

Senior Management Team Improvement Action 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.	In conjunction with People & Policy, the CEO 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	Timeline / Notes	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	Incorporated into the next Constitutional update (Part 4, s 4.47). Governance working group scheduled for January 2017. Constitution updated and agreed by Council on 1 st March 2017	Head of Finance
2	Future projects involving Member authority will also stipulate the frequency of future updates to Members	Actioned	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	Actioned	Director of Economic Development
4	Senior management override is a dangerous potential for any organisation. Any 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	Actioned	Chief Executive

	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		
5	Staff inductions to cover fraud and staff to be provided with a handbook linking them to policies.	Regular awareness sessions/training in place for existing employees and new starters	Fraud in place for existing employees and new starters HR Manager
6	Management inductions to cover Risk Management	Training for staff and members done. New Employee handbook in place	HR Manager / Head of Finance

	An effective / successful Council	Timeline / Notes	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	Induction and refresher training on a one to one basis is carried out with staff undertaking procurement activities. Constitutional changes.	Monitoring Officer
2	All material new projects will include Governance and authority levels required (i.e. Office or Member decision)	Actioned	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	See comments to 2 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 and Full Council)	See above	Director of Economic Development
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.	Actioned plus and add fraud awareness training in place	HR Manager
6	The plan will be a live document and will regularly be updated as resident want to know the key	The themes arising	Media &

	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	from this action plan will now be incorporated into the 2017 Corporate Strategy update.	Engagement Officer
7	Hold Middle Manager Forums to share working and information.	Forum schedules for 2017	HR Manager

	Partnerships	Timeline / Note	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	Constitution Key Controls continue to be regularly reviewed with an effective due diligence process having been implemented for prospective partners completion.	Monitoring Officer
2	Contracts/Service-Level Agreements with partners will be stringent to prevent any fraudulent activity.	Recent review of the standard terms and conditions to keep up to date with legislation. Monitoring arrangements have been strengthened to include sign off by senior management at each project milestone. Ongoing training to responsible officers	Monitoring Officer

		continues on a one to one basis	
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	Managerial / Procedural	Timeline / Notes	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	Actioned	Monitoring Officer
2	All material projects to be overseen by the Council's recently established officers Programme Board which will include a financial and legal assessment	Actioned	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	Actioned	Head of Finance
4	All future contracts will have an explicit ultra vires references in the approval process	Actioned	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	Actioned	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	Actioned	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	Actioned	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	Actioned	Monitoring Officer
9	The Council will embed a robust risk management culture	31 st March 2016	Head of Finance

		Established through formal RM training (implemented during 16/17), RM strategy update March 16 and continued cultural/behavioural change throughout the organisation.	
10	Commitment to supporting staff through Whistleblowing concerns.	Policy has now been reviewed and the updated version was approved by Cabinet on 15 th February 2017.. Visible on the website and included in induction for new staff	Monitoring Officer

	Performance / Project Management	Timeline / Note	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	Actioned	Director of Economic Development
2	<p>Sound project management principles to be adhered to including amongst others:</p> <ul style="list-style-type: none"> - 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 	<p>Actioned and monitored in MT’s monthly programme board, portfolio holder meetings and covalent.</p> <p>Project management & Business Cases principles incorporated into the next Constitutional update (Part 4, s 5.24). Governance working group scheduled for January 2017.</p>	Director of Economic Development
3	To ensure all projects consider the Council’s wider corporate priorities, interaction with other service outcomes and the ability to cross promote one another	Actioned	Director of Economic

			Development
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)	Actioned	Director of Economic Development
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	Actioned	Director of Economic Development
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

		<p>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.</p>	
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