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| 1. Governance Action: | Legislative Change - Ensure compliance with new and forthcoming legislation |
| Desired Outcomes | Lewisham is compliant with all legislation including new and forthcoming changes |
| Timescales | March 2014 |
| Lead Officer | Head of Law |
| Notes | <p><u>Context & existing arrangements:</u> The duties of the Head of Law (Monitoring Officer) are defined in the Constitution. As part of these duties the Monitoring Officer attends Mayor and Cabinet and Full Council meetings and regularly briefs EMT, Members and relevant staff on corporate legislative developments. The Monitoring Officer and Executive Directors accept responsibility for compliance with new legislation.</p> <p>Legal advice is incorporated in every report and advice on proper process is a regular feature of that. Reports do not proceed unless robust legal implications on all matters have been considered and are included in the report. Experienced professional legal staff are employed by the Council to support with this and wider legal matters.</p> <p><u>Progress to date:</u> Examples of progress over the past quarter include the following:</p> <ul style="list-style-type: none"> • report to Mayor & Cabinet on meeting the Decent Homes Standards and the provision of sufficient housing, and; • report to Mayor & Cabinet on changes to allocations and tenancies post Localism Act 2011 • report on Assets of Community Value setting out changes to the scheme of delegation was presented to and agreed by the Mayor in January 2013; • procedures for dealing with assets of community value nominations have been put in place; • officer training on Assets of Community Value delivered in January 2013; • reported to Constitution Working Party on further constitutional amendments following internal review and Localism Act 2011 changes went to Council at AGM March 2013; • reported to Mayor and Cabinet on Community Right to Challenge in March 2013 and procedure introduced; • Health and Wellbeing Board established by constitutional changes in accordance with newly issued regulations; • public health functions including contract novation, staff transfer and establishment of Health and Wellbeing Board March 2013 at Local Council AGM; • Briefing to EMT on Public Services (Social Value) Act 2012 on constitutional changes to reflect this law implemented in March 2013. <p><u>Next steps:</u></p> <ul style="list-style-type: none"> • Introduce policy for dealing with Social Value in Procurement, to go to Mayor and Cabinet as soon as possible. |

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| 2. Governance Action | Procurement Strategy – Development and Implementation of an updated Procurement Strategy |
| Desired Outcomes | The Council is compliant with the revised procurement strategy including all new legislation |
| Timescales | July 2013 |
| Lead Officer | Procurement Strategy Manager |
| Notes | <p><u>Context & existing arrangements:</u> The Procurement team works within European Union and UK legislation related to Public Procurement Regulations; and internally to Lewisham Council's Contract Procedure Rules included within the Constitution. The Council's procurement function maintains a strategic overview of corporate procurement activity and ensures that contracts and purchasing arrangements are carried out in line with legal requirements and the Council's policies and procedures. The procurement function also:</p> <ul style="list-style-type: none"> • provides advice, guidance and training on all aspects of the Council's contractual procedures and contractual and purchasing arrangements including the review of draft committee reports, and; • undertakes contractor/service provider appraisals, tender evaluation and contract negotiations. <p><u>Progress to date:</u></p> <ul style="list-style-type: none"> • legal advice has been gained regarding new and anticipated legislation that will be reflected within the revised strategy, this is namely the Localism Act 2011 and the Public Services (Social Value) Act 2012; • the Procurement Team have been actively assisting client colleagues in meeting the Council's requirement to include social considerations in contracts, which has been achieved by the acceptance of paying the London Living Wage over an increased number of contracts; • the Code of Practice for Contractors, Suppliers and Service Providers has also been amended to include the use of contracting activity to increase the number of apprenticeships, use of local labour and local businesses; • a draft strategy has been produced and is being consulted on by colleagues, and; • the contract procedure rules have been revised within the new Constitution; • the full refresh and greater monitoring and use of a single contract register for the Council is now in place <p><u>Next steps:</u></p> <ul style="list-style-type: none"> • The strategy has been finalised except that Section 3 maybe revised in light of a pan-London change to these indices and was signed off at the Commissioning and Procurement Board in April 2013. • The Head of Law, Head of Culture & Community Development and the Procurement Strategy Manager have been tasked with producing a guidance framework for the implementation of the Public Services (Social Value) Act, which was enacted on the 31st January 2013, and will report back to EMT in early summer. |

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| 3. Governance Action | Multi-agency Governance – Maintain effective multi-agency governance and partnership working |
| Desired Outcomes | Delivery of the priorities within the Sustainable Community Strategy (2008 -2020) |
| Timescales | March 2014 |
| Lead Officer | Strategic Partnership Manager |
| | <p><u>Context & existing arrangements:</u> The Lewisham Strategic Partnership (LSP) brings together representatives from Lewisham’s public, private, voluntary and community sector organisations. The LSP Board coordinates partnership activity in Lewisham and brings together representatives from Lewisham’s public, private, voluntary and community sectors to set the overarching vision for the borough and to provide a partnership framework which will ensure that this vision is realised.</p> <p>The newest thematic board is the statutory Health and Wellbeing Board, which was a requirement of the Health and Social Care Act 2012. The Board brings together elected members and strategic partners to identify local health challenges and leads on the activity necessary to address them.</p> <p><u>Progress to date:</u></p> <ul style="list-style-type: none"> • A review of the existing LSP structure is currently taking place. Discussions are taking place with members of the LSP Board and thematic partnerships on options for the future. A report outlining the different options relating to the future role and work programme of the LSP will be presented to the LSP in late 2013 • the Council has just completed a full risk assessment and identified mitigating actions for the risks to the Council from partnership working for each of our key partners (e.g. housing, business, police, health, service to young people, the voluntary sector) • since the last reporting period it is also worth noting the outcomes of the Trust Special Administrator’s report which recommended the closure of the Accident & Emergency Unit at Lewisham Hospital in response to the financial failings of the South London NHS Trust. Representation has now been made to the TSA and Secretary of State by the Council. <p><u>Next steps:</u></p> <ul style="list-style-type: none"> • The new format for the Strategic Partnership will be in place by the end of the year. |

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| 4.Governance Action: | Internal Control - Maintain robust risk management arrangements |
| Desired Outcomes | Foreseeable risks are anticipated with mitigations and controls in place and complied with to minimise the impact on service delivery and any wider Council (e.g. financial or reputational) impact in the event of a risk materialising. |
| Timescales | March 2014 |
| Lead Officer | Head of Audit & Risk |
| Notes | <p><u>Context & existing arrangements:</u> The management of risk is handled at a corporate and directorate level and is overseen by an independently chaired Internal Control Board. The involvement and contribution made by the Constitution Working Party, the Standards Committee and the Audit Panel also provide a check on the Council's governance arrangements and risk mitigation work. In addition to this the Council has systems in place to manage business continuity, health and safety (H&S), anti-fraud & corruption, money laundering and information management.</p> <p><u>Progress to date:</u> In 2012/13 the actions for improvement identified at the Internal Control Board were implemented. This included strengthening the timeliness of completing all risk mitigation actions and internal audit recommendations, a full re-write of the corporate risk register, development of an assurance map to improve internal audit planning and focus, introduction of new e-learning modules in respect of H&S and Risk Management, ongoing work on policies and procedures to raise awareness and improve the controls around information governance, and a full refresh and move to a Corporate H&S manual.</p> <p><u>Next steps:</u></p> <ul style="list-style-type: none"> • Refresh the internal audit charter and protocols to comply with the new Public Sector standards in force from April 2013 and deliver the full planned core systems and risk based (including lessons learnt from cases of fraud) internal audit programme for the financial year; • Implement a corporate tracking process for all agreed H&S audit recommendations to improve monitoring of compliance; • Refresh the Risk Management Strategy and Policy to align with and make better use of the operational risks now identified through the STAR process as part of business planning; • Continue to strengthen the framework around information management in light of forthcoming new requirements and ongoing work around key information assets; and; • Pull together and implement a business control framework (policies, practices and people) to align and monitor the maturity and effectiveness of the risk management, controls assurance, and compliance work undertaken across the Council's activities. |

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| 5. Governance Action: | Performance Management - Maintain effective and robust performance management arrangements |
| Desired Outcomes | Performance management arrangements are a robust and transparent indication of the Council's performance |
| Timescales | August 2013 |
| Lead Officer | Head of Corporate Policy & Governance |
| Notes | <p><u>Context & existing arrangements:</u></p> <p>The monthly Management Report is the centrepiece of Lewisham's performance reporting structure. It provides performance analysis against a basket of 57 indicators including an executive summary to direct attention to areas of strong performance as well as areas requiring greater management attention. The management report is presented monthly to the Executive Management Team and quarterly to Mayor's briefing and Mayor & Cabinet. It is also available on the Council website.</p> <p>The Report brings together performance indicators, risk entities, finance data and information on major projects into one overarching document.</p> <p>The production of the monthly Management Report is supported by Directorate Management Teams, which convene performance meetings to directly monitor and address performance for which they are responsible.</p> <p><u>Progress to date:</u></p> <ul style="list-style-type: none"> • the results of the 2012 Residents Survey showed satisfaction with the Council's performance above the average for both Inner and Outer London; • progress continues to be reported against individual and aggregate performance measures (by Council priority); • the Council is also inputting into the Local Authority Performance System (led by London Councils) and LG Inform (led by the Local Government Association). <p><u>Next Steps:</u></p> <p>Over the next year the performance management framework (including the 'STAR' business planning process) will be reviewed and revised accordingly to ensure continuous improvement of arrangements.</p> |

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| 6. Governance Action | Ensure that the financial management of the Local Authority is conducted in accordance with the Council's statutory and financial obligations |
| Desired Outcomes | <ul style="list-style-type: none"> • improve the quality of auditable grant claims; • close the council's financial accounts on time, and; • accounts are produced on time and without significant issues arising from external audit. |
| Timescales | March 2014 |
| Lead Officer | Head of Business Management & Service Support |
| Notes | <p><u>Context & existing arrangements:</u> The financial management of the authority is conducted in accordance with financial regulations set out in the Constitution. The Council has designated the Executive Director of Resources as Chief Finance Officer. The Chief Finance Officer advises on the proper administration of the Council's financial affairs, keeping proper financial records and maintaining effective systems of financial control. These duties are reflected in the job description of the Executive Director for Resources and Regeneration which are set out at Article 14 of the Constitution. Financial implications are included in all committee reports and form an integral part of the information needed to aid the decision making process.</p> <p>The Council's Financial Regulations, Financial Procedures and Directorates' Scheme of Delegation, are regularly updated and communicated to all relevant staff and are available on the Council's intranet.</p> <p><u>Progress to date:</u></p> <ul style="list-style-type: none"> • successful closure of accounts closing, timetable was prepared and significantly shorter than last year, allowing for extra focus on key risk areas, audit of 2011/12 accounts was presented to Full Council on the 26th September 2012; • quality of auditable grant claims improved; • training provided to all finance staff to enable them to understand audit requirements better and hence how to prepare improved working papers. • Grant Thornton have been appointed the as the Council's new auditors <p><u>Next Steps</u></p> <ul style="list-style-type: none"> • focus on closing accounts; • preparation of the 2014/15 budget |

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| 7. Governance Action: | Business as Usual - Maintain robust control over the business as usual during the economic downturn and public sector cuts |
| Desired Outcomes | Public Welfare (social, economic and environmental wellbeing of Lewisham) |
| Timescales | March 2014 |
| Lead Officer | Annual Governance Statement Working Party |
| Notes | <p><u>Context & existing arrangements:</u> The Executive Management Team (EMT) continue to receive reports on the economic situation and its impact on related areas including employment, housing and health. EMT are also addressing the demographic pressures on school rolls.</p> <p><u>Progress to date:</u> The Council is addressing issues of unemployment, the implementation of the Health and Social Care Act, housing needs and the significant increase in demand on school places through discrete initiatives relating to:</p> <ul style="list-style-type: none"> • apprenticeships – which has seen 214 young people benefit to date; • a Housing Matters progress report, setting out the outcomes of consultation with residents and signposting options for addressing housing challenges in Lewisham, was presented to Mayor & Cabinet in January 2013; • Activities relating to the implementation of the Health and Social Care Act (2012) are nearing completion. A successful transition programme means that Public Health functions and staff will transfer to the Council on 1 April 2013. Arrangements are in place to establish a formal Health and Wellbeing Board as of 1 April and a provider has been selected through a competitive tendering process, to deliver local Healthwatch functions. In addition, Lewisham is one of the boroughs participating in a pan-London procurement exercise to commission independent NHS complaints advocacy services. • the programme to secure sufficient school places continues through a programme of permanent expansions and temporary enlargements. A new Framework agreement has been established for the procurement of buildings and building modifications. • Transition activity took place prior to April 2013 to ensure that the new local Healthwatch organisation builds upon the work of the Lewisham Local Involvement Network. Also activity in relation to Public Health, which helped staff and functions transfer successfully to the Council. <p><u>Next steps:</u></p> <ul style="list-style-type: none"> • recruitment for the 5th cohort of the apprenticeship programme (starting May/June 2013); • develop a comprehensive NEETs strategy for 14-24 year olds; • delivery of the Housing Matters programme, which will include building 250 new council homes in the next five years, a programme of improvements for existing sheltered care housing and a new extra care housing scheme, and a conversation with residents about their priorities and the potential of new investment and ownership models, and; • delivery of the Health and Wellbeing Strategy and ongoing work to progress towards achieving its priority objectives. • to continue to carry out places planning in order to cater for the additional school places that will be needed. |