

**Appendix 1: Governance Review Improvement Plan**

Reporting Period: January 2022 - 10 March 2022

| Ref    | Action   | Responsible Lead                | Delivery Date   | Measure of Success  | Link       | Progress | Last update (date)   | New Update (Feb 2022)   |          |  |   |           |   |
|--------|--|---------------------------------|---|---|------------|----------|--|---|----------|--|---|-----------|---|
| S1     | It is imperative that senior officers and senior members take effective corporate grip of long-standing service issues highlighted by the findings in this report: (including SLT, SCT, the waste service, the ERP system, and Lion Farm) and prioritise corporate effort in managing the issues identified, and embed the solutions into the Council. |                                 |   |   |            |          |  |   |          |  |   |           |   |
| S1.1   | <b>Sandwell Leisure Trust</b><br>Governance arrangements in place to manage, develop and support the current and future delivery of leisure services across the borough, including the new Aquatic Centre:   | Director - Borough Economy      |   | Cabinet approval of way forward<br>Arrangement in place for future delivery of leisure facilities<br>Clear audit trail of decisions   | 114        | G        |  |   |          |  |   |           |   |
| S1.1.A | • Governance processes refreshed and in place  |                                 | End December 2021   |   |            |          |  |   | Complete | Contract meetings continue during the exit planning phase post termination notice being served   |   |           |   |
| S1.1.B | • Appoint and retain external support to review SLT Business Plan submissions in line with contractual requirements  |                                 | Dec-21  |   |            |          |  |   | Complete | Complete - External support in place   |   |           |   |
| S1.1.C | • Following receipt and review of the revised SLT Business Plan for the coming 3-year period, to progress a recommendation and decision as appropriate.  |                                 | Feb-22  |   |            |          |  |   |          | Update by KA on 05/02/22: Cabinet report 09/02/22 for termination decision<br>Update by AD on 24/02/22 as follows: 17/02/22 AD - Termination notice served to SLT<br>Emergency Step in quotes received & assessed 18/02/22. Cabinet Workshops held 16/02/22 & 22/02/22 to consider principles & management model option appraisal 23/02/22 Cabinet Workshop held on finance impacts for management options<br>24/02/22 Union meeting re. mangt options<br>02/03/22 Further Cabinet Workshop re. managt. options around Ts & Cs<br>Scrutiny session for 10 March discussion of management model options & helath & well being holistic offer<br>02/03/22 Exit planning meetings with SLT started to progress an agreed exit plan<br>Option Appraisal report preparation for Cabinet decision in Summer 2022 |   |           |   |
| S1.2.A | <b>Sandwell Children's Trust</b><br>Continue with robust governance arrangements in place ensuring the accountability of SCT to deliver improved outcomes for children and young people in Sandwell in line with the contract  | Director - Children & Education | In place – Measure quarterly through reporting framework to ensure embedded | Improved performance on KPIs and Service Level Agreements in the contract   |            | G        | In place – to be measured quarterly to ensure action embedded  | Update by KA on 05/02/22 as follows: review of SCT contract at 5 year break to commence, due to be completed by Summer 2022. KPI suite reviewed and with SCT to agree. Will be monitored from 2023/24 onwards to align with reviewed contract. Also building key measures into SMBC corporate PMF   |          |  |   |           |   |
| S1.2.B | <b>Sandwell Children's Trust</b><br>Establish and maintain positive relationship between SMBC and SCT at senior officer and member level   | Director - Children & Education | In place and Ongoing  | Improved outcomes for children and young people in Sandwell   | 113        | G        | In place and ongoing.  | MJ 28.2.22. Introduced new cross SCT and council leadership meetings to include the CEO of Trust and the Chair of the Trust Board along with the Council's DCS and Lead Member for Children's Services.   |          |  |   |           |   |
| S1.2.C | <b>Sandwell Children's Trust</b><br>Establish corporate approach to working with SCT on shared issues, such as corporate parenting and delivery of Early Help services   | Director - Children & Education | Sep-22  | Refreshed Corporate Parenting Strategy and Early Help Strategy<br>Successful implementation of SMART action plans to deliver the strategies across the partnership            |            | G        |  | MJ 28.2.22. Launching the system wide Early Help Strategy (17 March 2022). Corporate Parenting developments - work underway to re-focus strategic priorities including, though not limited to, apprenticeships and NEET measures for CLA.   |          |  |   |           |   |
| S1.3.A | <b>Waste Contract</b><br>Refocused and strengthened contract management meetings in line with contract requirements:<br>-Waste Board<br>-Senior Strategic Contract Meeting<br>-Operational Contract Meeting<br>-Fleet Replacement Focused Steering Group   | Director - Borough Economy      | Mar-22  | Improvement in quality score for street cleansing.<br>Reduction in missed bins.<br>Revised terms of reference and standard agendas in place for contract management meetings. | I22<br>I23 | G        | In place and ongoing.<br>Would expect to see improvements in reporting performance within six months (June 2022) | Update by AD 24/02/22 as follows: Waste Board 17/02/22 - and additional session being arranged as full agenda not covered<br>Agreed to extend Waste Board to 2 hours with refreshed Terms of Reference & revised performance reporting to be proposed<br>Senior Contract Meeting standard agenda updated & meeting monthly with action notes<br>Fleet Group in place & meeting weekly |          |  |   |           |   |
| S1.3.B | <b>Waste Contract</b><br>Review of the contract to refocus our communications and contract monitoring in areas of poor performance and to ensure the council receives the full provisions within the contract from Serco   |                                 |   |   | Mar-22     |          |  |   | as above | I23  | G | Commenced | Update by AD 24/02/22 as follows: Tender opportunity for a review of the Serco contract published on ESPO March 2022. |
|        | <b>Waste Contract</b>  |                                 |   |   |            |          |  |   |          |  |   |           |   |

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| S1.3.C | Introduction of a more focused framework for contract monitoring   | Economy  | Apr-22   | Development of contract management framework and introduction of a regular performance dashboard and monitoring.   | 123 | G        | Commenced  | Update by AD 24/02/22 as follows: Outline approach drafted for refreshed contract monitoring through a framework 08/03/22 Workshop with Waste Team to progress draft revised contract monitoring approach including street cleansing Appointment of 3 additional performance officers to the team underway Feb/March 2022   |
| S1.3.D | <b>Waste Contract</b><br>To undertake the appointment of a representative to review contractor records, and undertake site visits as required to further enable the Council to monitor the performance of the contract within the market place |  | Sep-22   | Value for money benchmarked with other authorities.  |     | G        | Commenced - An outline of the council's requirements has been drafted during December 2022                     | Update by AD 24/02/22 as follows: As above tender currently live on ESPO for the appointment of a consultant to review the Waste contract   |
| S1.3.E | <b>Waste Contract</b><br>Resolution of Industrial Relations issues   |  | Dec-21   | GMB agree that issues addressed and stand down industrial action   |     | Complete | Complete- Resolved end December 2021   | <b>Update by AD 24/02/22 as follows:</b> Complete- Resolved end December 2021.  |
| S1.4   | <b>ERP System</b><br>Implement Cabinet approved action plan to deliver Oracle Fusion   | Director - Finance<br>Director - Business Strategy & Change                                |  | Oracle Fusion implemented within agreed timescales and budget  | 128 |          |  |   |
| S1.4.A | • Terminate implementation partner contract with InoApps   | Director - Finance<br>Director - Business Strategy & Change<br>Director - Law & Governance | In progress  | Termination of contract completed  | 128 | Complete | Commenced - Termination letter issued December 2021 after Cabinet decision on 15/12/21                         | NC 2/3/22 - Contract terminated following decision from Cabinet   |
| S1.4.B | • Procure new support provider to deliver Oracle Fusion  | Director - Finance<br>Director - Business Strategy & Change                                | End March 2022   | Oracle Fusion implemented within agreed timescales and budget  | 128 | A        | Commenced - Contractors on procurement framework to conduct baselining work to determine procurement timescale | Health Check work is underway and will be completed by end of March. SOCITM commissioned to provide support to review governance arrangements, refresh branding and undertake benefit realisation workshops, and put together a Change Readiness Assessment. Procurement process for new support partner due to launch in early April. SH 7/03/22<br>NC2/3/22 - Scoping exercise currently being undertaken by Evosys and Version 1 |
| S1.4.C | • Review operational team to ensure there are appropriate resources in place during implementation phase   | Director - Finance<br>Director - Business Strategy & Change                                | Feb-22   | Any gaps in operational capacity identified and options developed for addressing gaps  | 128 | G        | Commenced  | Underway. SOCITM providing support for this phase. SH 7/3/22<br>NC 2/3/22 - Resources for project team reviewed for all key areas, additional support from SOCITM also procured in this area.   |
| S1.4.D | • Project management training for all of project team, including Project Sponsors  | Director - Business Strategy & Change  | PM methodology agreed - December 2022<br>Implementation of training - April 2022 | All of project team attend project management training   | 128 | A        | Commenced  | 3/3/2022 NC: Procurement of project management training has commenced, however delivery date will need to be reprofiled for the implementation of training  |
| S1.4.E | • Implement robust project management arrangements   | Director - Finance<br>Director - Business Strategy & Change                                | Feb-22   | Project management methodology refreshed and adopted, including risk management approach<br>SRO confirmed<br>Oracle Fusion implemented within agreed timescales and budget | 128 | A        | Commenced  | Underway. SOCITM providing support for this phase. Project Management Training being procured and will have been delivered in time for new support partner to be in place.<br>NC: 2/3/2022 - Initial proposal put forward to leadership team on 2/3 outlining process for initiating, overseeing and documenting key projects. RJ 03/03/22 Slippage in delivery date but NC confirmed this does not impact on critical path         |
| S1.5   | <b>Lion Farm</b><br>Action plan to agree way forward and resolve matter  |  |  |  | 125 |          |  |   |
| S1.5.A | • Brief Cabinet on options   |  | Completed December 2021  |  |     | Complete | Completed  | Completed   |
| S1.5.B | • Presentation of proposal by developer to Cabinet   | Director - Regeneration & Growth   | Completed December 2021  | Action plan in place that addresses recommendations of external review with achievable timescales.<br>Implementation of action plan  |     | Complete | Completed  | Completed   |
|        |  |  |  |  |     |          |  | <b>Update by RJ 28/02/22 as follows:</b> Decision made by Cabinet on  |

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| S1.5.C  | Options appraisal report to Cabinet for approval of way forward   |                                       | 12-Jan-22                              |  | I26               | G | Commenced | 12/01/22 regarding options for moving forward. Terms of appointment for external Independent Expert in process of being agreed. Future report back to Cabinet on outcome of determination / position of developer.   |
| S1.5.D  | Implement approved way forward  |                                       | As per action plan for approved option | Action plan in place with achievable timescales  |                   | G |           | Update by KA 05/02/22 as follows: Action plan in place to progress Cabinet's decision.   |
| S1.6  | Develop and publish Regeneration Pipeline, including dates for delivery, and regularly report on progress                             | Director - Regeneration & Growth      | Mar-22                                 | Comprehensive Regeneration Pipeline published to underpin significant regeneration and development in Sandwell in period 2022-2027.  |                   | G | Commenced | Update by RJ 28/02/22 as follows: - Regeneration Pipeline discussed at Cabinet workshop end Jan. Consultation with Scrutiny pending. Regeneration Strategy, Pipeline and Business Recovery Plan is scheduled for consideration at Cabinet 23rd March 2022. The pipeline includes an estimated year of delivery against each project.   |
| S1.7  | Refresh decision making arrangements including role of Scrutiny   | Director - Law & Governance           | Mar-22                                 | Updated executive procedure rules (including Forward Plan), council procedure rules, scrutiny arrangements, updated scheme of delegation for officers, and implementation of Phase 2 of ModGov and CIVICO.   | I26               | A | Commenced | Update by EN 4.3.22 Governance Review now underway. Benchmarking against best practice models progressing and initial themes and recommendations are emerging. to be progressed with relevant Members and Committees during March and final recommended changes to Council in April 2022   |
| S2 The Council must ensure that the learning in relation to commercial decisions, procurement and contract management highlighted in this report are understood through the organisation. |   |                                       |  |  |                   |   |           |  |
| S2.1 Refresh key corporate governance documents including:  |   |                                       |  |  |                   |   |           |  |
| S2.1.A  | Procurement and Contract Procedure Rules to incorporate recommendations of this review including:<br>Review of procurement thresholds | Director - Finance                    | Apr-22                                 | P&CPR reviewed and incorporate key learning including policies, procedures, record keeping, timescales<br>Future major procurements are conducted within appropriate timescales  | I18               | G | Commenced | Update by EN 4.3.22 Governance Review now underway. Benchmarking against best practice models progressing and initial themes and recommendations are emerging. to be progressed with relevant Members and Committees during March and final recommended changes to Council in April 2022. Update ST 11/03/22 - In light of LGA Peer Review recommendations with emphasis on engagement with officers, members and external stakeholders, timescales extended to July to increase engagement and development activity before Council approval in Summer 2022. |
| S2.1.B  | Financial Regulations   | Director - Finance                    | Apr-22                                 | Financial Regulations updated within timescale   |                   | G | Commenced | Update by EN 4.3.22 Governance Review now underway. Benchmarking against best practice models progressing and initial themes and recommendations are emerging. to be progressed with relevant Members and Committees during March and final recommended changes to Council in April 2022. Update ST 11/03/22 - In light of LGA Peer Review recommendations with emphasis on engagement with officers, members and external stakeholders, timescales extended to July to increase engagement and development activity before Council approval in Summer 2022. |
| S2.1.C  | Scheme of Delegations (including delegated decision making on hosting events)   | Director - Law & Governance           | Mar-22                                 | Updated Scheme of Delegation approved for executive and council-side functions<br>Clear thresholds on participation or income projection included in decision making delegation<br>In the event that legacy issues arise, they are dealt with appropriately and learned from | I1<br>I8<br>I21   | A | Commenced | Update by EN 4.3.22 Governance Review now underway. Benchmarking against best practice models progressing and initial themes and recommendations are emerging. to be progressed with relevant Members and Committees during March and final recommended changes to Council in April 2022. Update ST 11/03/22 - In light of LGA Peer Review recommendations with emphasis on engagement with officers, members and external stakeholders, timescales extended to July to increase engagement and development activity before Council approval in Summer 2022. |
| S2.1.D  | Corporate approach to Project Management, including requirement of full business cases for major projects                             | Director - Business Strategy & Change | May-22                                 | Clear frameworks in place and applied across the council   | I28               | A | Commenced | NC: 2/3/2022 - Initial proposal put forward to leadership team on 2/3 outlining process for initiating, overseeing and documenting key projects. RJ 14/03/22 Slippage against original delivery date of Feb 22. Timescale re-profiled to May.  |
| S2.1.E  | Develop template for Corporate Projects which includes Options Appraisals and Business Case   | Director - Finance                    | Jan-22                                 | Comprehensive template in place that supports effective decision making at all levels  | I15<br>I19<br>I28 | A | Commenced | Project documentation approved as part of Corporate Transformation Programme. SH to review to see if this is suitable for capital business cases. SH 7/3/22  |

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| S2.1.F | <ul style="list-style-type: none"> <li>Review the Sale of Land and Buildings Protocol in the Council's Constitution and enhance content to improve clarity</li> </ul>  | Director - Regeneration & Growth      | Aug-22    | Clear protocol on Land Disposals and Options Agreements approved by Council                               | 127  | G |   | Update by RJ 28/02/22 as follows: Initial review of draft protocol held 24th Feb with Director of Regen and Legal and Property Services. Further revisions to be developed and applied. Internal consultation will be required. On track for final version by August. Will require Cabinet approval thereafter.  |
| S2.1.G | Design and deliver Corporate Governance training for officers to include refreshed governance documents and contract management  | Director - Law & Governance           | Jul-22    | Attendance by all appropriate officers  | 115  | G |   | EN 4.3.22 will be influenced by outcomes of governance review. draft decision making development modules are progressing   |
|        |  | Director - Finance                    |           | Appropriate decision making at all levels   | 119  |   |   |  |
|        |  | Director - Business Strategy & Change |           |   | 128  |   |   |  |
| S2.2   | Develop and implement Commercial Strategy:   | Director - Finance                    | 22-Jul    | Commerical Strategy agreed within timescale<br>Identifies achievable income generating workstreams        |      | G |   | C Co commissioned to lead development of Commercial Strategy, identification of opportunities and training for key employees. Underway. SH 7/03/22   |
| S2.2.A | <ul style="list-style-type: none"> <li>Training for officers and workshops to develop strategy</li> </ul>  | Director - Finance                    | Feb-22    | Attendance of all appropriate officers at training and involved in workshops                              |      | G | Commenced - CIPFA commissioned to provide external support and expertise to develop Commercial Strategy | <b>Update by KA 05/02/22 as follows:</b> workshops held in January 2022 with key officers. Survey issued to wider pool of officers in early February 22  |
| S2.2.B | <ul style="list-style-type: none"> <li>Commercial Strategy developed</li> </ul>  | Director - Finance                    | May-22    | Commerical Strategy agreed within timescale<br>Identifies achievable income generating workstreams        |      | G |   | Work on track with C Co. Presenting to Budget Board on 8/3/22 to agree next steps. SH 7/3/22   |
| S2.2.C | <ul style="list-style-type: none"> <li>Business case for two workstreams developed</li> </ul>  | Director - Finance                    | Jun-22    | Robust business case for workstreams delivered  |      | G |   | Work on track with C Co. Presenting to Budget Board on 8/3/22 to agree next steps. 7/3/22  |
| S2.3   | Develop a Corporate Asset Management Strategy which is aligned with relevant Council property related strategies, including:<br><ul style="list-style-type: none"> <li>Aligning all decisions with Corporate Objectives including service area asset requirements based on business planning modelling with a robust risk assessment process to support the process.</li> <li>Building on the Work Place Vision (WPV) strategy currently being implemented, by continuing to monitor business property needs post-Covid.</li> <li>Developing a Property Maintenance Account which is fit-for-purpose, provides value for money, and is effectively managed.</li> <li>Aligning a fit-for-purpose ICT strategy which supports flexible working.</li> <li>Identifying and promptly disposing of surplus assets.</li> <li>Ensuring value for money from the council's investment portfolio.</li> </ul> | Director - Regeneration & Growth      | Sep-22    | Corporate Asset Management System procured and in place, and supporting flexible working                  | 115, | G |   | Update by RJ 01/03/22 as follows: Constituent parts of the strategy are progressing and will be pulled together into a single strategy document. The constituent parts are: Workplace Vision, Transforming Local Services, Asset Review, Surplus Assets and Commercial Estates. Workplace Vision workstream is progressing well. Next tranche of TLS and asset rationalisation and disposal to be considered. Paper scheduled for Cabinet in March around maximising value out of the surplus assets portfolio. Regarding the commercial estate, recommendations from Deloitte report are being implemented. |
|        |  |                                       |           | Timely decisions made on disposal of surplus assets<br>Value for money derived from use of council assets | 116  |   |   |  |
| S2.4   | Develop a 30-year Housing Revenue Account Strategy, utilising sector expertise from Savills  | Director - Housing                    | 01-Apr-23 | 30-year strategy developed  |      | G | Commenced - Savills report received   |  |

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| S2.5  | Refresh and embed the Corporate Procurement Strategy, ensuring that lessons from previous activity are incorporated and local spend is increased:  | Director - Finance                                 | Jul-22   | Achieving action plan in CPS<br>Outcomes identified in CPS  |    |   |   |   |
| S2.5.A  | <ul style="list-style-type: none"> <li>Conduct spend analysis</li> </ul>   | Director - Finance                                 | Jul-22   | Spend analysis conducted and used to inform refresh of CPS  |    | G |   | Interim Procurement Strategy Manager in place to lead on this in timescale. SH 7/3/22   |
| S2.5.B  | <ul style="list-style-type: none"> <li>Develop Social Value Policy</li> </ul>  | Director - Finance                                 | Jul-22   | Social Value Policy adopted by Council SVP aligns to Corporate Plan and Fairer Sandwell Principles  |    | G |   | Interim Procurement Strategy Manager in place to lead on this in timescale. SH 7/3/22   |
| S2.5.C  | <ul style="list-style-type: none"> <li>Address capacity issues within the Corporate Procurement Service to refresh and deliver the Corporate Procurement Strategy</li> </ul>   | Director - Finance                                 | Jan-22   | Procurement Team has appropriate skilled capacity   |    | G |   | Mix of interim and permanent recruitment in place to solve immediate issues. Longer term restructure also planned. SH 7/3/22  |
| S2.6  | Embed management of key corporate contracts within the Performance Management Framework to ensure oversight of performance and link to the Corporate Plan  | Director - Business Strategy & Change              | Mar-22   | Key contract performance discussed at LT regularly<br>Report to Cabinet regularly   |    | G | Commenced - contract KPIs to be included within the PMF as well as regular discussion at Leadership Team on contract performance  | <b>Update by KA 05/02/22 as follows:</b> expect to start reporting on these measures in the PMF from March 22   |
| S3 Senior leadership, both officers and members, must demonstrate that they can continue to work together effectively, that they operate in line with the Council's values, codes, policies and procedures, and that there is zero tolerance to inappropriate behaviours. This includes changing the organisational culture in relation to complaints so that they restore balance and proportionality. |  |  |  |   |    |   |   |   |
| S3.1  | Review the council's values, codes and procedures to ensure they are fit for purpose and focus on building the organisation of the future  | Chief Executive                                    | February 2022 to review<br>Refresh – timescale TBD                       | Sign off by Cabinet and/or Council as appropriate   | 16 | G | Commenced   | NC 2/3/22 - Item agenda'd for discussion at leadership team on 9/3/2022   |
|   |  | Director - Business Strategy & Change              |  |   |    |   |   |   |
|   |  | Director - Law & Governance                        |  |   |    |   |   |   |
|   |  | Leadership Team                                    |  |   |    |   |   |   |
| S3.2  | Develop and implement Member Development Programme to address knowledge and skills gaps, develop positive behaviours and focus on delivery of the Corporate Plan:<br><ul style="list-style-type: none"> <li>Involve more officers across the council to develop members' knowledge in key areas, and trust in officers.</li> <li>MDP needs to address both corporate learning and portfolio specific, and specific roles</li> <li>Corporate governance training provided to members of Cabinet and those in key governance related roles (specifically Scrutiny and Audit Committee roles, and those who sit on external Boards)</li> <li>Review induction process for new members to include local government finance and corporate governance roles and engagement with more officers (including junior officers)</li> <li>Include continuation of LGA Cabinet Member mentoring programme including subject specific for Cabinet portfolios</li> </ul> | Ethical Standards and Member Development Committee | Updated programme developed - April 2022<br>Implementation from May 2022 | MDP addresses both corporate and portfolio specific learning needs<br><br>Members take-up of development programme and offers of support<br><br>Compliance with Member Code of Conduct<br><br>No issues identified in future external reviews/assurance<br><br>Healthy and regular dialogue between senior leaders, groups and whips<br><br>In the event that legacy issues arise, they are dealt with appropriately and learned from | K7 | G | Commenced - Member Working Group established<br>Kick start conversation with members imminent<br><br>Cabinet member portfolio mentoring in place already, regular meetings, away day in January 2022. | EN Update 4.3.22 draft MD strategy and programme in development as part of the governance review work strands.<br>Member discussions on experiences and wants/needs in train.<br>Focus group with May 2021 cohort of elected members will inform future approach to new member induction<br>Update ST 11/03/22 - In light of LGA Peer Review recommendations with emphasis on engagement with members and external stakeholders, timescales extended to July Council to increase engagement activity. |
|   |  | Executive  |  |   |    |   |   |   |
|   |  | Director - Law & Governance                        |  |   |    |   |   |   |
|   |  | Head of Leader's Office                            |  |   |    |   |   |   |
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| S3.3  | Develop a behaviour framework that sets out the expectations on managers and officers that is aligned with the appraisal framework, performance management and Officer-Member protocol   | Director - Business Strategy & Change              | Apr-22   | No issues identified in future external reviews/assurance<br>Behaviour framework developed and agreed   |    | G | Commenced   | Update by KA 05/02/22 as follows: draft Management behaviour framework discussed at Leadership Team 26/01/22. further refinement underway<br>Update 4.3.22 EN - request at service manager corporate briefing for guidance on member/officer relationships - this is in draft   |

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| S3.4 | Develop a clear programme of management development aligned to the Behaviour Framework and Council's values to ensure managers have the knowledge and skills to exhibit the expected behaviours   | Director - Business Strategy & Change                  | Jul-22  | Programme implemented<br>Managers attending<br>Engagement survey feedback that managers are demonstrating values and expected behaviours   |     | G | Commenced   | 10/03/22 SS: Initially work has been undertaken on a revised Management Development Programme. This will be finalised when the new behaviour framework has been fully approved with feedback from all relevant parties. This will ensure that the development programme is fit for purpose and aligned to the management behaviours we expect to see. |  |
| S3.5 | Engage LGA to support officers and members to develop the relationship going forward. (Linked to values/behaviours/codes review)  | Chief Executive  | Feb-22  | Actions identified with LGA and implementation plan formed   |     | A |   | ST & IW 08/03/22: ST has written to LGA seeking availability for a discussion to progress this action. Matter is linked to the council's culture change programme and Member Development Programme which are underway.  |  |
|      |   | Director - Law & Governance<br>Head of Leader's Office |   | Better understanding between officers and members of their respective responsibilities and roles.<br>Increased confidence and appreciation of one another.                           |     |   |   |   |  |
|      |   |  |   |  |     |   |   |   |  |
| S3.6 | Continue with regular weekly meetings between Cabinet Members and Leadership Team to address knowledge gaps and facilitate discussion on key issues   | Chief Executive  | Informal Cabinet every Wednesday                            | Positive outcome from Peer Review  | 11  | G | In place and ongoing  | LshpTeam 10/03/22: Regular meetings are in place. Next action is for collective discussion with Directors and Cabinet to ensure these discussions are meeting needs.  |  |
|      |   | Leader   |   | Key topics covered in meetings   |     |   |   |   |  |
|      |   | Director - Law & Governance                            |   | In the event that legacy issues arise, they are dealt with appropriately and learned from  | 133 |   |   | ST 07/03/22: ST also has regular fortnightly meetings with the Leader.  |  |
|      |   | Cabinet Members  |   |  |     |   |   |   |  |
|      |   | Leadership Team  |   |  | k7  |   |   |   |  |
| K4   | The Council's leadership needs be relentless in its focus in delivering and embedding sustainable change, and use its past history as a reference point when focusing on improvement.   |  |   |  |     |   |   |   |  |
| K4.1 | Develop Improvement Plan to address the recommendations and report on progress regularly:<br>-Leadership Team – monthly<br>-Leader's Briefing – monthly<br>-Cabinet – progress update monthly and formal reporting quarterly<br>-External Audit – six months/annually | Chief Executive  | Plan approved - January 2022<br>Progress reported regularly | Improvement Plan approved by Full Council in January, following approval by Leader of the Council<br>Actions are SMART<br>Positive feedback from External Auditor/no gaps identified | k8  | G | Commenced – Improvement Plan submitted to Council for approval 18/01/22 | <b>Update by KA 05/02/22 as follows:</b> Improvement Plan approved by Council 18/01/22. Regular reporting meetings to be scheduled in diaries<br>Plan will need to evolve into one single improvement plan to address GT review, CIPFA review and LGA Peer Challenge.   |  |
| K4.2 | Develop a Continuous Improvement Plan to ensure that we understand the lessons learned (e.g. when things go wrong) and embed the learning in our appraisals and performance management systems  | Director - Business Strategy & Change                  | May-22  | Continuous Improvement Plan in place and adopted across the council<br>Improvements made as a result of interventions set out in CIP   |     |   | Not Yet Started   |   |  |
| K4.3 | Develop and implement an improvement plan to address recommendations from CIPFA's Financial Management Review   | Director - Finance                                     | Jan-23  | Plan in place by end January 2022<br>All recommendations from CIPFA review implemented<br>Improvement of star rating   | 136 | G | CIPFA's report expected w/c 10/01/22                                    | <b>Update by KA 05/02/22 as follows:</b> CIPFA report received w/c 24/01/22, plan in development and will feed into the council's single improvement plan   |  |
| K5   | Critical to embedding the transformation and change required will be the appointment of the right permanent Chief Executive. The Council must ensure an effective recruitment process, including attracting a pool of appropriate candidates.                         |  |   |  |     |   |   |   |  |
| K5.1 | Conduct robust recruitment process for permanent Chief Executive designed to attract the best candidates  | Director - Human Resources                             | March-May 2022  | Chief Executive appointed following election   | 130 | G | Systems in place to recruit to permanent CEX                            | <b>Update by KA 05/02/22 as follows:</b> awaiting Secretary of State's decision regarding intervention  |  |

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| K5.2   | Implement Communications and Corporate Affairs Strategy – raising Sandwell’s national profile to showcase the good work of the council  | Director - Business Strategy & Change | Feb-22 | National positive profile of Sandwell increased<br><br>High quality candidates apply for Chief Executive role  |     | G | Commenced  | NC 3/3/22 - Work of the communications team is now being structured around the key workstreams outlined in the corporate communications strategy  |
| K6 The Council should ensure that a corporate performance framework is agreed so that the implementation of the Corporate Plan can be effectively monitored, and there is collective corporate responsibility rather than silo working.  |   |                                       |        |  |     |   |  |   |
| K6.1   | Develop and embed a corporate performance management framework that provides Leadership Team and members collective oversight of progress on the Corporate Plan, key operational level intelligence, organisational health and improvement activity | Chief Executive                       | Mar-22 | Corporate performance framework in place by target date<br><br>Leadership Team and members have access to regular reporting of key information that informs decision making to address performance issues<br><br>Collective management of key measures | 13  | G | Corporate Plan in place, directorate business plans being developed to include/inform performance measures for Corporate Plan – session to agree these KPIs due January 2022<br><br>Initial discussions on customer experience and organisational health measures 01/12/21, further development to be reported in end January 2022 | Update by KA 05/02/22 as follows: PMF in development, building up four elements on Customer Experience, Organisational Health, Improvement and Finance. Monthly sessions to Leadership Team. Aim to take report to Council in April 2022. |
|  |   | Director - Business Strategy & Change |        | Clear lines of accountability, responsibility and delegated authority  | 16  |   |  |   |
|  |   |                                       |        |  | 18  |   |  |   |
|  |   |                                       |        |  | 122 |   |  |   |
|  |   |                                       |        |  | 136 |   |  |   |
| K6.2   | Explore implementation of a corporate performance management system   | Director - Business Strategy & Change | Aug-22 | Options appraisal and business case developed, aligned with budget plan  |     | G | Commenced  | 2/3/22 NC - considering all options for performance management systems whilst also developing corporate use of Power BI   |
| K6.3   | Develop, implement and monitor progress of Directorate and Service level plans to deliver the Corporate Plan  | Director - Business Strategy & Change | Mar-23 | Directorate and Service Level Plans in place   | 13  | G | Service Plans to be introduced as corporate expectation for 2023/24  | 05/02/22 KA - directorate level plans in place, Corporate Plan actions to be reported to Cabinet in February/March 2022   |
|  |   | Leadership Team                       |        | Clear lines of accountability, responsibility and delegated authority  | 18  |   |  |   |
| K6.4   | Ensure public consultation results are incorporated into Performance Management Framework, including on budget development  | Director - Business Strategy & Change | Mar-22 | Key measures incorporated into PMF and influencing improvement actions   | 18  | G |  | 05/02/22 KA - procurement for external support to deliver Residents' Panel to commence 14/02/22. Forward plan of consultation to be developed, first to be LGA survey   |
|  |   | Leadership Team                       |        |  |     |   |  |   |
| K7 Members in key statutory roles, in particular in relation to Cabinet, scrutiny, standards and audit, need to be provided with effective development, training and support. The member development programme should be reviewed to ensure corporate governance forms part of the training for members with governance roles. |   |                                       |        |  |     |   |  |   |
| S3.2   | Member Development Programme  |                                       |        | see update at S3.2   |     |   |  |   |
| S3.6   | Continue with regular weekly meetings between Cabinet Members and Leadership Team to address knowledge gaps and facilitate discussion on key issues   |                                       |        | see update at S3.6   |     |   |  |   |
| K7.1   | Develop forward plan for All Member Briefings based on themes of work/areas for development   | Director - Law & Governance           | Mar-22 | Terms of reference for briefing meetings and agendas in place.<br><br>Maintain importance of informal and safe space.<br><br>More regular meeting pattern in place - balancing needs of responding to issues in a timely manner                        |     | G | Commenced  | RJ 08/03/22: This is a rolling programme and ongoing action.  |
| K8 The Council should develop and agree an action plan in relation to the statutory, key and improvement recommendations included in this report, ensuring that they are specific, measurable, attainable, realistic and time-bound.   |   |                                       |        |  |     |   |  |   |
| K4.1   | Develop Improvement Plan to address the recommendations and report on progress regularly:<br>•Leadership Team - monthly<br>•Cabinet - quarterly   |                                       |        | see update at K4.1   |     |   |  |   |
| I1 Officer and Member Relationships  |   |                                       |        |  |     |   |  |   |
| Embedding the changes that have been made by the Leadership Team and those that are planned will be critical if the Council is to realise its strategic ambition and provide effective governance.   |   |                                       |        |  |     |   |  |   |
| S2.1.C   | Refresh key corporate governance documents including:<br>•Scheme of Delegations and decision-making framework (including delegated decision making on hosting events)   |                                       |        | see update at S2.1C  |     |   |  |   |
| S3.2   | Develop and implement Member Development Programme to address knowledge and skills gaps, develop positive behaviours and focus on delivery of the Corporate Plan  |                                       |        | see update at S3.2   |     |   |  |   |
| S3.6   | Continue with regular weekly meetings between Cabinet Members and Leadership Team to address knowledge gaps and facilitate discussion on key issues   |                                       |        | see update at S3.6   |     |   |  |   |

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| I1.1   | Continue to adopt "Star Chamber" approach for Cabinet Members and Chief Officers as part of budget setting approach   | Director - Finance  | Summer 2022 | Star Chamber sessions held in Summer 2022<br>Discussion inform development of robust MTFS  | I36<br>I5 | G        |   | Will be considered as part of budget process for 2023/24 SH 7.3.22   |
| I2     | <b>Officer and Member Relationships</b><br>Enhancement of the induction programme to new members of Cabinet, including on local government finance and their governance roles is recommended.   |   |             |  |           |          |   |  |
| S3.2   | <i>Member Development Programme:</i><br>• Induction programme<br>• Corporate governance training  |   |             | see update at S3.2   |           |          |   |  |
| I3     | <b>Officer and Member Relationships</b><br>The Council should ensure that corporate KPIs are agreed so that the implementation of the Corporate Plan can be effectively monitored.  |   |             |  |           |          |   |  |
| K6.1   | Continue to develop and embed a corporate performance management framework that provides Leadership Team and members of collective oversight of progress on the Corporate Plan, key operational level intelligence and improvement activity   |   |             | see update at K6.1   |           |          |   |  |
| K6.3   | Develop, implement and monitor progress Directorate and Service level plans to deliver the Corporate Plan   |   |             | see update at K6.3   |           |          |   |  |
| I4     | <b>Officer and Member Relationships</b><br>The forward plan of the Cabinet should be shared with the Audit Committee and Scrutiny Board to help structure their agenda planning.  |   |             |  |           |          |   |  |
| I4.1   | Implement sharing of the Cabinet Forward Plan to Audit Committee and Scrutiny Board   | Director - Law & Governance   | Immediate   | Chairs of ARAC and Scrutiny Boards receive Forward Plan and use it to determine future agendas   |           | Complete | COMPLETED<br>Scrutiny Boards receive the Forward Plan already but as from the start of Jan, ARAC Chair will also receive it.  |  |
| I5     | <b>Officer and Member Relationships</b><br>The Leadership Team should agree key medium-term financial objectives and principles. There should be effective ownership of the principles that underpin the budget setting process, for example the Council's approach to reserves, contingency and Minimum Revenue Provision (MRP).   |   |             |  |           |          |   |  |
| I1.1   | Continue to adopt "Star Chamber" approach for Cabinet Members and Chief Officers as part of budget setting approach   |   |             | see update at I1.1   |           |          |   |  |
| I5.1   | Continue to provide regular budget monitoring reporting:<br>• Leadership Team - monthly<br>• Cabinet Member/Informal Cabinet/Leader's Briefing – monthly<br>• Cabinet - quarterly   | Director - Finance  | Achieved    | Senior officers and members have oversight of budget position  |           | Complete | Ongoing action - Monthly reporting to Leadership Team and Cabinet Member in place<br>Formal quarterly reporting to Cabinet  |  |
| I6     | <b>Officer and Member Relationships</b><br>Senior officers and senior members must lead by example to ensure that the "tone from the top" consistently reflects these values and behaviours. This is critical in ensuring that the wider organisation recognises that changes have been made and that all people are confident in adopting these values and behaviours. This should build on recently introduced staff briefings to include a programme of staff engagement including "pulse" checks to benchmark and monitor progress on the organisation's wellbeing. |   |             |  |           |          |   |  |
| S3.1   | Review the council's values, codes and procedures to ensure they are fit for purpose and focus on building the organisation of the future   |   |             | S3.1   |           |          |   |  |
| I6.1   | Build organisational health metrics into performance management framework, including 'pulse' checks on organisation's wellbeing   | Director - Business Strategy & Change<br>Director - Human Resources | Mar-22      | Leadership Team understand the organisational health of the council and implement action to address issues<br><br>'pulse' surveys held to capture intelligence on<br><br>IIP assessment takes place, and any issues identified addressed | K6        | G        | Commenced<br><br>Organisational Health measures discussion held at LT on 01/12/21, reporting to commence end January 2022<br><br>Employee Engagement Survey 2022 in development | 05/02/22 KA - Organisational Health metrics included in PMF and reporting mechanisms agreed. Employee Engagement Survey to be launched 15/02/22. |
| I7     | <b>Officer and Member Relationships</b><br>The Council should ensure that the review of the member development programme is appropriate. In particular, thought should be given to how members with special responsibility roles are developed and supported. This should include succession planning for these roles.  |   |             |  |           |          |   |  |
| S3.2   | Develop and implement Member Development Plan   |   |             | see update at S3.2   |           |          |   |  |
| I8     | <b>Officer and Member Relationships</b><br>Further work is required to establish a formal performance management framework and agree a set of key corporate indicators for the Leadership Team to collectively manage, receive appropriate management information to monitor progress, and set out clear lines of accountability, responsibility, and delegated authority.  |   |             |  |           |          |   |  |
| S2.1.C | Refresh key corporate governance documents including:<br>• Scheme of Delegations and decision-making framework (including delegated decision making on hosting events)  |   |             | see update at S2.1C  |           |          |   |  |
| K6.1   | Develop and embed a corporate performance management framework that provides Leadership Team and members of collective oversight of progress on the Corporate Plan, key operational level intelligence, organisational health and improvement activity  |   |             | see update at K6.1   |           |          |   |  |
| K6.3   | Develop, implement and monitor progress Directorate and Service level plans to deliver the Corporate Plan   |   |             | see update at K6.3   |           |          |   |  |
| K6.4   | Ensure public consultation results are incorporated into Performance Management Framework, including on budget development  |   |             | see update at K6.4   |           |          |   |  |
| I9     | <b>Officer and Member Relationships</b><br>The recent introduction of financial benchmarking will need to be sustained to create a culture of curiosity in services in how nearest statistical neighbours are performing, to support savings identification and to drive improvements   |   |             |  |           |          |   |  |

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|---------|--|--|-----------------------------|--|---|--|--|
| 19.1    | Build benchmarking of financial and service performance into performance management framework  | Director - Finance<br>Director - Business Strategy & Change    | Mar-22                      | Benchmarking information included in regular reporting to Leadership Team and Members<br>Benchmarking used to inform focus of improvement activity   | G | Financial benchmarking introduced in 2021<br>Service level performance benchmarking data to be included in PMF | Benchmarking included in budget setting process for 22/23. Embed process through PMF underway. SH 7/3/22   |
| I10     | <b>Officer and Member Relationships</b><br>The Council should continue its more outward looking approach is sustained and develop key local and sub-regional relationships.  |  |                             |  |   |  |  |
| I10.1   | Continue to develop the relationship with and actively participate in regional and sub-regional bodies (e.g. WM Combined Authority, Black Country LEP) to maximise opportunities for Sandwell  | Cabinet<br>Chief Executive<br>Director - Regeneration & Growth | Review on a quarterly basis | Regular and active presence regionally and sub-regionally e.g. WMCA Board<br>Opportunities linked to Sandwell priorities maximised   | G | Ongoing  | Update by RJ 28/02/22 as follows: Officer representatives continue to participate in key WMCA and BCLEP meetings at all levels. Currently in discussion about Trailblazer Devolution Deal working groups to develop a new Devolution Deal for WMCA and LA's. Engaging in BCLEP funding group re Swan Lane residential development and Regeneration Strategy and Pipeline. Sandwell is also participating directly in investor conference in March. |
| I10.2   | Raise Sandwell Council's profile through engagement with key partners and professional bodies at a national, regional and local level  | Leadership Team  | Review on a quarterly basis |  |   | Ongoing  |  |
| I11     | <b>Officer and Member Relationships</b><br>When investing in the communications team, the Council should also use this as an opportunity to ensure more effective internal communications, including with back-bench members.  |  |                             |  |   |  |  |
| I11.1   | Deliver the Communications Strategy and align resources to delivery  | Director - Business Strategy & Change                          | Mar-22                      | Local, regional and national profile of Sandwell increased<br>Residents' views on the council/services<br>Employee Engagement Survey results<br>Resources invested in internal communications and improved communications to backbench members | G | Commenced  | 2/3/22 NC - formal consultation has commenced with the Communications Team to align the operational structure to support the delivery of the Communications Strategy   |
| I12     | <b>Officer and Member Relationships</b><br>There is a need to ensure that members of scrutiny and audit committees are aware of their governance roles including how to interrogate reports and ask the right questions.   |  |                             |  |   |  |  |
| S3.2    | Member Development Programme   |  | see update at S3.2          |  |   |  |  |
| I13     | <b>Sandwell Children's Trust</b><br>The Council's senior leadership –both officer and member –should prioritise corporate effort and develop a clear strategy for working with SCT to ensure it remains on its improvement trajectory. This should include:<br>•working with SCT to progress a multi-agency early intervention and prevention strategy.<br>•ensuring SCT has an appropriately resourced and skilled placements team in place to effectively manage the care market.<br>•conducting a review of KPIs to ensure they are effective for current circumstances.<br>•undertaking financial benchmarking in relation to children's social care, and take a realistic and pragmatic view on the level of funding required.<br>•reviewing the governance roles of officers and members in relation to SCT so that they are clear on their responsibilities, avoid duplication, ensure effective communication and that there is a collective understanding of the performance of SCT and how risks and issues are being managed. |  |                             |  |   |  |  |
| S1.2.A  | <b>Sandwell Children's Trust</b><br>Continue with robust governance arrangements in place to hold SCT to account for delivering improved outcomes for children and young people in Sandwell in line with the contact   |  | see update at S1.2A         |  |   |  |  |
| S1.2.B  | <b>Sandwell Children's Trust</b><br>Establish and maintain positive relationship between SMBC and SCT at senior officer and member level   |  | see update at S1.2B         |  |   |  |  |
| S1.2.C  | <b>Sandwell Children's Trust</b><br>Establish corporate approach to working with SCT on shared issues, such as corporate parenting and delivering of Early Help services   |  | see update at S1.2C         |  |   |  |  |
| I14     | <b>Sandwell Leisure Trust</b><br>The Senior Leadership – both officer and member -must take ownership of this issue, prioritise corporate effort and take urgent steps to either resolve the current position with SLT or consider the options for alternative provision should either party decide to terminate the current contract, to ensure the continuity of future leisure service provision and associated reputational impacts.   |  |                             |  |   |  |  |
| S1.1A-C | Governance arrangements in place to manage, develop and support the current and future delivery of leisure services across the borough, including the new Aquatic Centre   |  | see update at S1.1 A-C      |  |   |  |  |
| I15     | <b>Providence Place</b><br>Where the Council considers similar transactions in future, those charged with making decisions must satisfy themselves that they fully understand the detail of the options being proposed. Council officers and their advisors have a responsibility to ensure that members making decisions do so having fully understood these complexities and risks.  |  |                             |  |   |  |  |
| S2.1.E  | Refresh key corporate governance documents including:<br>• Develop template for Corporate Projects which includes Options Appraisals and Business Case   |  | see update at S2.1E         |  |   |  |  |
| S2.1.G  | Design and deliver Corporate Governance training for officers to include refreshed governance documents and contract management  |  | see update at S2.1G         |  |   |  |  |
| S2.3    | Develop a Corporate Asset Management Strategy which is aligned with relevant Council property related strategies.  |  | see update at S2.3          |  |   |  |  |
| I16     | <b>Providence Place</b><br>The Council should ensure that all future property or land acquisitions and disposals are clearly aligned with relevant Council property related strategies.  |  |                             |  |   |  |  |

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| S2.3                 | <i>Develop a Corporate Asset Management Strategy which is aligned with relevant Council property related strategies.</i>   |                                       | see update at S2.3                                      |   |  |   |   |   |
| I17                  | <b>SEND Transport</b>  |                                       |   |   |  |   |   |   |
|                      | The Council's senior leadership –both officers and members –must place priority on agreeing the outcome of the SEND Transport procurement exercise to ensure a further contract extension is not required. This should include:<br><ul style="list-style-type: none"> <li>•Not losing the significant progress made on the contract specification's focus on service quality.</li> <li>•Greater support, involvement, dialogue and oversight with the officer teams with responsibility for progressing the procurement.</li> <li>•Ensuring the contract provides the Council with effective management and oversight of the personal transport market.</li> </ul>   |                                       |   |   |  |   |   |   |
| I17.1                | Plan in place to ensure new contract commences prior to expiry of current arrangements   | Director - Children & Education       | Sep-22  | Contract in place within timescales and incorporating focus on service quality and flexibility of provision to meet needs of children and young people<br><br>Governance arrangements in place for procurement and implementation of contract |  | G | Report to Cabinet 12/01/21 sets out approach for procurement                              | MJ, 10.3.22. A contract review meeting is scheduled in May 2022 to include the Council, Trust and DfE.  |
| I17.2                | ARAC Chair concludes fact-finding exercise and reports to ARAC   | Director - Law & Governance           | Feb-22  | Completion of fact-finding exercise and formation of recommendations  |  | A | Commenced   | Chair's availability for Special ARAC has been an issue due to other commitments in Feb. Seeking alternatives dates to conclude matter.   |
| I17.3                | Implement recommendations from the Scrutiny review of existing and proposed provision of SEND transport  | Scrutiny                              | Vast majority Recommendations – implemented early 2022. | Recommendations implemented<br><br>SEND transport provision improved  |  | G | Recommendations used to inform proposed approach to procurement in Cabinet report 12.1.22 | MJ 28.2.22. The new procurement arrangements were approved by Cabinet in Feb 2022. MJ 10.3.22 The implementation will be overseen by a project board consisting of service colleagues, procurement, legal and finance to ensure deliverability.   |
|                      |  | Director - Law & Governance           |   |   |  |   |   |   |
|                      |  | Director - Children & Education       |   |   |  |   |   |   |
| I18                  | <b>SEND Transport</b>  |                                       |   |   |  |   |   |   |
|                      | For the conclusion of the SEND Transport procurement and for all future major procurements, the Council should ensure that:<br><ul style="list-style-type: none"> <li>•Record keeping and declarations of interest are undertaken in line with Council policies and procedures.</li> <li>•Decision making does not create real or perceived risks in relation to inappropriate procurement decisions.</li> <li>•Procurement timescales provide adequate time for both suppliers to submit high quality bids, and the Council to undertake appropriate evaluation, scrutiny and decision making. This timescale should include appropriate time in advance of the procurement for the council to undertake the necessary strategic thinking and planning required, and mitigate the risk of not making an award in the planned timescale</li> </ul> |                                       |   |   |  |   |   |   |
| S2.1.A               | <i>Review of Procurement and Contract Procedure Rules</i>  |                                       | see update at S2.1A                                     |   |  |   |   |   |
| I18.1                | Appropriate record keeping in place for procurement of SEND Transport contract   | Director - Finance                    | Contract in place to start September 2022               | Records of decisions made, and declarations of interest held on file  |  | G | Procurement approach to be approved by Cabinet 12/01/22                                   | MJ 10.3.22 The project management board will oversee procurement documentation and records will be stored as appropriate.   |
|                      |  | Director - Children & Education       |   |   |  |   |   |   |
| I19                  | <b>Sandwell Land and Property</b>  |                                       |   |   |  |   |   |   |
|                      | The Council should ensure that when considering establishing an arm's length company in the future there is a clear purpose for doing so and that those officers / members of the Council in company director roles are clear of their role and responsibilities in relation to that company.  |                                       |   |   |  |   |   |   |
| S2.1.E               | <i>Refresh key corporate governance documents including:<br/>•Develop template for Corporate Projects which includes Options Appraisals and Business Case</i>  |                                       | see update at S2.1E                                     |   |  |   |   |   |
| S2.1.G               | <i>Design and deliver Corporate Governance training for officers to include refreshed governance documents and contract management</i>   |                                       | see update at S2.1G                                     |   |  |   |   |   |
| I20                  | <b>Sandwell Land and Property</b>  |                                       |   |   |  |   |   |   |
|                      | Where arms length companies already exist the Council should gain assurances that company directors fully understand their company roles and responsibilities, that the company administration is properly resourced and appropriate training is provided to company directors. The purpose of the company should be revisited on a regular basis to determine whether the company continues to be of benefit to the Council.  |                                       |   |   |  |   |   |   |
| I20.1                | Refresh the existing arrangements for arms-length companies:<br><ul style="list-style-type: none"> <li>•Identify existing arms-length companies, company directors and company administration,</li> <li>•Conduct review to ensure appropriate resources are allocated to these organisations</li> <li>•Implement annual reporting arrangements.</li> </ul>   | Director - Law & Governance           | Jul-22  | All directors/members are trained and attend meetings and are clear of their roles.<br><br>Annual reporting arrangements in place in relation to each of the companies  |  |   |   |   |
| I20.2                | Incorporate training on company roles and responsibilities in senior officer development plan  | Director - Human Resources            | Mar-22  | All existing company directors have received appropriate training on their roles  |  | G |   | SS 14/03/22: Initial research has been undertaken to identify the current appropriate training that is available on the market. The next step is to identify Senior Officers who have roles on the Board of Companies. A training needs analysis will then be undertaken and the training made available. |
|                      |  | Director - Business Strategy & Change |   |   |  |   |   |   |
| <b>MADE Festival</b> |  |                                       |   |   |  |   |   |   |

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| I21    | As part of the planned review of the scheme of delegation the Council should ensure that there is clarity of decision making on hosting events, and that the governance arrangements relating to such decisions are effective and clearly communicated.                      |                            |  |  |        |          |  |  |
| S2.1.C | Review Scheme of Delegation, and include delegated decision making on hosting events   |                            |  | see update at S2.1C  |        |          |  |  |
| I21.1  | Decision making process and authority to be communicated with event organisers and stakeholders  | Director - Borough Economy | Following agreement of Scheme of Delegation Then ongoing   | Event organisers and stakeholders clear on decision making arrangements<br><br>Decisions made at appropriate level in a timely manner  |        | G        | Commenced - A specification for an online events portal for community event applications has been drafted in Dec 2021. Criteria for borough and community level events is under development in December 2021 | 11/02/22 KA - Event Governance Framework to Leadership Team 26/02/22, agreed.<br>Leader's Meeting 02/03/22 for information.<br>Draft process in place, working .<br>Event management app purchased go live date 07/03/22 all events will be managed and tracked through this.<br>Decision publishing for event categories in process   |
| I22    | <b>Waste Service</b>   |                            |  |  |        |          |  |  |
|        | The Council should prioritise corporate effort to ensure that the recovery plans are approved and appropriate senior management oversight is given to monitoring their effective delivery.   |                            |  |  |        |          |  |  |
| S1.3.A | Refocused and strengthened contract management meetings in line with contract requirements   |                            |  | see update at S1.3A  |        |          |  |  |
| I22.1  | Waste and Recycling Recovery Plan – completion and implementation  | Director - Borough Economy | Jun-22   | Approved by Waste Management Board<br><br>Regular monitoring and reporting on progress to WMB<br><br>Performance re:<br>•Complaints<br>•Enquiries to contact centre<br>•Fly tipping clearance  |        | G        | Commenced - Agreed plan in place   | 24/02/22 - Performance KPIs in discussion for reporting to Leadership & Waste Board  |
| I22.2  | Street Cleansing Recovery Plan – completion and implementation   | Director - Borough Economy | Jun-22   | Approved by Waste Management Board<br><br>Regular monitoring and reporting on progress to WMB<br><br>Performance re:<br>•Complaints<br>•Enquiries to contact centre<br>•Fly tipping clearance  |        | G        | Plan not yet received from Serco in December 2021<br><br>Date of next Waste Management Board is 27th Jan 2022  | 24/02/2022 - Serco Street Cleansing Recovery received on 03/02/22/& SMBC comments returned within 10 working days.<br>Awaiting further draft from Serco<br>24/02/22 - Serco demonstration of new Street Cleansing machines (hoovers & washers) arranged for 10/03/22   |
| I22.3  | Include key contract performance measures in Corporate Performance Management Framework, as well as Performance re:<br>•Complaints<br>•Enquiries to contact centre<br>•Fly tipping clearance   | Director - Borough Economy | Jun-22   | Regular monitoring and reporting of progress   | S1.3.C | G        |  | RJ 08/02/22 Proposal for quarterly reporting on SERCO contract as part of PMF is in development. This will include reporting on all SERCO contract KPIs, contract meetings held, contract requests and variations and financial summary. Decision will be required whether performance reporting around complaints, enquiries and fly tipping will be reported as part of the contract reporting component of PMF, or within the improvement/ customer experience component. |
|        |  |                            |  |  | S2.7   |          |  |  |
| I22.4  | Review of Waste Services and the Cleanliness and Appearance of the Borough by the Economy, Skills, Transport and Environment Scrutiny Board  | Director - Borough Economy | The Waste Scrutiny Review to be reported to Cabinet in February 2022<br><br>Delivery of actions to be undertaken during the period from March to August 2022 | Improved performance in street cleansing standards<br><br>Increased monitoring of the Waste & Street Cleansing Contract<br><br>Reduced missed collections for waste and recycling<br><br>Future Scrutiny review to confirm improvements embedded |        | Complete | Commenced - The review report has been drafted and circulated for consultation during December 2022  |  |
| I23    | <b>Waste Service</b>   |                            |  |  |        |          |  |  |
|        | The Council should ensure robust contract management arrangements are in place, and review the Key Output Targets (KOTs) and work with Serco to ensure they are line with Council expectations and the data is available to allow effective monitoring of contract outcomes. |                            |  |  |        |          |  |  |
| S1.3.A | Refocused and strengthened contract management meetings in line with contract requirements   |                            |  | see update at S1.3A  |        |          |  |  |
| S1.3.B | Review of the contract to refocus our communications and contract monitoring in areas of poor performance and to ensure the council receives the full provisions within the contract from Serco  |                            |  | see update at S1.3B  |        |          |  |  |
| S1.3.C | Introduction of a more focused framework for contract monitoring   |                            |  | see update at S1.3C  |        |          |  |  |
| I24    | <b>Waste Service</b>   |                            |  |  |        |          |  |  |
|        | The Council should ensure that the investments specified in the contract with Serco are made, such as a new vehicle fleet.   |                            |  |  |        |          |  |  |

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| S1.3.A   | <i>Refocused and strengthened contract management meetings in line with contract requirements</i>  |   |  | see update at S1.3A   |  |          |  |   |
| I24.1    | To manage the delayed Serco Fleet replacement programme in line with the requirements of the contract  | Director - Borough Economy  | By the proposed revised date of end January 2022 | The delayed fleet replacement in line with the contractual requirements in terms of provision of vehicles |  | G        | A list of replacement vehicles has been provided with delivery due during January 2022 - against a contractual requirement of (2018) | 19/12/21 - Initial phase 1 fleet delivery completed<br>24/02/22 - Complete delayed fleet deliver plan in place with phasing up to mid 2023 - against contractual requirement of 2018 (due to delivery lead in for some categories of vehicles)<br>Brief to Cabinet Member due on 22/02/22 - Cancelled meeting to be followed by Leadership and all member update during March 2022. |
| I25      | <b>Lion Farm</b><br>The Council must ensure that the recent re-engagement with the developer results in agreeing a clear way forward, including an action plan and timescale so there is clarity on the responsibilities for the Council and developer in order to progress the finalisation of the secondary option agreement, or to be clear on the legal process for both parties extricating themselves from the agreement and the associated terms.   |   |  |   |  |          |  |   |
| S1.5A-D  | <i>Action plan to agree way forward and resolve matter</i>   |   |  | see update at S1.5 A-D  |  |          |  |   |
| I26      | <b>Lion Farm</b><br>The Council must ensure that it has taken all necessary steps to ensure that arrangements are in place so that all the serious governance issues identified in the external report are appropriately mitigated and managed.  |   |  |   |  |          |  |   |
| S1.5.A-D | <i>Action plan to agree way forward and resolve matter</i>   |   |  | see update ay S1.5 A-D  |  |          |  |   |
| S1.7     | <i>Refresh decision making arrangements</i>  |   |  | see update at S1.7  |  |          |  |   |
| I27      | <b>Lion Farm</b><br>The Council should review its procurement regulations and consider updating them to include land sales, including options agreements, to ensure that best value can be achieved.   |   |  |   |  |          |  |   |
| S2.1.A   | <i>Review of Procurement and Contract Procedure Rules</i>  |   |  | see update at S2.1A   |  |          |  |   |
| S1.2.F   | <i>Review the Sale of Land and Buildings Protocol in the Council's Constitution</i>  |   |  | see update at S1.2F   |  |          |  |   |
| I28      | <b>Introduction of new ERP system</b><br>The Council must prioritise corporate effort to:<br>•ensure that temporary support is agreed with Oracle for EBS continuity.<br>•have an honest and frank discussion with Inoapps and urgently agree a clear resolution on the way forward.<br>•review governance arrangements so that good practice (such as Managing Successful Programmes) is in place and embedded, including clarity on the SRO role and approach to risk management.<br>•review the resourcing and scope of the implementation to ensure that it is realistic, given current circumstances, focuses on outcomes as well as costs, and there is organisation wide engagement and ownership of the programme.<br>•confirm a realistic and achievable go live date.<br>•ensure for future major projects a full business case is developed and approved. |   |  |   |  |          |  |   |
| S1.4.A-D | <i>Actions options for moving forward and project management arrangements</i>  |   |  | see update ay S1.4 A-D  |  |          |  |   |
| S2.1.D   | <i>Corporate approach to Project Management, including requirement of full business cases for major projects</i>   |   |  | see update at S1.2D   |  |          |  |   |
| S2.1.E   | <i>Develop template for Corporate Projects which includes Options Appraisals and Business Case</i>   |   |  | see update at S2.1E   |  |          |  |   |
| I28.1    | Agreement with Oracle to extend all necessary EBS support  | Director - Business Strategy & Change<br>Director - Finance<br>Director - Human Resources | End December                                     | Agreement in place to provide EBS support to cover period of implementation of Oracle Fusion              |  | Complete | Commenced - Contract extension for system support approved through delegated authority.<br>Agreements in place end of December 2021  | Complete  |
| I29      | <b>Chief Officers</b><br>The Council should ensure that at the very least, appropriate internal and external advice is sought should the departure of a chief officer by mutual consent is agreed.   |   |  |   |  |          |  |   |

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| I29.1 | Induction training (within the Member Development Programme) for Leader and Cabinet Members on appropriate processes relating to the employment of Chief Officers, and in particular Statutory Officers   | Director - Law & Governance<br>Director - Human Resources            | Updated programme developed - April 2022<br>Implementation from May 2022 | Appropriate processes followed in the event of a departure of a chief officer by mutual consent  | S3.2 |   | As per update on S3.2: Update 4.3.22 draft MD strategy and programme in development as part of the governance review work strands.<br>Update ST 11/03/22 - In light of LGA Peer Review recommendations with emphasis on engagement with members and external stakeholders, timescales extended to July Council to increase engagement activity. |
| I30   | <b>Senior Leadership</b><br>Critical to this sustainable change will be the appointment of the right permanent Chief Executive, and the Council must ensure an effective recruitment process, including maximising the chances of attracting a pool of appropriate candidates. Should the appointment of a permanent Chief Executive not be successful the Council should seek to retain the current interim Chief Executive and move this to a full-time contract. |  |  |  |      |   |   |
| K5.1  | Conduct robust recruitment process for permanent Chief Executive designed to attract the best candidates  |  | see update at K5.1   |  |      |   |   |
| I31   | <b>Complaints</b><br>The Council's senior leadership –both officer and member –must act to change the culture and organisational ethos in relation to complaints, and to restore balance and proportionality.   |  |  |  |      |   |   |
| S3.2  | Member Development Programme  |  | see updates at S3.2  |  |      |   |   |
| I32   | <b>Standards Committee</b><br>Member training and development programme must play a key role in ensuring members fully understand the expectations and standards relating to their role   |  |  |  |      |   |   |
| S3.2  | Member Development Programme  |  | see updates at S3.2  |  |      |   |   |
| I33   | <b>Standards Committee</b><br>Meetings between senior officers, political group leaders and chief whips should take place to ensure that these stakeholders are able to discuss emerging issues and trends, recognise good behaviours and discuss how to manage behaviours not in line with the Code  |  |  |  |      |   |   |
| I33.1 | Emerging issues to be part of formal dialogue within regular 1-1s with key members (group leaders and chief whips, and other relevant members)  | Chief Executive<br>Director - Law & Governance                       | Jan-22   | Compliance with Member Code of Conduct<br>Appropriateness of complaints raised   |      | G | Meetings have started<br><br>Meetings are currently informal. Future meetings in the new Municipal Year will be supported by Agendas etc whilst still remaining a safe space for discussion.  |
| I34   | <b>Audit Committee</b><br>Now that the Audit and Risk Assurance Committee has agreed the actions to bring this long-standing matter to resolution, it will be important that –as the Audit and Governance Panel recognised -the Council manages its position so that the matter does not resurface, so that it can move on and focus on its corporate objectives.   |  |  |  |      |   |   |
| S3.2  | Member development programme  |  | see updates at S3.2  |  |      |   |   |
| I34.1 | Work with the Chair of ARAC through Audit Committee Agenda meetings to manage the position  | Chief Executive<br>Director - Law & Governance<br>Director - Finance | Feb-22   | Should matter arise in future, it is dealt with quickly  |      | G | MDP will establish development plans for all chairs and vice-chairs in relation to their roles.   |
| I35   | <b>Financial Reporting</b><br>Management should ensure that the AFR action plan sets out actions and completion dates in relation to all recommendations. It should also identify where the new ERP system implementation and the planned asset management system could cause delays or impacts on planned actions  |  |  |  |      |   |   |
| I35.1 | Review AFR Action Plan and ensure it addresses all recommendations, includes named leads, timescales and analysis of the impact of ERP System implementation and Asset Management System  | Director - Finance   | Mar-22   | Robust action plan in place, with interdependencies identified, in readiness for budget process 2022/23<br>External Audit satisfied that action plan addresses all recommendations |      | G | On track and specific recommendations covered elsewhere (e.g. Oracle Fusion and Financial Reporting) SH 7/03/22   |
| I36   | <b>Financial Reporting</b><br>Management should ensure that the changes in relation to budget setting and budget management recently introduced are sustained and take steps to manage any weaknesses not yet addressed.  |  |  |  |      |   |   |
| K4.3  | Develop and implement an improvement plan to address recommendations from CIPFA's Financial Management Review   |  | see update at K4.3   |  |      |   |   |
| I1.1  | Continue with 'Star Chamber' sessions for budget setting  |  | see update at I1.1   |  |      |   |   |

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| 136.1 | Regular budget monitoring reporting to Leadership Team and Cabinet, embedded within corporate performance management framework  | Director - Finance | Mar-22 | Regular monitoring and reporting of progress                                    | K6.1 | G | Reporting timetable to Leadership Team in place – monthly<br>To establish – reporting frequency to Cabinet | Monthly report to LT in place. Need to review format, content and timetable from April 2022. SH 7/3/22  |
| 137   | <b>Financial Reporting</b><br>Management should ensure the Finance team has appropriate skills and capacity to manage the Council's financial reporting responsibilities. |                    |        |   |      |   |  |   |
| 137.1 | Comprehensive specialist technical training for whole of Finance Team   | Director - Finance | Mar-22 | Training delivered<br>Minimal errors in 2021/22 Accounts as reported in the AFR |      | G |  | Specialist training procured and scheduled for March. External review of 20/21 accounts also completed and comprehensive suit of working papers procured as part of training package. SH 7/3/22 |