

Meeting	OLC	Agenda Item No.	9
		Paper No.	94.7
Date of meeting	20 March 2019	Time required	10 Minutes

Title	OLC Governance
Sponsor	Rob Powell, Chief Executive
Status	OFFICIAL
To be communicated to:	Members and those in attendance

Executive summary
<p>As a result of changes in senior leadership at Legal Ombudsman a thorough review and update has been undertaken of all governance documentation.</p> <p>A summary of this review, including next steps is provided for consideration.</p> <p>Changes to the Scheme of Delegation and Schedule of Matters Reserved to the OLC are attached as appendices 1 and 2. The changes are minor in order to reflect the new structure. The changes will take effect from 1 April 2019 and will be published on the LeO external website on that date.</p> <p>Appendix 3 details the changes made or required to the other governance related documents.</p>
Recommendation/action required
<p>The Committee is asked to APPROVE the specific changes to the Scheme of Delegation and Schedule of Matters Reserved to the OLC and to APPROVE the output of the OLC Governance review.</p>

Corporate Governance

1. Introduction

This paper summarises the steps taken to ensure that LeO's corporate governance is maintained following the merger of the role of Chief Executive Officer and Chief Ombudsman together with the planned appointment of a Director of Corporate Services.

2. Annual Review of Scheme of Delegations

The Scheme of Delegations has been reviewed and is provided as appendix 1.

3. Annual Review of matters reserved to OLC Board

Matters reserved to OLC Board have been reviewed and is provided as appendix 2.

4. Review and update of governance documentation

A review has taken place of all OLC governance documentation. The PMO identified 81 documents in total. Of those 81 documents 49 included reference to the Chief Executive, Chief Ombudsman, Accounting Officer or an historic job title such as Head of External Affairs, 17 of which are policies or procedures. All of the policies or procedures will be updated by end of March.

The various memorandum of understanding will be the subject of a separate project in 2019-20 to review and refresh with the relevant organisations.

The Rules of Procedure and Terms of Reference for ARAC and RemCo will be updated as part of the normal annual review.


The Tripartite protocol, MoJ Framework Agreement, OLC/MoJ Management Statement, LSB/OLC MoU and the OLC members' code of practice will be updated in draft form and shared with LSB and MoJ. LSB has asked that the Tripartite Protocol be updated when it falls due for review in June 2020.

This leaves a small number of documents such as the Welsh Language Scheme that will be updated during Q1 of 2019-20.

The ownership of Strategic and Corporate Risks has been updated as has the ownership of areas of the Assurance Framework. The Business Continuity Plan has also been updated.

5. Next Steps

Next steps are to agree the changes to shared documents with MoJ and LSB, to formally notify ARAC and RemCo as appropriate regarding changes to policy



documents and to publish all updated documents to the public website and to the intranet as appropriate.

The PMO has a plan in hand to complete the largest tranche of the work by end March 2019, with the MoU project completed by the end of Q1 2019-20 and policies updated according to existing schedule.



Appendix 1 – Scheme of Delegation

FoI Exempt S.22



Appendix 2 – Schedule of Matters Reserved to the OLC

FoI Exempt S.22

Appendix 3 – action by document

Document	Action	Due Date	Comments
Tripartite protocol	Minor updates noted by Board Secretary for inclusion in review.	June 2020	
MoJ Framework and Management Statement	Draft with changes provided to MoJ. Management statement – LeO believes is obsolete, to be confirmed with MoJ.	29 March 2019	
LSB/OLC MoU	Draft changes will be provided to LSB	29 March 2019	
OLC Members' Code of Practice	Draft changes will be provided to LSB and MoJ	29 March 2019	
Strategic Risks	Ownership updated and provided to March ARAC and visible to OLC in today's agenda	20 March 2019	
Corporate Risks	Ownership updated	20 March 2019	
Risk Strategy	Ownership to be updated and approved by ARAC	15 May 2019	
Business Continuity Plan	Contact list and escalation route updated	29 March 2019	
Rules of Procedure, ARAC ToR and RemCo ToR	Minor updates	Early 2019-20	As part of annual review for each committee
MoUs	Review to establish currency and update	30 June 2019	Separate project
Welsh Language Scheme	Minor update	30 June 2019	Refer to Welsh Language Commissioner
Equality and Diversity statement	Minor update	30 June 2019	Presentation to be considered as part of the Website Project
Assurance Framework	Ownership updated	29 March 2019	
KPIs	Ownership updated	29 March 2019	
Internal policies	Minor updates	29 March 2019	
Critical Incident Protocol	Minor updates	29 March 2019	
Security Forum	Update to Information Asset Register currently held by CEO to be confirmed by Chief Ombudsman.	29 March 2019	