

**To the Chair and Members of the
AUDIT COMMITTEE**

2015-16 ANNUAL GOVERNANCE STATEMENT

Relevant Cabinet Member(s)	Wards Affected	Key Decision
Ros Jones	N/a	No

EXECUTIVE SUMMARY

1. The Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded, properly accounted for and used economically, efficiently and effectively. In discharging these responsibilities, the Council must ensure that there is good governance and a sound system of internal controls in place, which facilitate the effective exercise of the Council's functions.
2. An annual review of governance arrangements and the subsequent preparation and publication of an Annual Governance Statement (AGS) are statutory requirements by virtue of the Accounts and Audit Regulations (England) 2015. The AGS must demonstrably be a corporate document, corporately owned. An Annual Governance Statement has been drafted and is attached as Appendix A. There has been 2 significant weaknesses reported in 2015-16, detailed on page 6 of the statement.
3. The Accounts and Audit Regulations require proper practice to be followed in the production and approval of the Statement. 'Proper practice' requires the Council Leader (in Doncaster's case, the Mayor) and the Chief Executive to sign the statement to confirm their satisfaction with the governance framework and the procedures for reviewing it, and their acceptance of the significant issues highlighted in the statement, along with actions for tackling the issues raised. This should be done prior to the publication of the Statement of Accounts in September 2016.

EXEMPT REPORT

4. Not Applicable

RECOMMENDATIONS

5. The Audit Committee members are asked to:
 - Note and comment on the report;
 - Note that following the approval of the draft Annual Governance Statement at Audit Committee in August, The Mayor and the Chief Executive will be asked to sign the Statement prior to its publication along with the Statement of Accounts in September 2016.

WHAT DOES THIS MEAN FOR THE CITIZENS OF DONCASTER?

6. By ensuring that there is good governance and a sound system of internal controls in place the Council will be able to provide the citizens of Doncaster with services that are provided in accordance with the law and proper standards. It will also ensure that public money is safeguarded, properly accounted for and used economically, efficiently and effectively

BACKGROUND

7. Governance arrangements at Doncaster Council have improved each year and are now more robust than ever before. Our Annual Governance Statement has adopted a code of corporate governance, which is consistent with the principles of Chartered Institute of Public Finance and Accountancy (CIPFA)/ SOLACE Framework. Delivering Good Governance in local Government. The process for creating the Annual Governance Statement is more robust and streamlined. It is centrally managed and has much better engagement from directorate staff, building greater confidence into the procedure.
8. The 2015-16 Annual Governance Statement:
 - Highlights key areas of improvement from 2014-15 that have been completed and have been effectively managed to the extent that they were no longer significant in 2015-16. (Page 5)
 - Identifies new significant issues arising from the 2015-16 review of effectiveness of the corporate governance arrangements (Page 6)
 - provides an update on the key areas identified during 2014-15 that remain an issue in 2015-16 (Appendix A, Page 7).

OPTIONS CONSIDERED

9. Not Applicable

REASONS FOR RECOMMENDED OPTION

10. Not Applicable

IMPACT ON THE COUNCIL'S KEY OUTCOMES

- 11.

	Outcomes	Implications
	Working with our partners we will provide strong leadership and governance.	The Annual Governance Statement enables the Council to ensure that there is good governance and a sound system of internal controls in place

RISKS AND ASSUMPTIONS

12. The production of an Annual Governance Statement is a statutory requirement. The key risk is that failure to produce a statement to meet this requirement would result in an adverse audit report by the Council's external auditor and damage the Council's reputation. The original risk profile is 16 but by producing the Annual Governance Statement and addressing key corporate issues the risk profile is reduced to 8.

LEGAL IMPLICATIONS

13. The production and publication of an Annual Governance Statement is a statutory requirement.

FINANCIAL IMPLICATIONS

14. There are no direct financial implications resulting from this report.

HUMAN RESOURCES IMPLICATIONS

15. There are no direct human resources implications resulting from this report.

TECHNOLOGY IMPLICATIONS

16. There are no direct technology implications resulting from this report.

EQUALITY IMPLICATIONS

17. The council has a legal obligation under the Public Sector Equality Duty to consider how different people will be affected by their activity and service. Equalities and Due Regard issues will be considered as part of the individual policies and procedures that are contained within the Annual Governance Statement and as a result a Due Regard statement has not been completed for this process.

CONSULTATION

18. There is consultation with Directors and seniors managers throughout this process. Nominated directorates leads work with the corporate team and their directorate senior managers to complete the assessment which supports the production of the final Annual Governance Statement.

BACKGROUND PAPERS

19. CIPFA/ SOLACE delivering good governance in Local Government Framework
Accounts and Audit Regulations (England) 2015.
2014-15 Annual Governance Statement
Annual Report of the Head of Internal Audit 2015-16

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Simon Wiles
Director of Finance and Corporate Services



Doncaster
Metropolitan Borough Council

**Annual
Governance
Statement
2015-16
(DRAFT)**

What is Corporate Governance?

Doncaster Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for.

“Good governance is the framework of accountability to users, stakeholders and the wider community, within which organisations take decisions, and lead and control their functions, to achieve their objectives.”

Corporate Governance – Improvement and Trust in local Public Service (Audit Commission 2003)

Governance Framework

The Council’s Governance Framework aims to ensure that in conducting its business it:

- ✓ Operates in a lawful, open, inclusive and honest manner
- ✓ Makes sure public money is safeguarded, properly accounted for and used economically, efficiently and effectively
- ✓ Has effective arrangements for the management of risk
- ✓ Secures continuous improvements in the way that it operates

The Governance Framework comprises the systems and processes, culture and values by which the Council is directed and controlled. The framework brings together an underlying set of legislation requirements, good practise principles and management processes. In addition it enables the Council to monitor the

achievements of the Priorities and Outcomes as set out in the Corporate Plan.

The Council also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.

Doncaster Council has approved and adopted a code of corporate governance, which is consistent with the principles of the CIPFA/SOLACE Framework *Delivering Good Governance in Local Government*. A copy of the authority’s code is on our website at www.doncaster.gov.uk.

This statement explains how Doncaster Council has complied with the code and also meets the requirements of Accounts and Audit (England) Regulations 2015, regulation 4(3), which requires all relevant bodies to prepare an Annual Governance Statement.

About this Statement

The Annual Governance Statement review was conducted by the Corporate Policy and Performance Team. Part of the process included representatives from each directorate collating, reviewing and evidencing compliance and identifying significant governance issues. Issues identified by Internal and External Audit were also considered for inclusion in this statement.

The draft statement was presented to Directors on 23rd May and to Audit Committee in July, following which this statement was formally approved.



The Principles

The table below demonstrated how Doncaster Council delivers against the six core principles from the Good Governance Standard for Public Services

<p>Principle 1</p> <p>Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area.</p> <p>We achieve this by:</p> <ul style="list-style-type: none"> • Publishing our Borough Strategy, Corporate Plan and quarterly performance reports; • Holding annual Partnership summits; • Setting a Medium Term Financial Strategy; • Having a Partnership Charter and Governance Framework; • Benchmarking with other Local Authorities; • Adopting a commissioning approach to service provision; • Regularly updating out Corporate Procurement Strategy; • People Strategy; • Adopting an Outcome Based Accountability approach; and • Improved effectiveness of partnerships. 	<p>Principle 2</p> <p>Members and officers working together to achieve a common purpose with clearly defined functions and roles</p> <p>We achieve this by:</p> <ul style="list-style-type: none"> • Holding regular Directors and Executive Board meetings; • Holding quarterly finance and performance challenge meetings; • Setting out clear terms of reference for the Councils committees; • Having a constitution that clearly sets out roles and responsibilities; • Regularly updating Cabinet decision records; • Setting out key aspects of the councils internal control measures in our constitution; • Our Team Doncaster approach; • Improved relationships between officers and members; and • Effective use of our Overview and Scrutiny Management Committee. 	<p>Principle 3</p> <p>Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour</p> <p>We achieve this by:</p> <ul style="list-style-type: none"> • Ensuring our constitution contains guidance on officer and member conduct; • Having an Audit Committee which takes an active interest in the maintenance of standards across the Council; • Having an effective whistleblowing policy • Maintaining an Internal Audit Function • Having an Anti-fraud, bribery and corruption framework; • Team Doncaster Staff Charter; and • Staff Performance Framework.
<p>Principle 4</p> <p>Taking informed and transparent decisions which are subject to effective scrutiny and managing risk</p> <p>We achieve this by:</p> <ul style="list-style-type: none"> • Implementing our Risk Management Framework; • Considering significant risks in all formal decision-making and major projects/programmes; • Publishing our Strategic Risk Register as part of our quarterly challenge process; • Approving our Annual Governance Statement; • Approving our Annual Accounts; • Receiving reports from Internal and External Audit; • Having clear procedures to comply with Freedom of Information requests; • Effective use of equality information; • Using accurate information to base decisions on; and • Promoting a culture of openness and honesty. 	<p>Principle 5</p> <p>Developing the capacity and capability of members and officers to be effective</p> <p>We achieve this by:</p> <ul style="list-style-type: none"> • Providing an intensive 5 day member induction programme; • Providing Personal Development Plans for all staff to ensure they know what work priorities they have and what work is expected of them; • Have a suite of mandatory training for members; • Implementing a comprehensive e-learning package; • Leadership Academy; and • Mandatory training for officers; 	<p>Principle 6</p> <p>Engaging with local people and other stakeholders to ensure robust public accountability</p> <p>We achieve this by:</p> <ul style="list-style-type: none"> • Having a Community Engagement and consultation strategy • Using the Public consultations element on the Website • Having a Voluntary, Community and Faith sector strategy; • Considering consultations as part of our reporting process, where relevant; • Compliance with the Local Government Transparency Code; and • Publishing equality information on our website. • Using social media to communicate with the public;

Audit Committee

The Council's Audit Committee oversees the production of the Council's statutory accounts, the management of risks within the Council, the operation and effectiveness of the Council's internal control arrangements, and has responsibility for ensuring appropriate standards of ethical governance are in place and maintained.

The Committee has a programme of work in place to ensure it fulfils its responsibilities. The Committee has overseen and supported positive progress in a number of areas during the year, including:

- Improved risk management arrangements;
- A positive Internal Audit assessment of the Council's control environment;
- A continuing positive external audit report on the accounts;
- A continuing positive external audit opinion on the Council's Value For Money arrangements
- The development of a partnerships' governance framework;
- Better commissioning of services and stronger control over contracts;

The Audit Committee produces an Annual Report which is available at www.doncaster.gov.uk

Governance Group

The Council has an officer Governance Group that was established in 2011. It is chaired by the Director of Finance and Corporate Services and includes other key officers with responsibility for promoting good governance across the organisation. The Group has led on the development of governance arrangements at the Council, including in 2015/16:

- Ensuring the Council complies with best practice guidance issued by CIPFA / SOLACE and any other sector leading advice;
- Refreshing and re-launching a range of corporate policies and procedures;
- Ensuring senior managers confirm compliance with policies and procedures;
- Ensuring recommendations made by Internal Audit, External Audit, the Audit Committee and other key stakeholders about the

Council's governance arrangements are fully and effectively actioned;

The Governance Group supports and works closely with the Council's Audit Committee.

Role of Internal and External Audit

The council has both internal and external auditors.

The role of the internal audit is to:

- give independent assurance that internal controls operated by the Council are sound and are effective
- alert managers to areas of potential weakness and to make recommendations for improvements
- give unbiased professional advice on policies, procedures, practices and systems

All councils are subject to ongoing scrutiny by External Audit and their role is to:

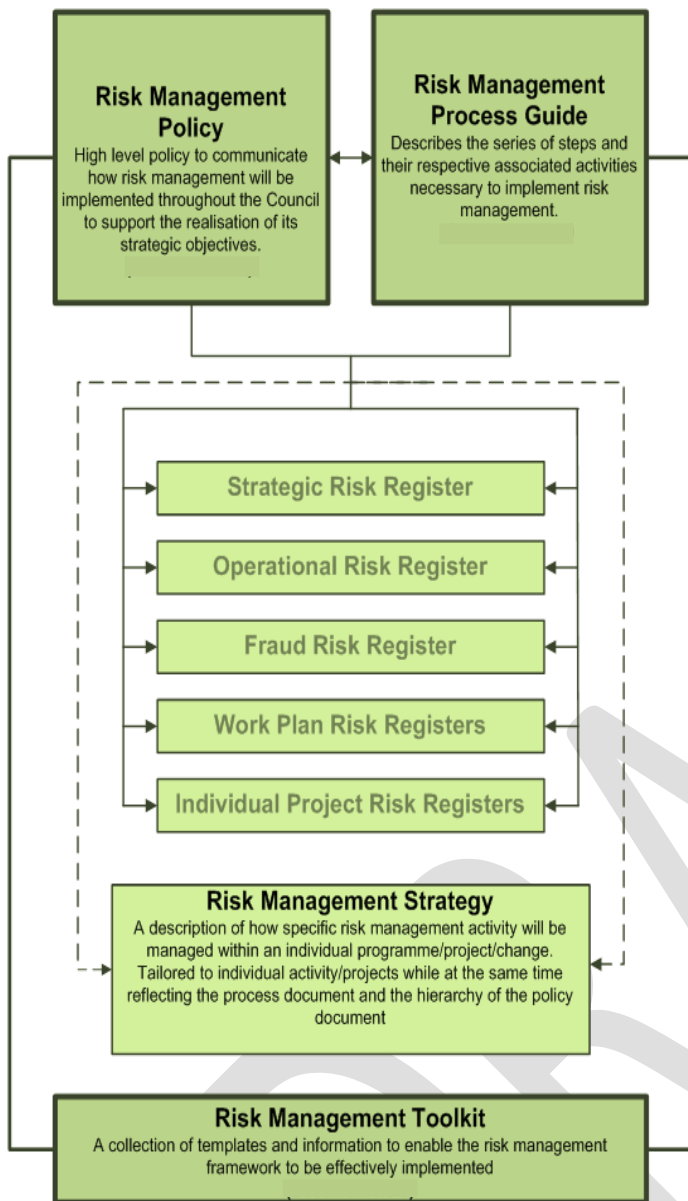
- review the accuracy of the council's Financial Accounts, grant claims and performance indicators
 - review the adequacy of performance management arrangements including the Best Value Performance Plan
 - review aspects of Corporate Governance and the Statement of Internal Control
 - assess the financial standing of the authority
- Internal Audit and KPMG aim to coordinate their work to get the best value from the resources in use and to this aim work closely together to achieve our objectives.

Our Approach to Risk Management

Doncaster Council recognises that risk management is an integral part of good governance and management practice.

Managing our risks effectively contributes to the delivery of the strategic and operational objectives of the authority. Doncaster Council manages risks via a Risk Management Framework that has been designed to provide structure and guidance to support our organisation, and the individuals within it, to take positive risks in an informed way.

Risk Management Framework



Significant risks are identified and reported as part of the quarterly Finance and Performance challenge process. These risks make up the Council's Strategic Risk Register. Senior Managers review the risks and report on the current position and on controls put in place to mitigate the risk.

The Strategic Risk Register is attached at Appendix B.

Key Areas of Improvement from 2014-15 that have been completed

There are a numbers of areas requiring improvement identified in 2014-15 that have been effectively managed to the extent that they are no longer significant in 2015-16. These are:

Information Commissioners Office (ICO) Inspection & Recommendations – All actions and recommendations are complete. Ensuring compliance is an on-going continuous task and is monitored by the Data Protection Officer.

Procure to Pay - The current performance on the payment of invoices at the end of February 2016 was 97% and the target of 95% is still expected to be achieved by the end of the financial year and on line processes embedded across the council. The majority of invoices are now being received centrally. Teams have continued to be revisited to ensure compliance with the P2P (procure to pay) process and business processes continue to be reviewed where non-compliance occurs.

Corporate Procurement and Contract Management – A review of procurement and commissioning was completed in November 2015 and drew positive conclusions about corporate procurement arrangements. Changes to the Council's Contract Procedure Rules (CPR's) were approved by full Council in January 2016. The changes to Contract Procedure Rules are compliant with EU legislation, have been rolled out to staff and will enable the Council to achieve better value for money for the citizens of Doncaster, through simplifying the procurement process and increasing competition within the supply chain. The levels of Council spend to organisations which are locally based in Doncaster, have increased from 49% (end March 2014) to 64% (end January 2016).

Doncaster Markets – Work is ongoing work with DN17 project team in respect of market improvements. This included the introduction of the cashless system, Data cleansing exercise has been completed and a new trader database has been set up. The Markets Management System procurement process is underway and we continue to work closely with Health and safety in respect of the comprehensive repairs and maintenance programme.

Risk Assessments - Measures have now been put in place to ensure the land transfers between the council and contractors are clear, explicit and timely and procedures are in place. Work is ongoing with both Audit and Health and safety to identify and mitigate risk

Business Continuity - Business continuity plans and arrangements are in place for each Directorate and support in developing plans and arrangements have also been provided to the Childrens Trust. Plans will continue to be reviewed and maintained in accordance with the Business Continuity Policy.

Significant Governance Issues Identified in 2015-16

Whilst we are satisfied with the effectiveness of corporate governance arrangements and systems of internal control, as part of our continued efforts to improve governance the following new issues have been identified for improvement as part of the 2015-16 Annual Governance Statement process:

Safeguarding Adults Personal Assets Team (SAPAT) - There are a number of governance risks associated with the Safeguarding Adults Personal Assets service that are currently being

addressed. These include lack of robust policies and procedures, lack of appropriate recording systems and poor data quality, multiple paper based systems, inadequate storage and retrieval of documents and property and a lack of clear performance and monitoring data. These are now all being addressed with support from corporate services.

Learning Disability/Supported Living Reviews – an improvement area was identified relating to annual reviews within the learning disability team. There is a risk that some of these reviews may be individuals who have not had a financial assessment, are not contributing towards their care and support and have not been considered for CHC funding. As the robust review project works through the cases we will have a better understanding of the accommodation and support needs of each individual.

The progress that has been made in dealing with governance issues, that were identified in 2014-15 and are still an issue in 2015-16, can be found in Appendix A.

Statement of Commitment

We have been advised of the implications of the result of the 2015-16 review of the effectiveness of the governance and internal control framework by the Audit Committee and of the plans to address identified weaknesses and ensure continuous improvement of the system in place.

We propose over the coming year to take steps to address the above matters to enhance further the Council's governance and internal control arrangements.

We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and that we will monitor their implementation and operation over the next year and as part of our next annual review of effectiveness.

Signed on behalf of Doncaster Council on **TBC:**

Ros Jones
Mayor of Doncaster

Jo Miller
Chief Executive

APPENDIX A

An update on Key Improvement Areas identified during 2014-15 that remain an issue in 2015-16

- **External Funding**

An issue has arisen relating to European funding of the White Rose Way development scheme. Following an audit a claim has been made to potentially claw back funding over procurement procedures. Doncaster Council has completed a report which outlines the justification for the European Commission Audit (ECA) to rescind its correction order. The report is currently with Department for Communities and Local Government (DCLG). We were expecting a response in December 2015, but to date, no response has been received ***The Lead Officer for this is the Director of Regeneration & Environment; the completion date is to be confirmed on receipt of report***

- **Doncaster Children's Trust**

Awaiting response from Riana Nelson

- **Fraud Code of Practice Assessment**

Deliver the improvement actions identified as part of our assessment against the new Code of Practice on Managing the Risk of Fraud and Corruption. A full assessment against the Code of Practice for Managing the Risk of Fraud and Corruption has been undertaken and Fraud Code of Practice Assessment Workshops has been held with managers. Fraud risk registers are being collated and will be reported to Audit Committee.

The Lead Officer for this is the Director of Finance & Corporate Services; the completion date is August 2016

- **Direct Payments**

Work continues to improve the recovery of direct payments and personalised budgets. There are a number of actions and processes that still need to be put in place or be embedded. However outstanding actions have been progressed with the majority now identified as fully completed, with others partly implemented and having a revised target date of June 2016. Substantial work and resources have been put into managing this area from within Adults, Health and Wellbeing and Finance and Corporate Services.

In February 2016, a further review of Direct Payments was undertaken by colleagues in Internal Audit with the outcome being a "limited assurance" that systems and processes are operating efficiently and effectively. A detailed improvement plan has been prepared with timelines during 2016/17, for delivery that will work to provide a greater degree of assurance that systems and processes are effective and robust.

Work is ongoing on the remaining actions and the Director of Adults, Health & Wellbeing has agreed a completion date of November 2016.

- **Data Quality Arrangements**

Internal Audit and the Corporate Performance Team highlighted an opportunity to improve the reliability of information to support performance management. The Activity from the Data Quality Strategy 2013-2015 including self-assessments on central government returns has been completed. A project plan to refresh the Data Quality Strategy has been developed with the target date for completion of September 2016. This activity which commenced in April 2016, will draw upon the completed self-assessments, incorporate latest research and draw upon good examples across the sector. Key parts of the Council including internal audit, ICT and Strategy & Performance teams will co-produce this strategy.

Also within each service plan a mandatory action on Data Quality has been included for 2016-17 planning cycles which will help to embed data quality across the organisation. ***The Director of Finance & Corporate Services has agreed a completion date of November 2016.***

- **Income Management**

Internal Audit identified an improvement opportunity regarding compliance with the Council's procedures and associated best practice for monitoring and collecting debt. An Income Management project plan has been produced is now working through opportunities to maximise income opportunities, ensuring income due to the Council is identified, charged for and collected in a cost efficient and timely manner. ***The Director of Finance & Corporate Services has agreed this will be established by September 2016.***

- **Asset Register**

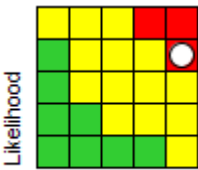
The Council is reviewing its arrangements for maintaining its asset register to enhance arrangements and better facilitate accounting for assets. Although Phase 2 of the Enterprise Resource Planning (ERP) programme has been deferred (with new deadlines to be agreed), work is progressing with design workshops due to take place over the summer, following which a plan for the fixed assets module will be clearer.

The fixed asset register (held on an excel spreadsheet) produces the statement of account information. External audit have been pleased with the improvements which have led to a more efficient capital audit, through improved audit trails and working papers. ***The Director of Finance & Corporate Services will provide an update on the Phase 2 project plan which will be implemented in March 2017.***

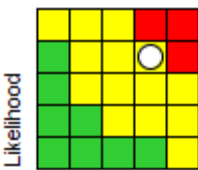
APPENDIX B

The Strategic Risk Register as at 31st March 2016, reported in order of risk score, highest to lowest

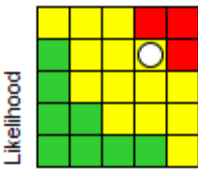
Current austerity measures result in increased poverty in Doncaster, causing deprivation for citizens and restricting the borough's ability to improve and grow

Current Risk 20 	<p>CURRENT POSITION: Score = 20 (impact 5 likelihood 4). The impacts of poverty and welfare reform continue to affect local people and are a risk to the achievement of Council and partnership objectives.</p> <p>MITIGATING ACTIONS: The partnership Anti-Poverty Strategy Group is delivering & co-ordinating actions to address the causes and effects of poverty within the borough. An Anti-Poverty Summit in June will highlight the achievements and progress that is being made. Attendees will be asked to share information, good practice and learning points with colleagues from across all sectors. They will also be asked to help identify or acknowledge new or worsening issues within Doncaster's communities, identify gaps in provision and propose solutions.</p> <p>TARGET RISK SCORE: 12 (impact 3 likelihood 4). Poverty continues to be an issue in Doncaster, as evidenced by the recent Indices of Multiple Deprivation. The main task is to reduce the impact on local people.</p>
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Children and Young People do not achieve in line with national expectation

Current Risk 16 	<p>CURRENT POSITION: Provisional Key Stage 2 Level 4 results for reading, writing and Maths combined have shown a disappointing drop in performance for 2015 putting Doncaster in the bottom quartile nationally. 2015 GCSE 5 A*-C inc English and Maths indicate a decline in line with the National trend but remain below the national average. Under the new Ofsted framework and inspection arrangements very few Doncaster schools have been subject to inspection, but those that have are improving their grades and the vast majority of interim Ofsted monitoring visits report positive progress. The Key Stage 2 rapid improvement strategy has been approved by the Minister for schools and has engaged the vast majority of schools in Doncaster. All interim targets so far have been reached. An indicative projection for outcomes based on standardised tests in year 6 is encouraging and a range of very focused initiatives are in place to raise standards according to the new framework of tests. A Key stage 4 strategy is planned with the Academies and a variety of challenging curriculum groups are in place led by the LA and supported by the Teaching School Alliance</p> <p>MITIGATING ACTIONS: Continue to deliver School Improvement 3 year Post Ofsted action plan which is currently midway through its implementation – with an improving picture regarding the quality of 'Leadership & Performance' which will have an effect on the overall Ofsted outcomes.</p> <ul style="list-style-type: none"> . Challenge Schools Commissioner and Sponsors of Academies on underperformance. . Ensure School Improvement Strategy is delivered, taking into account new Ofsted Measures. . Improve pupil attendance via enhanced early help . deliver the aspects of the education and skills strategy to include: <ul style="list-style-type: none"> Key Stage 2 and 4 rapid improvement initiatives Academy exploration and growth strategy for schools at risk of decline and those wishing to join Multi-Academy Trusts Revision support in the community for students and parents Leadership succession and recruitment support initiatives in partnership with the Teaching School Alliance <p>TARGET RISK SCORE: Impact – 4, Likelihood – Possible 3</p>
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Lack of capacity from house builders to build affordable properties

Current Risk 16 	<p>CURRENT POSITION: The proposed changes to planning definitions and introduction of the new Starter Home product are still not finalised so the impact cannot yet be fully assessed.</p> <p>MITIGATING ACTION: The Council have a continuous process of investigating alternative solutions through the Delivery Model and other funding solutions.</p>
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Failure to achieve the budget target for 2015/16 and 16/17

Current Risk	<p>CURRENT POSITION: For 2015/16 the council has a challenging programme of savings to deliver, which is being robustly managed by programme leads and reviewed by AD's & Directors on a quarterly basis. The overall overspend forecast is £xm (to be updated following outturn 29/05/16); this includes a number of pressures which have been taken into account in the 2016/17 budget process and funding allocated accordingly.</p> <p>MITIGATING ACTIONS: Developing other savings or utilising one off funds for any delays in the savings for 2015/16.</p> <p>TARGET RISK SCORE: Impact 3 x likelihood 3 = 9</p>
<p style="text-align: center;">16</p>	

Failure to improve Data Quality will prevent us from ensuring that data relating to key Council and Borough priorities is robust and valid.

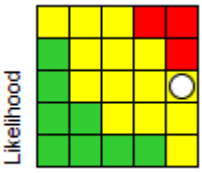
Current Risk	<p>CURRENT POSITION: Poor quality data may seriously hamper the ability for the Council' to transform and poor data and information will also reduce the effectiveness of the decisions that the Council makes. There are specific examples that demonstrate this including adult social care client management system that at the moment does not provide the quality of data that is required to support and add value that is needed. There is also the ability of the council to maximise the opportunities of linking up data automatically and supporting the digital council agenda which can be seriously hampered if the quality of the data in our systems is not up to standard.</p> <p>MITIGATING ACTIONS: To improve the quality of data across the organisation it will take time as we establish new processes and identify issues and links across the plethora of systems and data we currently hold. A new Data Quality Strategy will be developed and agreed by September 2016 which will set out the vision for data quality over the next few years and provide specific actions that will improve the quality of data across the council. Engagement across all Council departments will be required to ensure improvements are made quickly and appropriately. A register for all returns to central government will be updated and monitored to ensure the data supplied nationally is of good quality and ownership is clear. A business intelligence model which will support 'open data' across Doncaster is being discussed and will, once established help to support good and where appropriate automated information flows between systems improving the quality of data available in Doncaster. This risk links to all existing council plans, since the data we use informs all actions and decisions.</p> <p>TARGET RISK SCORE: Impact 4 (major) Likelihood 2 (unlikely)</p>
<p style="text-align: center;">16</p>	

A failure to identify, or to act on, areas of serious performance weakness in the Doncaster Children's Service Trust or in the Council, which could result in significant harm to a child or children which could have been avoided, or which could lead to an 'inadequate' judgement at Ofsted Inspection, which will negatively impact on the reputation of the local authority.

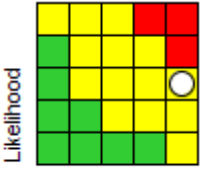
Current Risk	<p>CURRENT POSITION: The formal arrangements to monitor and review the effectiveness and input of services to children provided by the Trust and the council are believed to provide assurance against this risk. Trust and Council performance has shown an overall improvement against the key indicators since the establishment of the contract. Ofsted commented that formal systems for the Council to monitor and challenge performance by the Trust exceed the requirements set out in the contract between the organisations.</p> <p>MITIGATING ACTIONS: The Council has formally agreed the results of the Annual Contract Review which includes a revised suite of performance indicators, which have been subject to extensive joint development between the Council and the Trust. The new indicators are believed to provide more effective assurance against this risk, alongside additional Quality Assurance reporting, and this new approach has been agreed; which taken together will contribute towards the establishment of a continuous improvement framework. The formal variations to the contract await the Secretary of State's directions.</p> <p>TARGET RISK SCORE: Impact 5 X Likelihood 3= 15</p>
<p style="text-align: center;">15</p>	

Health and social care services do not change fast enough , impacting on quality, accessibility and affordability of services for people who need them most


Current Risk	<p>CURRENT SITUATION: The work required to Transform Adult Social care services has not happened quickly enough in the past. Improved service outcomes, financial savings and ambition levels have not been where</p>
<p style="text-align: center;">15</p>	

 <p>Likelihood</p> <p>Impact</p>	<p>they need to be to ensure that services are effective and efficient now and into the future. Much progress has been made in the past 6 months and outcomes from the business improvement element of the transformation programme are starting to be delivered. Work on business cases for the 5 transformation themes will start in April 2016.. Due to the recent positive action the likelihood score has been reduced from 4 (likely) to 3 (possible).</p> <p>MITIGATING ACTIONS: The new Adults Health and Wellbeing Transformation Programme have been approved by Cabinet and is now being delivered. The cross council Improvement Board chaired by the Chief Executive is continuing to oversee key work and govern the transformation process, meeting on a three weekly basis. 10 Immediate Business Improvement projects are now in progress with support and governance arrangements firmly in place to ensure outputs and outcomes are being delivered. Earnest and Young have been appointed to drive the transformation and will rapidly develop business cases for the 5 key transformation themes from April 2016. The National Development Team for Inclusion has been commissioned to help to develop a community focused and person centred model of social care.</p> <p>TARGET SCORE: Impact 5 (out of 5) and Likelihood 3 (out of 5) = 15</p>
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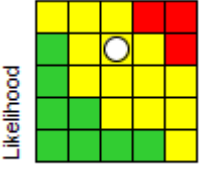
Failure to obtain assurance as to the safeguarding of children in the borough

<p>Current Risk</p>	<p>CURRENT POSITION: The formal arrangements to monitor and review the effectiveness and input of services to children provided by the Trust are believed to provide assurance to this risk. Overall the safeguarding indicators specific to children are now performing better than they were this time last year. Ofsted did not raise any concerns as to the safety of children in the borough, but did recommend improvements to social work practice which are being addressed through the Ofsted Improvement Plan.</p>
<p>15</p>  <p>Likelihood</p> <p>Impact</p>	<p>MITIGATING ACTIONS: The draft Ofsted improvement plan was submitted to Ofsted on 9th February 2016. Ofsted responded positively stating that the draft Improvement Plan addressed the identified areas for development from the inspection and that it was clear that progress had been made across a range of aspects and where action is completed, arrangements are in place to ensure this is maintained. The finalised plan was submitted to Ofsted on 26th April 2016 and was along with attendant actions, subject to consultation and feedback at the 'Getting to Good' seminar on 29th April 2016.</p> <p>TARGET RISK SCORE: Impact 5 X Likelihood 3 = 15</p>

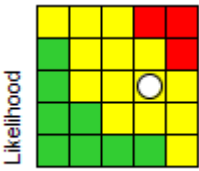
Failure to deliver the actions identified in the Equality and Inclusion action plan may impact our ability to effectively embed and delivery the equality agenda which could result in the council being exposed to public 'due regard' challenge

<p>Current Risk</p>	<p>CURRENT POSITION: The Year Two action plan is reviewed and monitored by the Equalities Steering Group and Portfolio Holder Deputy Mayor Glyn Jones. The final year action plan is being developed and is focusing more on the outcomes for the borough</p>
<p>12</p>  <p>Likelihood</p> <p>Impact</p>	<p>MITIGATING ACTIONS: We have strengthened the governance arrangements and reviewed membership of the Steering Group to ensure the most appropriate colleagues are on board and that Directorates are adequately represented.</p> <ul style="list-style-type: none"> - Q4 sees the roundup of the updates for the Year 2 Action Plan that was mainly focused on process activity, awareness and embedding. The Action Plan for Year 3 will be more outcomes based and will capture activities being delivered and developed throughout the council and with our partners. - Additional assistance will be provided by the Strategy and Performance Unit to support the delivery of the actions; <p>TARGET RISK SCORE: impact 4 x likelihood 2 = 8</p>

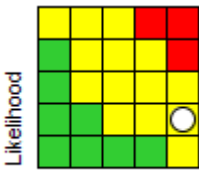
DN17 Programme does not deliver the level of savings required and this impacts on the services the council can offer to the public

<p>Current Risk</p>	<p>CURRENT POSITION: This risk will be updated once finance figures have been agreed.</p>
<p>12</p>  <p>Likelihood</p> <p>Impact</p>	

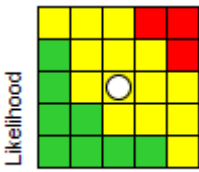
Failure to comply with the Data Protection Act 1998

<p>Current Risk</p>	<p>CURRENT POSITION: For the second quarter running, there have been no data protection breaches reported. Mitigating actions such as training, awareness, targeting where related incidents occur. Due to the nature of this requirement, the target risk will always remain major and possible with mitigating actions required continuously.</p>
<p style="text-align: center;">12</p>  <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p>	

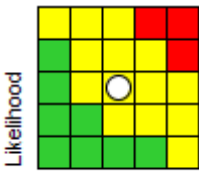
The agreed standards and policies are not adequately understood and implemented by practitioners who work with vulnerable adults increasing the risk of vulnerable people experiencing harm or abuse

<p>Current Risk</p>	<p>CURRENT POSITION: Peer review action plan has been developed and endorsed by the Doncaster Safeguarding Adults Board and significant progress has been made implementing this, including the creation of a multi-agency safeguarding hub to manage all safeguarding cases and clarify safeguarding pathways. The safeguarding board will receive regular reports on the implementation of the peer review actions plan.</p>
<p style="text-align: center;">10</p>  <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p>	<p>MITIGATING ACTIONS: A multi-agency guidance document is currently being developed with partners which will provide clear guidance on when the criteria for a safeguarding concern has been reached. This will enable independent providers to make decisions on actions with areas of concern. The Council is currently working to develop local safeguarding policies aligned to South Yorkshire procedures, which will be accompanied by a mandatory training programme for key staff.</p> <p>TARGET RISK SCORE: Impact 5 x Likelihood 2</p>

Failure to set robust assumptions on pensions deficit recovery and future contribution rate for the 2016 valuation

<p>Current Risk</p>	<p>CURRENT POSITION: Initial discussions have taken place with the actuary for South Yorkshire pensions and it is hoped that increase in pension cost can be maintained within the current estimates included within the Medium term financial plan.</p>
<p style="text-align: center;">9</p>  <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p>	<p>MITIGATING ACTIONS: The Council will be reviewing and challenging the assumptions made by the Actuary with SYPA and other LA's in South Yorkshire. The Actuary will be attending a meeting of the South Yorkshire Finance Directors to explain the position. The Council will be working with other LA's at a local and at a national level through the LGA to minimise any additional costs arising from the 2016 Valuation. Final results will be known early September 2016.</p> <p>TARGET RISK SCORE: Impact 2, Likelihood 2 = 4</p>

Poorly developed early help services could result in children and young people failing to maximise their opportunities and the council failing to improve or ameliorate health, education and life inequalities across the Borough

<p>Current Risk</p>	<p>CURRENT POSITION: The Early Help Hub has now been in operation for 6 months and is nearly fully staffed with a multi-agency compliment.</p>
<p style="text-align: center;">9</p>  <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p>	<p>MITIGATING ACTIONS:: The Early Help hub moved into management by Doncaster Children's Service Trust . Strategic risk remains the same as transfer is affected and new reporting and quality assurance systems are put into place. This will be fed back to the partnership via the Early Help Implementation Task Group and will challenge colleagues in terms of contribution and quality of input. The Early Help Implementation Plan will set out specific plans to increase engagement and quality of Early Help Assessments. EHITG oversees partnership engagement and subgroups are actively progressing specific work streams improving performance reporting and engagement of partnerships so as to ensure implementation and pace.</p> <p>TARGET RISK SCORE: Impact 2 Likelihood 3 = 6</p>

Failure to identify and manage Health and Safety risks

Current Risk	CURRENT POSITION: This risk has been reviewed and remains unchanged. Health and Safety Training for Managers continues to be mandatory across all Directorates. The new Health and Safety Advisor post for Construction Services continues to work well. Risks have been identified at Hatfield Colliery and work is ongoing to mitigate risks to public safety. This includes proposals to demolish and secure buildings. Intensive work, with the assistance of competent advisors and mining engineers has taken place during quarter 3. Separate reports on this work are being provided to the Chief Executive and Leadership Team to update on progress.
<p style="text-align: center;">8</p> <p>Likelihood</p> <p>Impact</p>	<p>MITIGATING ACTIONS: A further Health and Safety Training post is being developed as part of a review and restructure of the Regulation and Enforcement Service within Environment. A substantial amount of work has also been undertaken to identify and mitigate the health and safety risks within the Council's Markets with appropriate action plans now in place. Work has been undertaken within the Assets Team regarding health & safety risks on Council land. A programme of unannounced 'drop in' audits across a range of service areas has also commenced and will continue throughout 2016. Action plans will be developed with managers where appropriate to drive and monitor improvements against the audit findings.</p>

Failure to respond adequately to borough emergencies or mitigate effectively against the effects of extreme weather conditions e.g. flooding

Current Risk	CURRENT POSITION: This risk has been reviewed and is considered to remain appropriate. The Council's plans for preparedness and business continuity continue to be reviewed and maintained. The plans and arrangements have been rehearsed with partners from across South Yorkshire and a recent assessment of DMBC's emergency response capabilities by the Cabinet Office has demonstrated a high level of preparedness and compliance with Government expectations for Civil Contingencies.
<p style="text-align: center;">8</p> <p>Likelihood</p> <p>Impact</p>	<p>MITIGATING ACTIONS: A series of interactive Doncaster Council Corporate Exercise are being developed for 2016/17 which will involve all a partner agencies and organisations. Work continues to embed flood response awareness at a strategic level.</p>

Failure to implement the Council's key borough objectives in partnership

Current Risk	CURRENT POSITION: Following on from the recent health-check of Team Doncaster partners, analysis of responses showed all but two of the 15 questions asked showed increased positivity around partnership working. Slight reductions in mean scores (compared to 2013 responses on a 5-point scale) were found in "How well have we shared information between us" (-0.2) and "How well have we addressed the 'hard' issues" (-0.1). Future sessions are planned for Team Doncaster on the Education Commission's findings and also the Future Council work. The implementation of OBA has progressed significantly with the production of a Partnerships PMF – allowing Team Doncaster a clear snapshot of the partnership's 4 thematic boards' outcomes and indicators.
<p style="text-align: center;">6</p> <p>Likelihood</p> <p>Impact</p>	<p>MITIGATING ACTIONS: The Strategy and Performance Unit fed back to the Team Doncaster Strategic Partnership at the 6th April 2016 meeting, with the partnership identifying the need to tackle hard issues together. At the same meeting the Partnership's Performance Management Framework was presented to partners. The purpose of the Partnership PMF is to highlight performance from each other 4 theme boards, and allow Team Doncaster to challenge and make recommendations – allowing information to be shared and giving partners a clearer understanding of the 'hard' issues.</p> <p>TARGET RISK SCORE: Target Impact 3 (Significant), Target Likelihood 2 (Unlikely). Currently the target risk is identical to the actual risk, it is envisaged this will further reduce with greater embedding of OBA and the Partnership PMF and a longer term strategic plan on partnership priorities.</p>

Low staff motivation/morale and low performance

Current Risk	CURRENT POSITION: Morale, motivation and performance levels have remained steady throughout the year, despite on-going challenges particularly due to the transformation / improvement programme within Adults. The overall attendance management target of 8.5 days per FTE was not met, but overall performance has continued to improve with a further reduction of 0.61 days from 9.72 days per fte to 9.11 days per fte. There is still a high proportion of service reviews being undertaken along with on-going organisational transformation that will impact on morale, but this remains manageable given the mitigating actions put in place, resulting in a further decrease in this risk level.
<p style="text-align: center;">4</p> <p>Likelihood</p> <p>Impact</p>	<p>MITIGATING ACTIONS: Continue to monitor sickness trend and ensure action plans progress. Monitor impact on on-going organisation-wide transformation, particularly within Adults, Health and Well Being.</p>