Point • Bacup THI	Monitoring Officer
3	By ensuring robust project management due consideration can be given to any requirement for schemes of delegation to ensure that they are legitimate, fit for purpose and have been given due consideration	Completed and evidenced by the comprehensive Schemes of delegation approved during 2016/17.	Director of Communities
4	Senior management override is a dangerous potential for any organisation. Any	Completed -	Chief Executive

	organisation needs to rely on the professionalism and competency of its most senior officers. Senior officers must communicate with other senior colleagues in an open and transparent manner. We will ensure that this is the case through the proposed changes to project management and the regular reporting to the Programme Board. Weekly management team meetings now take place with agreed action points circulated to all staff. This will also be reported on as part of our governance and project management	Weekly Corportate Management Team (CMT) meetings take place involving all senior offices covering projects updates and therefore incorporates the role of a Programme Management Board.. Monthly Senior Management Team (SMT) meetings take place involving all individual services and senior managers attend these Staff engagement session take place 2-3 times a year to discuss priority projects and timescales together with regular daily messages and monthly Team Briefings to all staff. A Middle Managers Forum has now been established (April 2017). Amongst other things it gives managers the opportunity to	

		raise questions to the SMT and peers. In addition the CEO meets regularly with Lead of Council the opposition leader, county councillors and our 2 MP's to update on matters of significance.	
5	Staff inductions to cover fraud and staff to be provided with a handbook linking them to policies.	Regular Fraud awareness sessions/training in place for existing employees and new starters. All new starters have a met the Chief Executive induction session to cover our expectations of: employees behaviours, fraud, whistleblowing and culture. A fraud awareness questionnaire was sent to all staff in autumn 2016, and we have purchased a fraud awareness training package. To	HR Manager

		be monitored by the Fraud & Compliance Officer and undertaken annually by every member of staff.	
6	Management inductions to cover Risk Management	Completed – Following an updated Risk Management Strategy (March 2016) training for staff and members undertaken By Zurich Municipal (Autumn 2016) . New Employee handbook in place and all HR policies have been fully updated and approved by members.

Annual Service and Business Plans, Committee reports, Schemes of Delegation continue to incorporate and evaluate areas of risk. | HR Manager / Head of Finance |

	An effective / successful Council	Action Taken	Responsible Office
1	The responsibilities and good practices for managing contracts and the supply of goods or services will be enshrined in the next update of the Council's constitution in with full training for officers and Members	Completed - Induction and refresher training on a one to one basis is carried out by the Monitoring Officer with staff undertaking procurement activities. Constitutional changes – scheduled for 2017/18 is a revision to bring the Constitution in line with current legislative requirements and the updated Procurement Strategy.	Monitoring Officer
2	All material new projects will include Governance and authority levels required (i.e. Office or Member decision)	Completed (see 2 Behavioural/Cultural Change above)	Chief Executive
3	The Council will review its own constitution to secure that it is consistent with 'The International Framework: Good Governance in the Public Sector' in ensuring that it has effective arrangements in order to ensure that it acts in the public interest at all times	To be completed as part of 1 above	Monitoring Officer
4	The Council will define what parameters and tests define a material project. This will be enshrined in the next update of the Council's constitution (Governance working Group	To be completed as part of 1 above.	Director of Communities

	and Full Council)		
5	The Council will ensure all relevant officers and Members will receive relevant training in, amongst other things: risk management, project management, procurement, contract management, Council constitution, good governance, etc.	Completed plus and add fraud awareness training in place. All new Members receive relevant training as part of their initial induction.	HR Manager
6	The plan will be a live document and will regularly be updated as resident want to know the key achievements of the project. With this in mind all these actions will be added to the corporate actions register and monitored through the Council's performance management system, Covalent	The themes arising from this action plan will now be incorporated into the 2017 Corporate Strategy update.	Media & Engagement Officer
7	Hold Middle Manager (MM) Forums to share working and information.	MM Forum schedules for 2017, commencing April 2017 were their terms of reference will be agreed with a view to ensuring amongst other things their autonomy and independence. New training for staff: 1. The Institute of Leadership and Management (ILM) Level 2 or 3 qualification for the Middle Managers). This course is a management qualification and will develop management skills, competent	HR Manager

| | | team leaders and increase productivity.

2.   Level 2 in Business Improvement Techniques (BIT) | |
| --- | --- | --- | --- |

	Partnerships	Action Taken	Responsible Office
1	In all future projects, a key element of the considerations and assessment in any future partnership working be it with other public, private or the voluntary sector will be the need for due diligence of partners' ability to manage the project and deliver agreed outcomes and outputs, indemnities and the strength of partner financial covenants, together with a full risk appraisal process	Completed as part of the Council's performance and risk management frameworks and procurement procedures and evaluation.	Monitoring Officer
2	Contracts/Service-Level Agreements with partners will be stringent to prevent any fraudulent activity.	As 1 above	Monitoring Officer

	Managerial / Procedural	Action Taken	Responsible Office
1	All material opportunities to be endorsed by the Council's 3 statutory officers, management team and members before any funding is sought	Completed Additional staffing capacity has been brought in to help maintain good services, expertise, increase capacity and help embed good practise and change. Examples include a shared service with Blackburn for Comms, additional licensing, finance, HR, Planning staff; Executive Consultant with lead responsibility for key projects, a commercial asset manager to ensure we maximise the council's assets and a new Economic Development manager. Statutory Offices are able to comment and influence opportunities through, amongst others: Management Team meetings (CMT / SMT), Schemes	Monitoring Officer

		of Delegation, Reports to Members, emergencey decision making.	
2	All material projects to be overseen by the Council's recently established officers Programme Board which will include a financial and legal assessment	Completed Senior officers meet weekly to discuss projects and it consider risk, costs and legal implications arising from them. The CMT now acts as the formal Programme Board for all material projects.	CEO
3	We will ensure that any future procurement activity is fit for purpose by fully understanding the business case of the procurement, its risks, rewards and the legal obligations of Rossendale Borough Council	Completed and incorporated amongst others in the Procurement policies, Performance framework, Constitution, SMT/CMT reporting, Member reports. The Risk Management Strategy now includes a check list for users (either implementing or scrutinising projects) as an aid to the identification of risk.	Head of Finance

4	All future contracts will have an explicit ultra vires references in the approval process	Completed – all individual contracts both reviewed and signed by the Monitoring Officer	Monitoring Officer
5	The additional controls necessary for the payment authorisation of goods and services will be immediately enforced and made more specific and enshrined in the next update of the Council's constitution (Governance working Group and Full Council) and officer training which will follow	Completed as evidenced by recent internal audit of the Empty Homes recovery/refurbishment plan.	Monitoring Officer
6	Future legal assessment of all material projects will give consideration to all legal relationships to ensure that they are robust and fit for purpose	Completed. Recent examples being procurement of: • Housing partner • Basic skill test (Licensing)	Monitoring Officer
7	The Council's ICT policy will be amended to prohibit the use of Council email addresses to those individuals not employed directly or by way of agency or formal secondment	Completed with new forms for approval in place alongside copy of IT policy for all new starters.	Head of ITC
8	Future grant schemes in relation to property will always result in a local land charge where the law provides for this	Completed as evidenced by: THI grants, DF grants, Housing recovery project.	Monitoring Officer
9	The Council will embed a robust risk management culture	31st March 2016 Established through formal RM training (implemented during	Head of Finance

| | | 16/17), RM strategy update March 16 and continued cultural/behavioural change throughout the organisation. 2-3 staff engagement sessions are run every year covering a topics such as whistleblowing , MTFS, regeneration projects, the corporate plan and our priorities, ethics

A #TeamRossendale e-bulletin is emailed every week to staff to help embed good communication. A similar version of produced for members covering new stories | |
| --- | --- | --- | --- |
| 10 | Commitment to supporting staff through Whistleblowing concerns. | Policy being updated. Visible on the website included in induction for new staff and staff engagement sessions

Grant Thornton running an Ethics session for staff to be rolled out to service heads and other key team members in September 2017. GT attended | Monitoring Officer |

		SMT in March covering: Ethical leadership; and Nolan principles	

	Performance / Project Management	Action Taken	Responsible Office
1	All future material funding opportunities to include a business case assessed on, amongst other things: financial, legal, contribution to corporate priorities and reputation	Completed and evidenced by: Scheme of Delegation, Member reports, Urgent items etc.	Director of Communities
2	Sound project management principles to be adhered to including amongst others: - Business case including: sensitivity analysis) Project Initiation Documents/Definition of the outcome objectives/ consideration of capacity (both internal and external) - Project miles stones - Outputs - Change control - Risk register - Issues log - Communications plan - Governance – Programme Board, Project Sponsor, Project Lead, Council Members - Project review at completion	Completed, embedded and monitored in MT's monthly programme board, portfolio holder meetings and covalent quarterly updates. Project management & Business Cases principles to be incorporated into the next Constitutional update (Part 4, s 5.24) and Governance working groups	Director of Communities
3	To ensure all projects consider the Council's wider corporate priorities, interaction with	Completed as part of	Director of

	other service outcomes and the ability to cross promote one another	embededing business case principles in Council reporting and decision making.	Communities
4	The enforcement of sound and fit for purpose project management principles will ensure that no single officer will have sole control of any future material project (e.g. via a Project Lead and a Project Sponsor)	Completed as part of the CMT Programme Board responsibilities, checks and balances.	Director of Communities
5	Part of robust project management is the definition of outputs. Outputs include any reporting both internally (Members, etc.) and externally (Government agents, partners, etc.). As part of good practice all such reports should be first endorsed by the Programme Board and highlighted as such (by reference to consultations) in the reports themselves in order that any such reports are robust, accurate and meaningful	Completed as part of the Council's project management principles and embedded by the CMT's Programme Board role.	Director of Communities
6	The Council will revise its risk register to make it much more detailed, establish a risk review panel to consider new projects from a risk perspective and establish a risk assessment process for Cabinet Members	Completed. The risk management strategy has been updated (March 2016) to include a risk assessment process for both Members and Officers. The annual internal audit report will report annually on the effectiveness of the internal control environment.	Head of Finance

		The Head of Finance and the Chair of Audit & Accounts will meet in line with the A&A Cttee schedule to form a regular risk review panel and feedback as appropriate to the A&A Cttee.	