
Report to Enterprise and Environment Committee

Date of Meeting: 6 June 2013

Subject: Facilities Management Annual Governance Statement Action Plan

Report by: Head of Facilities Management

1.0 Purpose

- 1.1. It has been asked that all services present their Governance Improvement Plan to the relevant service committee to provide assurance of actions agreed and to enable members to make the clear link to the service's business planning process.
- 1.2. This paper therefore provides the Committee with an update on progress with Facilities Management Annual Governance Statement process for 2011/12 following the Annual Governance Panel challenge which took place in April 12. A further panel will meet in June to review progress.
- 1.3. Key issues identified as a result of this process are identified and an update on progress is provided within the resulting Governance Improvement Plan.

2.0 Recommendations

- 2.1. It is recommended that Enterprise and Environment Committee:
 - 2.1.1. note progress with the Governance Improvement Plan 2012/13 and provide comment and challenge as appropriate.

3.0 Considerations

- 3.1. In April 2011, the Scrutiny Committee agreed the process 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 the 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 the organisation 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 early in the 2012/13 financial year.
- 3.4. The Council was able to issue an Annual Governance Statement as part of the 2011/12 annual 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 Facilities Management and provides details of the agreed actions resulting from the initial Governance Challenge session which took place in April 2012. The action plan is provided 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 May 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. Facilities Management Certificate of Assurance identified four key areas of risk. These were:
 - Procurement
 - Risk Management
 - Personal Development

- Communication around cross service/corporate projects

A copy of the Certificate of Assurance is attached at Appendix 1

Information relating to actions taken to instigate improvements in each of these areas is attached at Appendix 2.

- 3.11. The required improvements are allocated to a lead manager; progress reviewed and the improvement action included in service operational plans. The Service Business Plan will take into account the areas where improvement is required and identify these 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. There are no sustainability implications associated with this report

5.0 Resource Implications

5.1. Financial Details

- 5.2. 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 in this instance Yes

- 5.3. Finance have been consulted and have agreed the financial implications as set out in the report. N/A in this instance Yes

5.4. Staffing

- 5.5. There are no staffing implications associated with this report

6.0 Exempt Reports

- 6.1. Is this report exempt? Yes No

7.0 Declarations

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

(1) **Our Priorities**

- 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**

Governance Strategy

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

9.0 Legality

- 9.1 It has been confirmed that in adopting the recommendations contained in this report, the Council is acting within its legal powers. Yes

10.0 Appendices

- 10.1 Please list any appendices attached to this report. If there are no appendices, please state "none".

Appendix 1 - Certificate of Assurance, 2012

Appendix 2 – Facilities Management Governance and Improvement Action Plan

11.0 Background Papers

- 11.1 Have you used other documents to compile your report? (All documents must be kept available by the author for public inspection for four years from the date of meeting at which the report is considered)
Yes (please list the documents below) No

Author(s)

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Stephen Crawford	Head of Facilities Management	01259 450000

Approved by

NAME	DESIGNATION	SIGNATURE
Stephen Crawford	Head of Facilities Management	
Garry Dallas	Director of Services to Communities	



Clackmannanshire Council
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CERTIFICATE OF ASSURANCE

FOR THE ANNUAL GOVERNANCE STATEMENT FOR YEAR ENDING 31 MARCH 2012

To: Director of Finance & Corporate Services

From: Head of Facilities Management

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

1.1.

Having done that I can confirm that the following areas have been highlighted for improvement and you and the Chief Executive may wish to consider this when preparing the Governance Statement

- Community engagement
- Procurement - requirement at service level to further embed corporate procurement strategy and align processes to improve the Procurement Capability Score
- Personal development - induction required as to key Council HR Policies and Procedures / Financial management/ procurement for new managers and budget holders
- Information Management - corporate strategy required and clarity as to roles and responsibilities.

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 

Stephen Crawford
Head of Service

Date 28 June 2012

ANNUAL GOVERNANCE IMPROVEMENT PLAN
Facilities Management
May 2013

Issues (from Annual Governance Statement)

Issue	Action Required	Progress as at April 2013
<p>Procurement</p>	<p>Requirement at service level to further embed corporate procurement strategy and align processes to improve Procurement Capability Score.</p>	<ol style="list-style-type: none"> 1. Approval of revised Contract Standing Orders and adoption of the Procurement Journey in December 2012 has required significant training throughout FM which is nearly complete. 2. Individual service procurement procedures are being aligned with strategy. 3. Close working relationships between FM/Legal/Procurement. 4. Adoption of Scotland Excel contracts where possible.
<p>Information Management</p>	<p>Corporate strategy to be developed providing clarity as to roles and responsibilities.</p> <p>Asset information databases and systems to be rationalised and aligned to allow better information retention.</p>	<ol style="list-style-type: none"> 1. Approval of the Information Management Strategy at Council in October 2012. The strategy sets out what the Council wishes to achieve through sound information management. An implementation plan was included and this will be rolled out during 2013/14. 2. Agreement to develop servitor as corporate repairs system including asbestos and gas management modules which will benefit information retention.

Issue	Action Required	Progress as at April 2013
<p>Personnel Development</p>	<p>Induction required for key Council HR policies and Procedures/Financial management/procurement for new managers and budget holders.</p>	<p>3. All Councillor Enquiries, FOI requests, residents enquires are sifted at central point to minimise duplication and maximise consistency.</p> <p>1. All staff have PRDs.</p> <p>2. As developed key Council policies and procedures are embedded with staff.</p>
<p>Community Engagement</p>	<p>Effective systems are in place for community engagement. Current engagement across services is inconsistent.</p>	<p>1. Customer feedback across all services are part of processes.</p> <p>2. Consistency of collection of data across diverse services requires development.</p> <p>3. Waste and repairs show significantly good customer feedback returns. Other services, apart from statutory consultations, require further work to fully engage customers.</p>

