

Subject:	Annual Governance Statement 2013/14 Action Plan Progress Update		
Date of Meeting:	13 January 2015		
Report of:	Interim Executive Director Finance & Resources		
Contact Officer:	Name:	Jackie Algar	Tel: 01273 29-1273
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Ward(s) affected:	All		

FOR GENERAL RELEASE**1. PURPOSE OF REPORT AND POLICY CONTEXT:**

- 1.1 The Audit & Standards Committee has a responsibility for reviewing the council's corporate governance arrangements, including internal control, and approving the Annual Governance Statement. The Annual Governance Statement includes an action plan for improvements to the council's governance framework. The Audit & Standards Committee should seek assurance over its effective implementation.
- 1.2 This report provides the Audit & Standards Committee with an update on the council's progress in implementing actions agreed in the Annual Governance Statement for 2013/14.

2. RECOMMENDATIONS:

- 2.1 That the Audit & Standards Committee notes the Annual Governance Statement 2013/14 Action Plan at Appendix 1.

3. CONTEXT/ BACKGROUND INFORMATION:

- 3.1 The Annual Governance Statement for 2013/14 was approved by the Audit & Standards Committee in June 2013. The Annual Governance Statement included a number of 'governance issues' and actions required. This was updated and presented to this Committee in September 2014, accompanying the report on the Audited Annual Statement of Accounts 2013/14.
- 3.2 The Officers' Governance Board is responsible for the review and ongoing monitoring of implementation of actions contained within the Annual Governance Statement and the action plan is a standing agenda item at these meetings.

4. ANNUAL GOVERNANCE ACTION PLAN:

4.1 The Annual Governance Statement Action Plan 2013/14 is at Appendix 1 and shows the 'work undertaken' in implementing the agreed actions; and details 'next steps' from December 2014.

4.2 The Annual Governance Statement Action Plan includes for each Action:

- the 'Work Undertaken' reflecting the position at December 2014;
- provides a RAG Status i.e. Red (not commenced), Amber (in progress), Green (complete);
- Next Steps planned for further improvement; and
- the Lead Officer(s).

5. FINANCIAL & OTHER IMPLICATIONS:

5.1 Financial Implications:

Sound corporate governance and proper systems of internal control are essential to the financial health and reputation of the council. The actions outlined to strengthen the governance arrangements, can be delivered within existing financial resources.

Finance Officer consulted: James Hengeveld

11 December 2014

5.2 Legal Implications:

The Audit & Standards Committee has delegated authority to approve the annual statement of accounts which are accompanied by an annual governance statement. The Committee thus has a legitimate interest in the actions underway to implement the improvement action plan stemming from that statement.

Lawyer consulted:

Oliver Dixon

04 December 2014

SUPPORTING DOCUMENTATION

Appendices:

1. Annual Governance Statement 2013/14 Action Plan Progress..



Documents in Members' Rooms:


None.

Background Documents:


1. Annual Governance Statement 2013/14.
2. Delivering Good Governance in Local Government (CIPFA/SOLACE 2012).
3. Accounts & Audit Regulations 2003 (Amended 2011).



Annual Governance Statement 2013/14 Action Plan Progress




No	Action	Work Undertaken	RAG Status	Next Steps	Lead Officer(s)
i.	To embed the refreshed approach to Fraud & Corruption awareness across the council including whistleblowing arrangements and declarations of interest.	<ul style="list-style-type: none"> Revised Corporate Fraud Team implemented following Single Fraud Investigation Service transfer to the DWP from 1 October 2014. Intranet pages updated. Fraud awareness e-learning prepared and ready for roll-out. Improved engagement with stakeholders and publicity e.g. Tenancy Fraud. Further work undertaken on enhancing processes for declarations of interest (both for officers and members). 	 Amber	<ol style="list-style-type: none"> Fraud Awareness e-Learning roll-out Implement fraud awareness workshops Greater publicity of Whistleblowing policy and arrangements 	Head of Internal Audit
ii.	Develop a new approach to the management of corporate fraud following the transfer of housing benefit work and associated staff to the new national Single Fraud Investigation Service.	<ul style="list-style-type: none"> Revised Corporate Fraud Team implemented following Single Fraud Investigation Service transfer to the DWP from 1 October 2014. Internal Audit Progress reports to Audit & Standards Committee include additional information on Fraud & Corruption. 	 Amber	<ol style="list-style-type: none"> Fraud e-Learning roll-out. Implement fraud awareness workshops. Refresh Counter Fraud Strategy and other key policies. 	Head of Internal Audit and Assistant Director Finance & Procurement


No	Action	Work Undertaken	RAG Status	Next Steps	Lead Officer(s)
		<ul style="list-style-type: none"> • Fraud awareness e-learning prepared and ready for roll-out. • £183,000 of Counter Fraud Funding won from the DCLG to prevent and detect Blue Badge fraud across Sussex. (Joint venture with ESCC and Sussex Police). 		<ol style="list-style-type: none"> 4. Embed SFIS referral and communication process with the DWP. 5. Deliver Blue Badge project in conjunction with ESCC and Sussex Police. 6. Priority areas to be identified as part of the Income & Debt Management VFM Programme and resources and actions agreed to raise awareness and improve detection and prevention. 	
iii.	Further Information Governance-focused work to maintain compliance with the Public Service Network (PSN) Code of Compliance and to meet the requirements of the Information Commissioners' Office (ICO).	<ul style="list-style-type: none"> • Information Management Board oversees this risk and provides leadership on Information Management good practice to ensure the council acts upon its legal obligations under the Data Protection and Freedom of Information Acts. • A review, rewrite and re-launch of the first suite of policies has taken place as part of the new Safe and Secure education campaign. • A major refresh of desktop software replacing end of life 	 Amber	<ol style="list-style-type: none"> 1. The continuing review, re-write and re-launch of all information management and security policies to ensure a deeper understanding of individual staff and Member responsibilities in respect of protecting personal and sensitive information. 2. Continuing the delivery of the refreshed and updated Information Governance training package, through both e-learning and face to face, to ensure maximum 	Senior Information Risk Owner (SIRO) and Chief Technology Officer

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		<p>software (Windows XP and Office 2003) with Windows 7 and Office 2010 has been completed.</p> <ul style="list-style-type: none"> • Public Service Network Code of Connection compliance was achieved in September 2014. Compliance is annually reassessed and additional security standards are brought into effect each year. • NHS Information Governance Toolkit compliance was achieved during summer 2014. Again this is an annual assessment. • Freedom of Information requests can be made and are now publicly available through the foi.brighton-hove.gov.uk website. • An Information Audit has been undertaken across the organisation to establish an up to date corporate information asset register. • A new Information Governance training package has been developed and has been rolled out through both e-learning and face to face. • A new Data Centre supplier has 		<p>uptake and annual renewal.</p> <ol style="list-style-type: none"> 3. Deliver the Compliance work stream of the Infrastructure Programme, including ensuring compliance with requirements of PSN CoCo 2015 and NHS IG Toolkit 2015. 4. Continue the education and communications plan with staff and Members under the banner of Safe & Secure. 5. Complete, analyse and exploit the findings of the corporate-wide Information Audit. 6. Business continuity arrangements continue to be reviewed and are being considered in the design for the new Infrastructure Services as part of the Infrastructure Programme. 7. A revised encrypted email product with improved usability and availability will be rolled out across key users. 	

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		<p>been selected and the migration project is underway as part of a major refresh of the council's secure ICT infrastructure.</p> <ul style="list-style-type: none"> • New multi-agency working support and assessment processes have been introduced including Privacy Impact Assessments for all significant new multi-agency working initiatives, reviewed and overseen by the Information Management Board. • Joined the South East Government Warning Advice Reporting Point (SEG WARP) to share best practice across the South East region, including SE7 colleagues. 			
iv.	Improved compliance with Contract Standing Orders to be incorporated into the Value for Money Programme in relation to third party spend.	<ul style="list-style-type: none"> • Increased emphasis of Internal Audit work on procurement and contracts. • Procurement, legal and financial training provided to all key officers on compliance with Contract Standing Orders. • VfM programme/Council has funded additional permanent posts in Corporate Procurement and temporary support in Legal 	 Amber	<ol style="list-style-type: none"> 1. Formulation and prioritisation of contract optimisation work plan. 2. Build in procurement and contract audits into 2015/16 Internal Audit Plan. 	Executive Director of Finance & Resources

No	Action	Work Undertaken	RAG Status	Next Steps	Lead Officer(s)
		Services and Internal Audit to focus on contract optimisation.			
v.	Review of Code of Corporate Governance - prioritised refresh of council policies and communication methods to take account of the pace of change.	<ul style="list-style-type: none"> Review of Code of Corporate Governance has commenced. Corporate Governance Intranet pages have been updated. 	 Amber	<ol style="list-style-type: none"> Complete review and update of Local Code of Corporate Governance. Additional enhancements to Intranet and corporate communications on good governance. 	Executive Director, Finance & Resources
vi.	Focus on the adequacy of Business Continuity arrangements and work to embed understanding of its practice in council service delivery.	<ul style="list-style-type: none"> Corporate Business Continuity Group set up with representation from all Directorates to meet quarterly. Business Impact Analysis undertaken to establish business continuity priorities. Business continuity e-learning package developed and available on council intranet. 	 Amber	<ol style="list-style-type: none"> To prepare a report to Executive Leadership Team to enable sign off of business continuity priorities, this will include an assessment of the uptake of business continuity e-learning on the council intranet. ICT Disaster Recovery arrangements to be linked more closely to Business Continuity priorities. Regular communication of business continuity arrangements and issues to services through the Corporate Business Continuity Group. 	Executive Director, Public Health

No	Action	Work Undertaken	RAG Status	Next Steps	Lead Officer(s)
vii.	The continued roll out of the Living Our Values Every Day culture change programme.	The Living Our Values Every Day programme is being rolled out and has been delivered to all of ELT and CMT.	 Green	1. To roll out the training for all other managers in the council.	Head of HR and Organisational Development
viii.	Refreshing the Value for Money Programme and ensuring that its governance is fit for purpose.	<ul style="list-style-type: none"> Value for Money programmes set up. Corporate Modernisation Delivery Board set up as a Sponsoring Group to govern Modernisation projects / programmes including Value for Money programmes. Extended Budget Review Group set up to provide periodic member oversight of the VFM Programme. 	 Amber	1. Support and challenge Modernisation project / programmes to ensure benefits are delivered.	Head of Performance, Improvement & Programmes
ix.	Introducing the reformed Health & Wellbeing Board (HWBB) and new Greater Brighton Economic Board.	<p>Re. Health & Wellbeing Board:</p> <ul style="list-style-type: none"> HWBB set up and development programme underway. Wider HWBB system in place including Chief Executive meetings, officer group core in the NHS. <p>Re: Greater Brighton Economic Board (GBEB):</p> <ul style="list-style-type: none"> GBEB established in 2014/15 and regularly meeting; GBEB has provided a useful 	 Amber	<p>Re. Health & Wellbeing Board:</p> <ol style="list-style-type: none"> First wider stakeholder event planned. <p>Re: Greater Brighton Economic Board: GBEB will:</p> <ol style="list-style-type: none"> Continue to explore stronger collaboration between local authorities in 	<p>Executive Director, Adult Social Care (Health & Wellbeing Board)</p> <p>Executive Director Environment, Development & Housing (Greater Brighton Economic</p>

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		forum which helped to lever in £90M of funding across the Region.		the City Region; 2. Develop new propositions after May 2015 and submit funding bids into HM Government.	Board)
x.	Improving how we use a range of financial and non-financial information including customer insight to make improvements to service delivery.	<ul style="list-style-type: none"> • Key Performance Indicators to be monitored by the Executive Leadership Team defined. • Business Planning Process for 2015/16 simplified and streamlined to ensure appropriate information is captured based on which performance improvement could be monitored. 	 Amber	<ol style="list-style-type: none"> 1. Key Performance Indicators to be monitored by each Directorate to be better defined. 2. Ensure production and delivery of high quality directorate and services plans. 	Head of Performance, Improvement & Programmes