Governance, transparency and a well-led Board

What good looks like

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What good governance looks like

Our journey

	From…..	A long-term plan to tackle our issues	To…..
Purpose	• Consistent struggle to achieve KPIs • Staff levels financially-driven • Tailored Review recognised need to develop more appropriate KPIs	• New KPI framework focuses on purpose • KPIs inform high quality Board conversations and provide assurance • More granular and balanced KPIs	• Sustainable achievement of KPIs ensures consistently high quality service • Main focus on quality (of which timeliness is a key element)
Well-led	• Board focus on immediate imperatives, largely performance and governance/compliance • New Board and leadership team in place	• Induction of new Board members, use of their skills/fresh perspectives • Board effectiveness reviews • Assurance about enhancing LeO's leadership capability and development	• New Board with excellent skills, more external focus able to provide the right leadership without historical 'baggage' • Cohesive, strategic approach
Drives accountability and performance	• Lack of capacity to understand relationship between resource and performance • Governance and financial management legacy issues	• Forecasting and capacity model informs oversight and decision-making • New business plan - clear deliverables and granular plan to assure trajectory	• Forecasting/capacity model informs Board and management decisions • Delivery plan provides assurance about trajectory and early warning of issues
Developing a capable organisation with the right behaviours and values	• High turnover, need to improve staff engagement and lack of flexibility • Focus on numbers has meant staff may have lost sight of purpose and quality • Fragmented processes and duplication • Much improved IT systems now in place (infrastructure, telephony, new CMS)	• Improved employee value proposition and learning and development offer • Integrated business process/staffing model • Supervision model streamlines process and improves quality • Development of pool ombudsmen • Progress against ambitious IT strategy	• Supervision model reduces duplication and improves quality • Highly engaged staff, culture of earned autonomy and increased retention • Modern Cloud-based IT and telephony • Integrated business processes and improved service
Long-term external strategic focus	• Foundations built by current and previous Board for a longer-term strategic focus	• Implementation of Board development agenda and Board effectiveness review	• Board engagement with stakeholders • Allocation of more Board time to strategy
Transparent and open governance	• Basics in place – minutes, information about the scheme, basic performance information, voluntary publication of gender pay gap	• Board effectiveness review and Board development agenda focus on greater transparency	• Routine publication of Board papers • Publish quarterly Balanced Scorecard • Enhance equality and diversity reporting

Focus on purpose

- 3 year strategy
- Quarterly update on progress delivering strategy
- Focused 2018-19 business plan
- Board provides clarity about purpose and strategy to deliver it
- Customer Service Principles
- Vision for the organisation
- KPIs measure achievement of purpose
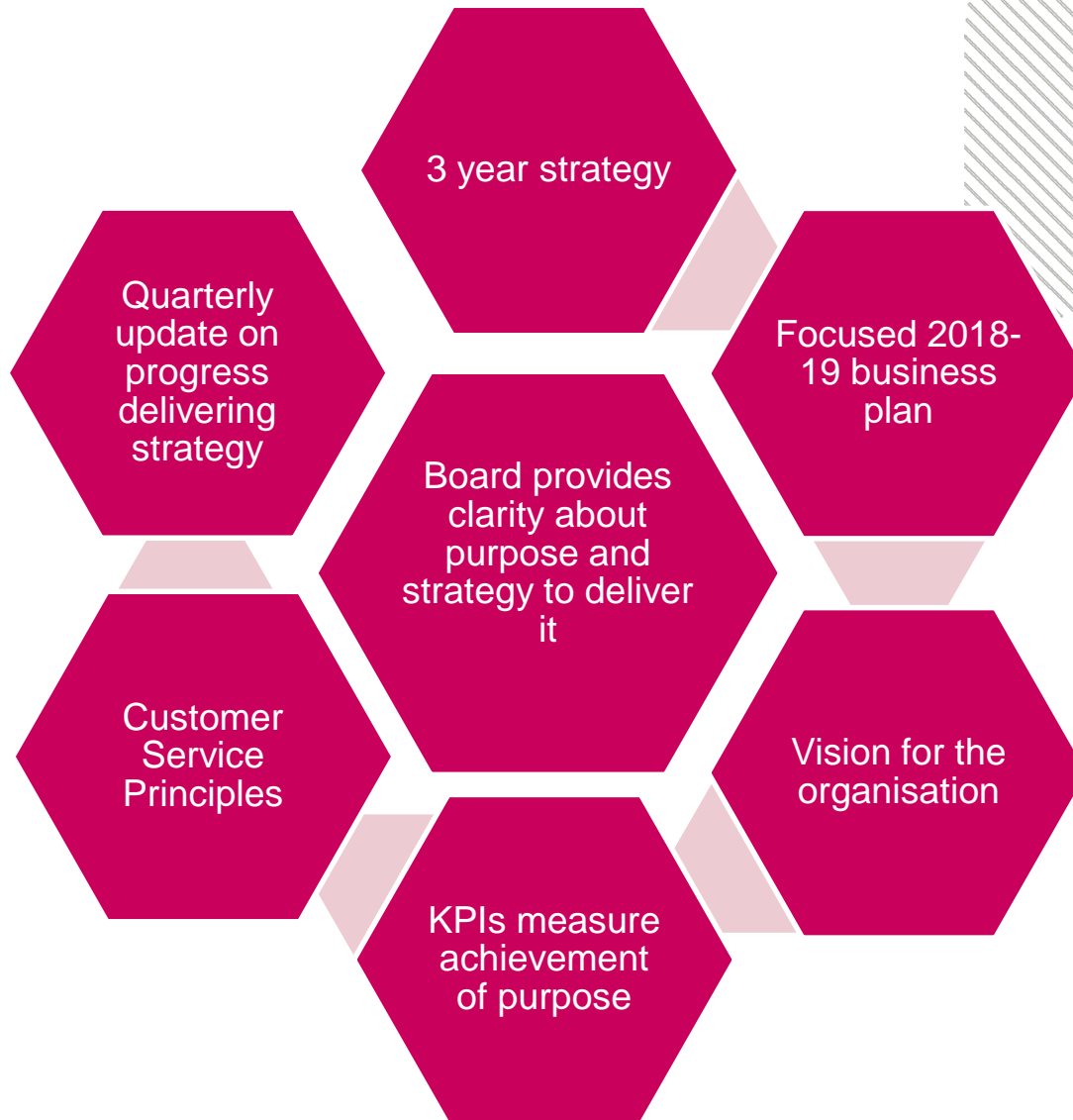
Improvement priorities:

1. Assurance of performance against all elements of Balanced Scorecard and business plan

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Well-led

Right skills, development and induction

Robust NED appraisal, strong element of 360

Engagement with key oversight bodies

Right skills, leadership and learning (assurances but not micro-management)

Improved external profile

Board effectiveness review 2017, governance review

Better Board papers, more strategic agenda
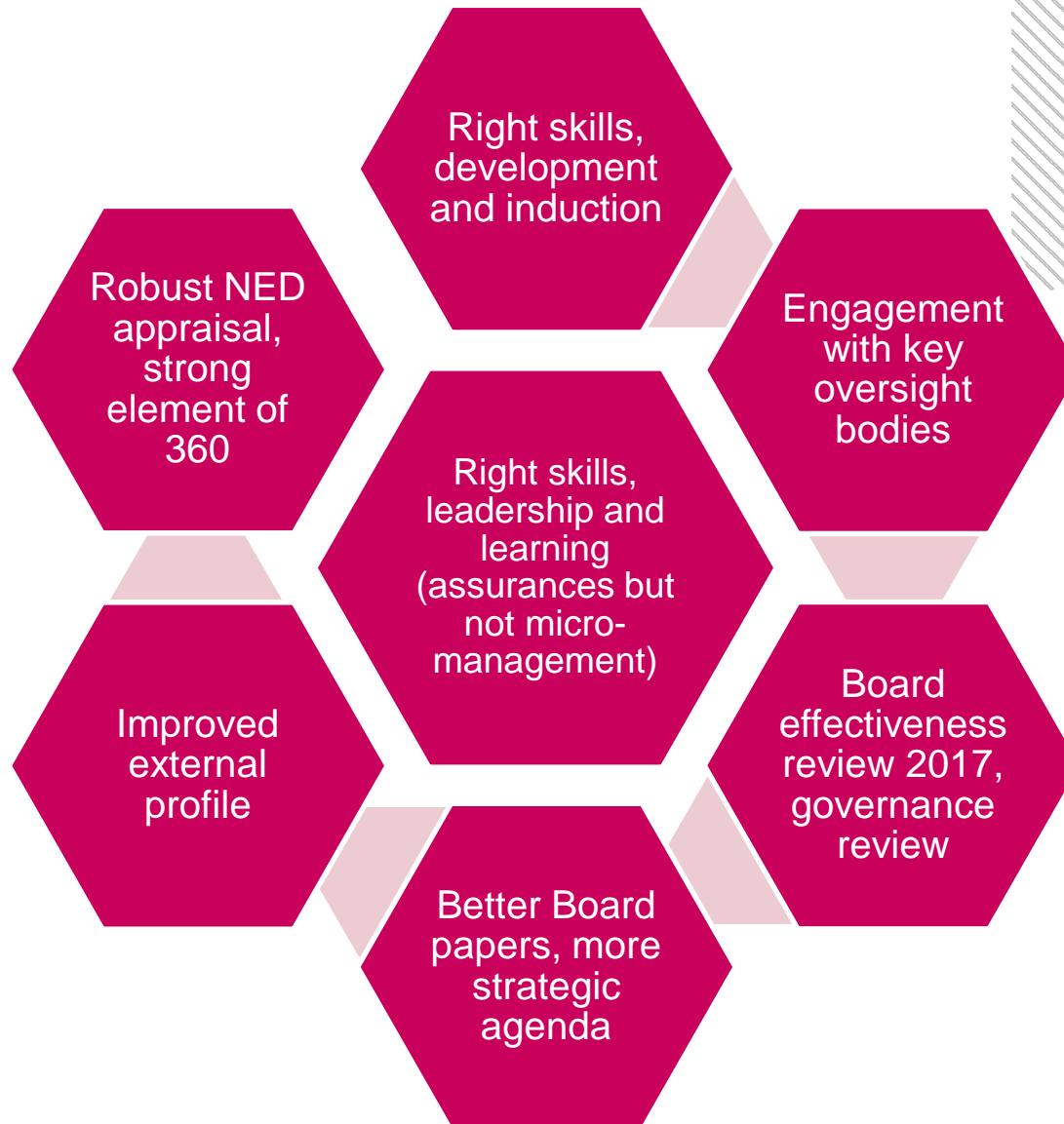
Improvement priorities:

1. External input into next Board effectiveness review in Q4 2018-19

2. RemCo focus on assurance about leadership to support achievement of stretch targets for the civil service survey engagement index

3. Constructive two-way engagement with the LSB and MoJ

4. Stronger focus on Board members engaging stakeholders

5. Improved strategic horizon scanning and discussion of strategy at Board meetings

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Driving performance, accountability and improvement

New KPIs – balanced, holistic, strategic

Challenges executive on KPI levels and ensures accountability

Risk strategy and risk appetite

Sets a performance framework to measure achievement of purpose and acts to improve performance

Tracking delivery plan

Focuses on 'needle turning' levers of improvement

Evidence base – data, tolerances and trigger points

Improvement priorities:

1. Translating the business plan into a granular delivery plan

2. Securing assurance about delivery of long-term plan and interim trajectory using tolerances the OLC will agree in April

3. April strategic risk workshop to agree more strategic and focused set of risks for 2018-19

4. Q1 and Q2 – ensuring staff new in role are fully productive

5. Ensure anticipated performance improvements occur in Q3 and Q4 of 2018-19

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Developing a capable organisation

Hexagon diagram with central hexagon: **Understands capacity and capability; right leadership, direction and tone for values, behaviours and culture**

Surrounding hexagons:
- Modernising LeO oversight
- Flexible and resilient resourcing
- Forecasting and capacity model
- Workforce plan and enhanced EVP
- Governance, financial management, data protection
- Values, customer service principles

Improvement priorities:

1. Assurance about succession planning

2. Assurance that new structures (eg pool ombudsmen) are improving resilience and capacity

3. Use of forecasting capability to improve performance, Board oversight/assurance and management decisions

4. Assurance about progress in delivering values and behaviours

5. This will need to translate into performance: directly, by building a culture of delivery, feedback and continuous improvement to maximise quality; and indirectly, by enhancing retention and our ability to recruit to values and behaviours

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Long-term external strategic focus

Strategic approach to engagement and comms

Board member engagement with stakeholders

Scans and understands the long-term horizon

Long-term focus, clarity about strategic issues

Allocation of more Board time to strategy and stakeholders

Robust understanding and segmentation of stakeholders
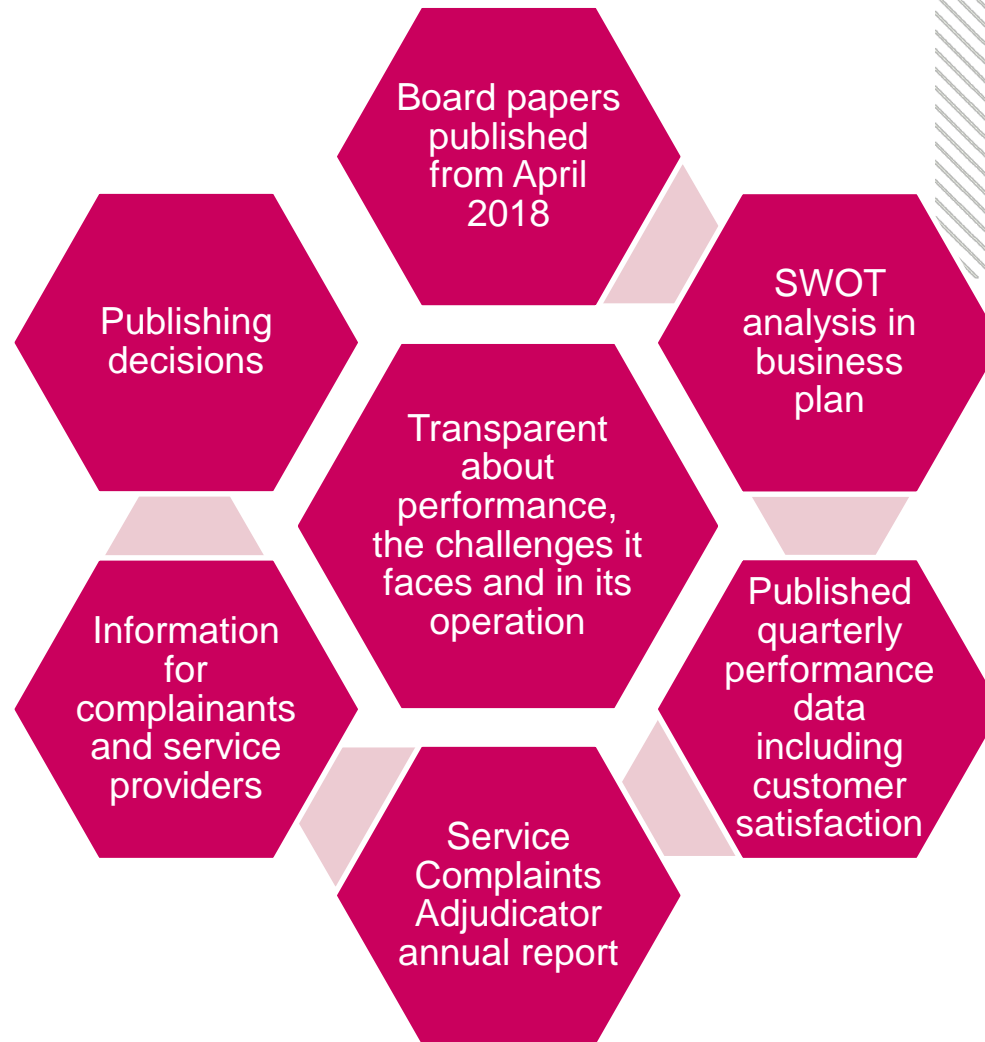
Data - customer satisfaction and stakeholder survey

Improvement priorities:

1. Refreshed, more precise stakeholder engagement and communication strategy including strategic direction for feeding back to the profession

2. Programme of Board engagement with stakeholders

3. Stakeholder surveys/use of new performance measures

4. Allocation of more Board time to strategic horizon scanning and longer-term issues

5. Improve data, share with regulators and use to facilitate sector improvement

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Transparent and open governance

Board papers published from April 2018

SWOT analysis in business plan

Publishing decisions

Transparent about performance, the challenges it faces and in its operation

Information for complainants and service providers

Published quarterly performance data including customer satisfaction

Service Complaints Adjudicator annual report

Improvement priorities:

1. We need to establish a more robust cycle of diversity reporting against equality priority objectives (EPOs)

2. New EPOs due for OLC approval in April and will be added to the published business plan.

3. Publishing performance against new Balanced Scorecard KPIs from April 2018

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