

Doncaster Council Governance Plan 2013

ACTIVITIES IN PROGRESS

R1	Strand		Responsible Assistant Director
R1.1	Proposed activity to deliver the recommendation (Original recommendation reference number)	Target Completion Date	Completed (Date)

R1	Partnership Risks Managed		Steve Mawson
R1.1	Improve partnership risk arrangements	31/03/13	
	Update March 2013: The Working in Partnership framework and the Risk Management Framework are being progressed and will be presented to the Governance Group on the 24 th June. The lead officers for all current partnerships are completing registration forms and self-assessments will be sent to all partners that are classed as a major significance. Results of the self-assessments will also be presented to the Governance Group on the 24 th June.		
	Update June 2013: The Working in Partnership Framework and the Risk Management Framework are being progressed. The Risk Management Framework will be presented to the Governance Group on the 24th June 2013 and the Working in Partnership Framework will be presented to the following Governance Group meeting. The lead officers for all current partnerships are completing registration forms and self-assessments will be sent to all partners that are classed as a major significance. Results of the self-assessments will be presented to the Governance Group with the Working in Partnership Framework.	30/09/13	

R2	Internal Audit Issues Addressed		Steve Mawson
R2.1	Performance manage critical audit actions		
	% of critical, major and significant audit recommendations agreed by management		Completed 31/03/12
	% of agreed critical, major and significant audit recommendations implemented on time	31/03/13	
	Update March 2013: Directorates have completed all critical, major and significant action due in quarter 3 within timescale		
	Update June 2013: 16 out of 23 recommendations due to be implemented by 29 March 2013 have been implemented (70%). The 7 outstanding recommendations relate to Payroll reconciliations (x2), managing attendance processes (x3), budget monitoring and commissioning of voluntary services. Reasonable revised implementation dates have been		Completed 31/03/13

	agreed for each outstanding recommendation, taking into account system changes and external factors not directly in the Services' control.		
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R3 Data Protection Incidents Minimised		Julie Grant	
R3.1	Improved data protection arrangements	Ongoing	
	Update March 2013: The ICO completed the consensual audit 4-6th December in Adult Safeguarding, HR and Revs & Bens focusing on data sharing, records management, data protection training and awareness. We have now received the outcome of 'Limited Assurance' and have a 34 point action plan that we are currently working towards as well as continuing to work through our action plan for the whole organisation and implement the new Data Retention and Disposal Policy focusing on paper first followed by electronic records. We have also had the outcome of 2 open ICO investigations into data breaches within Children's Services and Legal. These did not include penalties mostly due to the fact we agreed to the audit and the ICO are aware of the rapid progress being made. All progress is being monitored very closely by the Council's SIRO (Senior Information Risk Owner) Simon Wiles, the AD responsible and the Data Protection Officer. The Audit Team and Lead Data Protection Officers and Information Asset Owners across the Council are also assisting wherever required		
	Update June 2013: Much progress has been made with the action plans, and the development of the Information Governance Strategy is influencing the implementation of the required information policies and procedures. Progress continues to be monitored by the SIRO (Senior Information Risk Owner). The Data Retention and Disposal Policy is being rolled out across the whole authority and the records management storage facility is now in use. The SIRO is in the process of reviewing the Information Asset Owners nominations in order to continue the progression of the action plans. There have been no further breaches reported to the ICO and we are awaiting the result of one ICO investigation following a data breach within Legal Services. The Audit Team and the Lead Data Protection Officers continue to assist wherever required.		

R4 Recommendations from Audit Committee Implemented		Steve Mawson	
R4.1	Regular progress reporting	Ongoing	
	Update March 2013: The self-assessment of the Audit Committee and the update on housing issues are scheduled to be presented to the Audit Committee on 10 th April 2013. Refresher sessions have been held so far on Internal Audit and Governance, with further sessions planned to cover procurement in January 2013 and accounts in April 2013. With these, this action will be completed.		
	Update June 2013: Rec 1 is complete – a self assessment was completed in 2012 and the Audit Committee Annual report, agreed in April 2013, showed how the Committee complies with good practice and fulfils its terms of reference. Rec 2 is complete – refresher sessions held during the year included: Internal Audit, Governance Arrangements, Procurement and Accounts. Rec 3 is complete – an update on progress against Housing Inspection recommendations was reported to the Audit Committee in April 2013.		

R5	Governance Strategy Action Plan		Steve Mawson
R5.2	Improving compliance with the governance arrangements and the general standards of behaviour across the Council by:		
	R5.23 Including manager responsibilities in manager job descriptions and the Manager's Handbook	Ongoing	

R6-7	Annual Governance Report Recommendations Implemented (R9-16)		Director of F&CS
R6	The Council should vigorously pursue recovery of payroll overpayments wherever possible, and should write-off amounts where recovery is not possible (R9)	On going	
	Update March 2013: A report to the Audit Committee on overpayments has been put back to June/July so that we can include year-end figures		
	UPDATE: June 2013 A report will be presented to Audit Committee on 18 July 2013 which details the position as at the end of the 2012/13 financial year. The overall balance of overpayments has been reduced by £180,005.64, an overall reduction of 28.23% and a total of £8,011.38 has been written off during 2012/13. Although a further 248 overpayments have occurred during 2012/13 the number of occurrences and monetary values has reduced and should improve further as the new self-service HR/payroll system becomes further embedded.	July 2013	
R7	The Council should prioritise recovering any PAYE, NI and superannuation that it has overpaid (R10)	On going	
	Update March 2013: A report to the Audit Committee on overpayments has been put back to June/July so that we can include year-end figures		
	UPDATE: JUNE 2013 A report will be presented to Audit Committee on 18 July 2013 which details the position as at the end of the 2012/13 financial year. Recovery of overpayments automatically includes the recovery of any PAYE, NI and superannuation elements. The overall balance of overpayments has been reduced by £180,005.64, an overall reduction of 28.23% and a total of £8,011.38 has been written off during 2012/13. Although a further 248 overpayments have occurred during 2012/13 the number of occurrences and monetary values has reduced and should improve further as the new self-service HR/payroll system becomes further embedded.	July 2013	

R8- R14	Recommendations from VfM Conclusion 2011 implemented		
R8	The Council should review its processes for responding to queries and complaints, to ensure that responses are sufficiently open and transparent (R20).		Julie Grant
R8.1	Redesign the business processes used (R20.1).	October 2011 – 2013	
	Update March 2013: Over 300 processes have now been redesigned and configured in the CRM system for the successful go-live of the one-stop-shop on 14 th January, for use by the Contact Centre, Street		

	Scene, Highways and Street Lighting. A further 22 services have undergone analysis and will be implemented throughout the year. A detailed implementation and benefits realisation plan are currently being developed to implement the results from the service analysis.		
	UPDATE: JUNE 2013: The improvement of processes used continues across the Council with full redesign and automation where possible through the use of technology. 22 further services will be completed throughout 13/14 and as the single customer view extends with a wider range of services, it becomes easier to respond to queries and complaints across the board ensuring openness and transparency. This is obviously greatly assisted by the Council's Complaints Officer who has a view of all complaints and their responses ensuring a joined up approach and greater awareness of common issues and events that may lead to this type of correspondence in the first place.		
R8.2	Roll out new technology and processes Council wide (R20.3). Update March 2013: There have been problems that have delayed progress in this area mostly around web integration, integration of systems and mobile working, all have dependencies on each other. These now seem to be resolved but there is much to do to catch up. Extra external expertise is being commissioned to assist and to accelerate progress. There is now a phase 2 to start designing with speedy implementation to follow.	June 2012 – 2014	
	UPDATE: JUNE 2013: Significant progress has been made in this area over the last couple of months with true resident self—service via the website and mobile app for a significant number of processes relating to Street Scene, Highways and Street Lighting. Integration between the website and app with the CRM system, scheduling tool and mobile software now means these directly feed to a mobile device owned by staff across the borough so they directly receive scheduled work in the right location. Work has now started on further services.		
R8.3	Full performance management of end to end process Council wide (R20.4). Update March 2013: We are now starting to see the benefits of this with accurate detailed information of the volume and subject of visits to the one-stop-shop enabling peaks and troughs to be managed effectively, contact via the app performance managed to the service area and CRM data. There is still much to do to achieve end-to-end performance information across the organisation but we are very close to achieving for some services.	On-going as rolled out.	
	UPDATE: JUNE 2013: The self-service to mobile device processes we have now implemented as above now means end to end performance management can be achieved for those services from volume of customers and service requests to time taken to deliver the service meaning every step is measured and monitored. This is a great step forward and now need to replicate it as much as possible across other services. This work has already started.		

R9	Agree improvements in working papers and key financial systems, in particular payroll, bank reconciliation procedures and fixed assets, should be implemented as a priority (R23).	Jill Higgs	
R9.2	Payroll – Monitoring and review of recovery process (R23.6).	Ongoing	
	Update March 2013: Review of work undertaken over the last year has taken place and a full report will be presented to Audit Committee in June 2013 to cover the full year's figures 1 April 2013 to 31 March 2013		
	UPDATE: June 2013 As part of the shared service arrangement for provision of transactional HR/payroll functions with Rotherham MBC a regular suite of performance monitoring reports is being finalised of which overpayments and the recovery process are included which will enable regular monitoring of future performance to take place and be reported to Audit Committee on an annual basis.	July 2013	

R10	The Council should emphasise to all relevant officers that procurement procedures must be followed (R24).	Steve Mawson	
R10.1	Compliance with Contract Procedure Rules reviewed by Category Managers' with report on known waivers and breaches to Strategic Procurement Board and Audit Committee (R24.2).	On-going review 2012/13	
	Update March 2013. Since February 2013 breaches of CPR's and waivers are now also reported to the Procurement Transformation Board (formerly Strategic Procurement Board). This information is broken down by value of breaches per Directorate, outstanding number of breaches per Directorate, value of breaches rectified per Directorate and number of breaches rectified per Directorate	Ongoing	
	UPDATE: JUNE 2013: An update regarding waivers was issued to the Procurement Transformation Board 28 May 2013 and 1 waiver was reported for Regeneration & Environment £160k. An update will also be going to the November 2013 meeting of the Audit Committee.		

R13	The Council should develop a comprehensive Organisational Development Strategy covering its staff (R27).	Jill Higgs	
R13.2	To raise competence of managers and leaders, providing nationally recognised competence based qualifications (R27.3).	On-going and review during 2012/13	
	Update March 2013: As at quarter 3, 17 managers have achieved a level 7 management qualification. 16 candidates have commenced a level 7 qualification from the Leadership Academy intake of Cohort 2. 18 managers are completing a level 5 management qualification.		
	UPDATE: June 2013 In addition to March 2013 entry – which is on-going. 9 supervisors have commenced a Level 3 Management Diploma. 35 managers completed level 5 qualification aligned to First Steps in Leadership during 2012/13. 50 managers currently working towards it	Progress Reviewed Monthly. Target date for Level 7 cohort completion – December 2013	

R14	The Council should closely monitor progress in making the required improvements in Children's Services and Housing Services (R28)	Mil Vasic/Tracey Harwood	
Housing Services			
R14.1	Identify any major policy or budget issues with regard to delivery of the improvements and the service in general as part of the Council's quarterly performance management framework R28.3)	Review quarterly during 2012/13	
	Update March 2013. The Cih Review was completed. A decision was taken not to progress until the outcome of the mayoral elections is known. The service has significant savings to be made in 13/14 therefore a fundamental restructure is imminent .Consultation is due to commence in March 13.	March 13-June 13	
	Update June 2013. The service has significant savings to be made in 13/14 therefore a fundamental restructure is in progress. The structure and savings have been agreed with the trade unions. We are currently finalising the population of the structure. The recruitment will commence late June 13.		
R14.2	Identify any major internal governance risks or capacity to deliver issues with regard to delivery of the improvements and the service in general as part of the Council's quarterly performance management framework (R28.4)	Review quarterly during 2012/13	
	Update March 2013 Through robust management a number of issues have come to light. This is having an effect on the capacity to deliver. To ensure we can provide a service resources are been used from other service areas. All issues are been addressed through using the appropriate policies and procedures. We continue to monitor delivery against the Joint CYPS/Housing Strategy Group Action Plan which enables alignment of key CYPS / Housing priorities (as an on-going joint commitment by CYPS / Housing to rectify the issues identified by the 2011 AC review).	March 2013 ongoing	
	Update June 2013 Through robust management a number of issues have come to light. This is having an effect on the capacity to deliver. To ensure we can provide a service resources are been used from other service areas. All issues are been addressed through using the appropriate policies and procedures. We continue to monitor delivery against the Joint CYPS/Housing Strategy Group Action Plan which enables alignment of key CYPS / Housing priorities (as an on-going joint commitment by CYPS / Housing to rectify the issues identified by the 2011 AC review).		

Children's Services		
R14.3	New CYPS Improvement Plan 2012-13 to be agreed at the Doncaster Children's Board scheduled for 30 March 2012 (R28.5)	1 April 2012 - 30 March 2013
R15	Recommendations arising from the Annual Governance Report 2011/12	Steve Mawson
R15.1	Ensure that Quality Assurance procedures linked to the production of the Financial Statements are sufficiently resourced to enable timely delivery	
	Update March 2013: The Technical Accounting team has established a more detailed timetable for the production of the main financial statements and associated disclosure notes. This includes details of the responsible officers for each statement and note and an appropriate officer to carry out a quality assurance review of the information being provided. Relevant dates for completion of the notes and the quality assurance reviews have also been agreed. The Technical Accounting Team will lead on a thorough review of all working papers in line with the agreed timetable.	
	Update June 2013	
R15.2	Ensure that working papers supporting all significant entries in the statements are available for audit within the agreed timescales	
	KPMG have issued their Audit Protocol for the 2012-13 accounts. This includes details of the key accounts they will be auditing as part of their interim audit work (April) and their main audit work on the financial statements (July/August). Key contact officers have been identified who will link with KPMG on their review of each account. Periodic audit liaison meetings will be established throughout the final accounts period to ensure that any audit issues or concerns are addressed in a timely and efficient manner.	
	Update June 2013	
R15.3	Review the Council's exposure to liabilities arising from MMIs financial position to determine the likely extent of the final liability.	
	The Council has reviewed its exposure to liabilities arising from MMIs financial position and has identified £2.4m in the contingency funding in the 2013/14 approved budget.	
	Update June 2013	