
Report to Education, Sport and Leisure Committee

Date of Meeting: 20 June 2013

Subject: Education - Annual Governance Statement Action Plan

Report by: Head of Education

1.0 Purpose

- 1.1. All services will present their Governance Improvement Plan to the relevant service committee to provide assurance of actions agreed and to enable elected members to make the clear link to the service's business planning process.
- 1.2. This paper therefore provides the Education, Sport and Leisure Committee with an update on progress within the service's Education Annual Governance Statement process for 2011/12 following the annual governance challenge which took place in April 12.
- 1.3. Key issues identified as a result of this process are identified and an update is provided within the resulting Governance Improvement Plan 2012/2013.

2.0 Recommendations

The Education, Sport and Leisure Committee is asked to:

- 2.1. Note the process of the implementation of the Annual Governance Statement within the context of the Education Improvement Plan and provide comment and challenge as appropriate.
- 2.2. Note the intention to explicitly link Governance Improvement plans to service business plans for 2013/14

3.0 Introduction and background

- 3.1. In April 2011, the Scrutiny Committee agreed the process that the Council would take to move from the Statement of Internal Control for 2011 towards the issuing of a formal Governance Statement in March 2012.
- 3.2. The Local Code of Governance and the Governance Strategy were approved by the Council in March 2012 and set out vision, principles, objectives, actions and values which the Council will adhere to in order to ensure that there is a robust and effective governance framework in place and that the fundamental principles of good governance are embedded across services at every level.

- 3.3. The Council authorised the Governance Manager to establish the Governance Panel as a pre-requisite of the introduction of the Annual Governance Statement (AGS). The Governance Panels were established and operated for the first time in early 2012/13 financial year.
- 3.4. The Council was able to issue an Annual Governance Statement as part of the 2011/12 accounts.
- 3.5. As this was the first time this activity had been carried out for all services, the process will continue to be refined for 2012/13 and in future years.
- 3.6. This report is the first Governance Improvement Plan to be presented under the new Committee Structure. Future reports will be made as required.
- 3.7. This report confirms the results of the first Annual governance challenge for Education and provides details of the agreed actions resulting from the initial Governance Challenge session which took place in April 2012. The Action Plan provided is for information only and as confirmation of the outcomes of the first Governance challenge process.
- 3.8. A number of thematic questions were asked of each service with responses presented to a Governance Panel in April 2013.

The eight themes reported against are:

- Leadership
 - Relationships
 - Risk
 - Internal Compliance
 - Business Planning
 - External Compliance
 - Information to support decision-making
 - Evaluation & Review
- 3.9 The Governance Panel comprised of managers from other services and audit support. The role of the panel was to challenge any response where evidence was not apparent or had not been clearly articulated. In addition, a number of identified service-led actions were challenged to provide further clarification.

- 3.10 The Education Service’s Certificate of Assurance identified five key areas of risk. They were:
- Risk Management
 - Procurement
 - HR & Employee relations
 - Financial management and accountability
 - Communication

A copy of the Certificate of Assurance is attached at **Appendix A**

Information relating to actions taken to instigate specific improvements in some of these areas is attached at Appendix B. The Improvement Plan at **Appendix B** also provides information concerning service-specific actions.

- 3.11 The required improvements are allocated to a lead manager, progress reviewed and the improvement action included in the Service Business Plan. The Service Business plan will take into account the areas where improvement is required and identify there as a risk if warranted or as part of the service improvement objectives for the period covered by the business plan.
- 3.12 It is proposed to move the timing of the Governance Panels to earlier in the year, ideally to January/February so that the improvement actions can be incorporated earlier into the service business planning process for the following 12 month period.

4.0 Sustainability Implications

- 4.1. The paper has no sustainability implications with this report.

5.0 Resource Implications

5.1. *Financial Details*

The full financial implications of the recommendations are set out in the report. This includes a reference to full life cycle costs where appropriate.

N/A on this occasion Yes No

- 5.2 Finance have been consulted and have agreed the financial implications as set out in the report.

N/A on this occasion Yes No

5.3 *Staffing*

There are no staffing implications arising from this report.

6.0 Exempt Reports

6.1. Is this report exempt? Yes (please detail the reasons for exemption below) No
N/A

7.0 Declarations

The recommendations contained within this report support or implement our Corporate Priorities and Council Policies.

(1) **Our Priorities** (Please tick)

- The area has a positive image and attracts people and businesses
- Our communities are more cohesive and inclusive
- People are better skilled, trained and ready for learning and employment
- Our communities are safer
- Vulnerable people and families are supported
- Substance misuse and its effects are reduced
- Health is improving and health inequalities are reducing
- The environment is protected and enhanced for all
- The Council is effective, efficient and recognised for excellence

(2) **Council Policies** (Please detail)

10.1 Clackmannanshire Council's Governance Strategy 2011 -2014.

8.0 Equalities Impact

8.1. Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations?

N/A on this occasion Yes No

Have you undertaken the required equalities impact assessment to ensure that no groups are adversely affected by the recommendations?

N/A on this occasion Yes No

9.0 Legality

9.1. The purpose of the paper is to note progress within the governance plan for education.

10.0 Appendices

Appendix A: Certificate of Assurance 2012
Appendix B: Annual Governance Statement

Author(s)

| NAME | DESIGNATION | TEL NO / EXTENSION |
|---------------|-----------------------------|--------------------|
| Alan Milliken | Assistant Head of Education | 01259 452432 |

Approved by

| NAME | DESIGNATION | SIGNATURE |
|------------------|-------------------|----------------------|
| Belinda Greer | Head of Education | Signed : B Greer |
| Elaine McPherson | Chief Executive | Signed : E McPherson |

**ANNUAL GOVERNANCE STATEMENT
ASSURANCE QUESTIONNAIRE
SERVICE : EDUCATION**

| PROGRESS FROM AGS ASSURANCE PROCESS 2011-12 | | | | | |
|---|---------------------------------------|--|---|------------|---|
| Ref | AREA FOR IMPROVEMENT | ACTION TAKEN TO DATE (what / who/ why/ when?) | IMPACT | Risk Score | COMMENT |
| 1 | Risk Management | Julie-Anne Miller is now strategic lead . She will oversee risk training for other members of staff. Specific risk such as adverse weather have been assessed and work is to be done re impact of flooding | | m | Need to ensure that other wider governance risks are identified and managed/mitigated. All examples from service were practical / school based - more emergency planning / business continuity |
| 2 | Procurement | Service has appointed a dedicated Procurement Officer to address some of the procurement issues | | m | next step is for there to be a complete review of all service contracts to check renewal dates etc with a view to engaging in joint procurement exercises across both councils to streamline process and achieve cost benefits |
| 3 | HR & Employee Relations | HR advice source from single point (Stirling HR) | nature of shared service still causes issues re mechanisms / financial impacts re deployment of staff across authorities. | m | No challenge to service for wanting to make best use of available resources but current political mandate not clear as to deployment of staff across boundaries beyond mgt level means cumbersome mechanisms have to be deployed to ensure clarity as to governance arrangements. Service see this as hindrance |
| 4 | Financial Management & Accountability | Levels of authorisation have been reviewed. Assistant Heads of Education and Service Managers hold discrete budget responsibility with authorisation levels proportionate to their strategic lead. Authorisation of signatory forms now submitted. ESMT now in place ensuring accountability re budgets. | clearer lines of accountability for budget / more effective monitoring and control | m | As above |
| 5 | Communication | Regular meetings with NHS, Police, Social Services, Third Sector, Managers and staff. Weekly Briefings/written communication. | clearer lines of accountability for budget / more effective monitoring and control | | Communication is clear and transparent at all levels throughout the service. |



CERTIFICATE OF ASSURANCE

FOR THE ANNUAL GOVERNANCE STATEMENT
FOR YEAR ENDING 31 MARCH 2011

To: Director of Finance & Corporate Services
From: Head of Education

I am aware that you, as the Proper Officer in terms of section 95 of the Local Government (S) Act 1973 are responsible for ensuring that the financial management is adequate and effective and that the Council has a sound system of internal control which facilitates the effective exercise of the Council functions and which includes arrangements for the management of risk. Clackmannanshire Council's system of internal control is reviewed at least once in a year.

To assist you in that process, I confirm that I have considered the standard of internal controls in my area of responsibility. I can confirm that I have undertaken a review of the internal control arrangements in my area of responsibility.

As part of that review process I have completed an Assurance Questionnaire which evidences the controls and systems in place in relation to the following areas :

- Financial Management
- Major Investment
- Risk Management
- Business Planning
- Project Management
- Procurement
- Human resources
- Equality & diversity
- Health & Safety
- Fraud & Corruption
- Information Management
- Voluntary Organisations & Sponsored Bodies
- External Compliance
- Law & Regulation

The Assurance Questionnaire also evidences the systems, processes, culture and values in place to support the following :

- Effective leadership
- effective community engagement
- good stakeholder relationships
- clarity of roles, responsibilities and accountabilities

The assurance process has demonstrated that the shared service delivery model results in some risks as regards internal control systems. These risks stem primarily from the fact that the Shared Service operates within and is therefore accountable in respect of two distinct governance frameworks. This creates areas of risk as regards the following and you and the Chief Executive may wish to consider this when preparing the Governance Statement:

- risk management
- procurement
- HR & employee relations
- financial management & accountability
- communication

Apart from the above, I can confirm that controls in my area have been, and are, working well. There are, in my opinion, no other significant matters arising which would require to be raised specifically in the assurance you are required to give the Chief Executive

Certified by

Belinda Greer
Head of Service

Date: 28 June 2012

EDUCATION SERVICES ANNUAL GOVERNANCE STATEMENT ACTION PLAN
Progress at April 2013

| PRINCIPLE | ACTION REQUIRED | PROGRESS |
|--|--|--|
| 2. Relationships with Internal and External Stakeholders | | |
| 2.1 Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships and develops constructive accountability relationships. CIPFA Supporting Principle - Core 6 | <ul style="list-style-type: none"> • Review levels of authorisation for staff • Authorised signatory forms to be submitted for staff • Service Managers to have clear areas of budget responsibility • Plan regular consultation with range of key stakeholders including parent council chairs | <ul style="list-style-type: none"> • Levels of authorisation have been reviewed • Assistant Heads of Education and Service Managers hold discrete budget responsibility with authorisation levels proportionate to their strategic lead • Authorisation of signatory forms now submitted • ESMT now in place ensuring accountability re budgets • Three planned parent council meetings per academic session • Pupil Council meetings ongoing in most schools • Regular and planned meetings/consultation with parents/stakeholders of the new school at Redwell Site • Regular and planned meetings/consultation with parents/stakeholders on the Ladywell/St Serf’s consultation • Most schools undertake annual questionnaires/surveys to gain feedback on their quality of service from stakeholders (parents) • This is reported on in their annual Standards and Quality Report and informs School Improvement Planning • Authority Standards and Quality Report • Education Scotland Reports • HT Meetings • Link Officer Meetings • Performance visits using HGIOS and CATC |
| 2.2 Ensuring relationships between the authority, the partners and the public are clear so that each knows what to expect of the other. CIPFA Supporting Principle - Core 2 | <ul style="list-style-type: none"> • Business planning to be developed • Job profiles and remits to be finalised • Establish formal professional review and development procedures • Key meetings to be established to ensure effective communication • Use ICT more effectively to improve communication | <ul style="list-style-type: none"> • Online weekly HT briefing established • Scheduled Business Meetings for ESMT (operational/strategic) • Scheduled regular meetings with Teacher Unions (LNCT) • Primary and Secondary Business Meetings established • Learning Community Meetings established • Beginning to formalise contracts for early years partnership provision and beginning partnership arrangements including review of procurement processes. This will include private providers of educational providers such as NHS Forth Valley and Wasp contract |

| PRINCIPLE | ACTION REQUIRED | PROGRESS |
|---------------------------|---|--|
| 3. Risk Management | | |
| 3.1 | Taking informed and transparent decisions which are subject to effective scrutiny and managing risk | <ul style="list-style-type: none"> • Establish regular meetings with Elected Members • Ensure clear and transparent reporting • Communicate risks effectively and that they are inherent in education practice |
| 3.2 | Ensuring that an effective risk management system is in place | <ul style="list-style-type: none"> • Meetings with Elected Members • Briefings for Elected Members • Written briefings for individual enquiries • Council and Committee Reports • Risk managed appropriately at school level • Separate governance arrangements potentially create risks around the infrastructure • Meetings/briefings/councillor enquiries/reports |
| | | <ul style="list-style-type: none"> • Risk to be allocated to relevant officer • Establish regular reporting mechanisms regarding the management of risks • Officers to consider risk management as one of their strategic tasks • Staff to be trained and supported to actively manage risk • Staff to be made aware of their responsibilities as set out in the Scottish Government Fraud Policy Statement |

| PRINCIPLE | ACTION REQUIRED | PROGRESS |
|---|--|--|
| <p>4. Internal Compliance and Accountability</p> | | |
| <p>4.1</p> | <p>Taking informed and transparent decisions which are subject to effective scrutiny and managing risk CIPFA Supporting Principle - Core 4</p> | <ul style="list-style-type: none"> • Establish effective mechanisms for recording decisions and the reason for decisions • Involving HTs in decision • LNCT/JCC • Schools performance is scrutinised by Education Officers • National costs per pupil • Occupancy levels • HMle Reports • Attainment data • Education is highly regulated and subject to informed challenge and scrutiny by Trade Unions • Size of school/class size • Appeals – exclusion • Placing requests • ScotXed returns • Class contact time • Provision ASN • GTC registered teacher • National T&C • Support from legal services <ul style="list-style-type: none"> ○ IT (data protection) ○ Health and Safety ○ Governance ○ HR • Finance involved in changes to scheme of devolved school management |

| PRINCIPLE | ACTION REQUIRED | PROGRESS |
|---|---|--|
| 4. Internal Compliance and Accountability cont'd | | |
| 4.2 | Equality and Diversity <ul style="list-style-type: none"> • A continuous training programme needs to be developed • Responsibility for equalities now aligned to an Education Officer, further training and support is provided on a needs driven basis | <ul style="list-style-type: none"> • Julie Anne Miller is strategic lead. The Service is now in a position to advise schools on reporting protocols for Standards and Quality reporting 2013. This will include a breakdown on incidences of bullying/harassment/exclusion/attendance • Training will continue to be accessed on a needs led basis • GIRFEC Screening Group is a local support and challenge group at Primary and Secondary level. It meets twice a month. It is attended/ represented by senior managers from across Education Social Work, EPS, Health, Police and Youth Services. It communicates via Learning Communities. It measures impact of new initiatives and also monitors attendance, exclusion, flexible learning packages, LAC. This information is directed up to ESMT via Service Manager • Education submitted a combined report with Corporate Services to the EHRC |
| 4.3 | Human Resources <ul style="list-style-type: none"> • Align HR aspects in light of Shared Services | <ul style="list-style-type: none"> • Assistant Heads of Education and HR aligning procedures within Education to ensure consistency of approach in all matters relating to HR • Maximising Attendance Policy has been rolled out across establishments and resources • LNCTs from each authority met to explore the development of joint LNCT agreements • Senior managers from Education and HR continue to work closely with HR colleagues to ensure HR procedures are followed within a shared service context • CPD bids submitted to CMT. Relevant training matched to need |
| 4.4 | Information <ul style="list-style-type: none"> • Tracking system to be established • Security guidance revised and understood by staff | <ul style="list-style-type: none"> • Marie Louise O'Neill is strategic lead. Strict regulation through SEEMIS. • GSX boxes for electronic transfer of sensitive/personal data • Use of encrypted USB sticks • GIRFEC Data Sharing Protocols are now established across the Forth Valley |

| PRINCIPLE | ACTION REQUIRED | PROGRESS |
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| <p>5. Planning and Performance Monitoring</p> | | |
| <p>5.1 Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money. CIPFA Supporting Principle - Core 1</p> | <ul style="list-style-type: none"> • Develop approaches within overall business planning to take account of the Procurement Cap Scores • Staff remits have been aligned to ensure that this key priority is progressed | <ul style="list-style-type: none"> • Assigning a link officer to each learning community who will support and challenge schools to improve performance in key areas • Continuing to engage with all secondary schools about their performance data and to begin to engage with primary schools on their attainment and ensure effective targeting of resources • Placing Request Policy and Reserved Places Policy have been approved at Committee • Exercise currently being undertaken to rationalise/prioritise services for 2013/14, 2014/15 to ensure outcomes continue to improve at a time of economic uncertainty • Income generation will be reviewed across the service • Implement Policy on Reserved Places and Placing Requests • GIRFEC service delivery model to be reviewed in partnership with Social Services • All heads of establishment are senior officers of the authority. As heads of establishment, they are best placed to take on the role as leaders of learning and teaching and for priority planning and improvement within their schools and that of their learning community. • DMR • Occupancy levels in schools are monitored • Quality assurance procedures and external scrutiny for Education Scotland provide evidence of establishment performance • GIRFEC screening group • ASN Audit • Early Years delivery model will be reviewed • The service will engage with the LDP to ensure sufficient education capacity • A review of ASD provision • Review of Learning Assistant Provision • A revised scheme of Devolved School Management has been approved by the Education Sport and Leisure Committee • Full review of Education budget including readjustment |

| PRINCIPLE | ACTION REQUIRED | PROGRESS |
|--|--|---|
| 6. Review and Evaluation of Governance Arrangements | | |
| 6.1 | <p>Governance structures and processes should be reviewed, evaluated and developed as part of an ongoing process of continuous improvement</p> <p>Governance Strategy</p> | <ul style="list-style-type: none"> • All senior education staff to be trained on Governance arrangements and their impact on service delivery • All Senior Managers including HTs undertook training including: <ul style="list-style-type: none"> ○ Managing Staff Absence/Improving attendance ○ Complaints training under new SG legislation ○ Planning for Adverse Weather Conditions • Further training in Governance Audit shared across Senior Education Team • Further training on Code of Conduct Policy/GTC guidelines • Further training of PRD process using staff competencies (teaching/non teaching staff) outlined by Clackmannanshire Council • Business plan and governance papers aligned with Corporate priorities, service and all actions require to be better linked to key outcomes |

| PRINCIPLE | ACTION REQUIRED | PROGRESS |
|--|---|--|
| 7. External Compliance and Accountability | | |
| 7.1 | Ensure external compliance and accountability | <ul style="list-style-type: none"> • Actions to be reviewed and progressed • Business planning in place. Progress being monitored and reported through Covalent <ul style="list-style-type: none"> • Lisa McCabe is the strategic lead. Business planning in place and reported on quarterly through Covalent. Information available to senior officers on Covalent • Senior officers completed individual priority planning exercise Dec 2012 • Business Planning will be reviewed within a shared service context • Procurement Officer now been appointed to streamline contracts at point of renewal |

| PRINCIPLE | ACTION REQUIRED | PROGRESS |
|--|--|--|
| 8. Information Management to Support Informed Decision Making | | |
| 8.1 | <p>Having good quality information, in relation to use of educational properties, advice and support to ensure that services are delivered effectively and are what the community wants/needs.</p> <p>CIPFA Supporting Principle - Core 4</p> <ul style="list-style-type: none"> • Establish protocols for this area • Facilities Management provide this service for the Education Service | <ul style="list-style-type: none"> • Michael Boyle will liaise with Facilities Management to address current and future potential issues • Effective self evaluation strategies using National Measures HGIOS/CATC |