

Kirklees Council

Annual Governance Statement  
2018/19

Action Plan Progress – Quarter 3

Significant Governance Issue	Action	Director Owner / Lead	(Revised) Target Completion
Embed the strengthened Corporate Plan to achieve priority outcomes.	<p>To develop a more robust, intelligence led performance management mechanism across the organisation aligned with the annual planning cycle to drive resource allocation decisions that are better aligned to priority outcomes and to monitor their delivery.</p> <p>To continue to embed the performance management system for both business critical indicators and other service measures used, including the development of more relevant qualitative indicators alongside quantitative ones to better measure outcomes and impacts. Incremental improvement in the system of quarterly reporting during the year and a review to ensure that the new corporate team and utilisation of IT software are facilitating the extent of change required.</p> <p><b><u>Update:</u></b>  <b>Ongoing per the planned timescale for delivering the new corporate performance management framework and arrangements.</b></p> <p>Re-fresh Council medium term financial plan for 2020-21 and beyond guided by intelligence led priority outcome decision making.</p> <p><b><u>Update:</u></b></p> <ul style="list-style-type: none"> <li>• <b>The previous deadline reflected the budget strategy update re-fresh, which is also intelligence driven but in terms of priority outcomes, these will feed through as budget</b></li> </ul>	<p>Service Director Strategy &amp; Innovation</p> <p>Service Director Finance</p>	<p>March 2020</p> <p>October 2019 –revised February 2020</p>

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	<p><b>proposals into the February 2020 report, ultimately.</b></p> <p><b>This has now been completed.</b></p>		
<p>Manage delivery of the Council's Transformation Activities.</p>	<p>Focus on providing support and challenge, and monitoring delivery of the following areas of priority:</p> <ol style="list-style-type: none"> <li>1. Organisation Design - determine the future shape of the organisation.</li> <li>2. Development of place-based working with communities and delivering services that recognise the diversity of the different places across Kirklees and their needs, facilitated by an adjustment of resources during the year.</li> </ol> <p><b><u>Update:</u></b></p> <ul style="list-style-type: none"> <li>• <b>Annual Council in May considered and agreed a report of the Chief Executive which introduced the development of Place Partnerships in the context of Place Based Working.</b></li> <li>• <b>This new initiative will be piloted and is predicated on looking at how to address strategic issues on a geography wider than the Ward. This year the issues are mental health and domestic abuse and money has been set aside in the budget accordingly.</b></li> <li>• <b>Seven Place Partnerships have been established based on demographics and Place Partnership Lead Councillors have</b></li> </ul>	<p>Strategic Director Corporate Strategy, Commissioning &amp; Public Health</p>	<p>March 2020</p> <p>December 2019</p>

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	<p><b>been nominated for each one. Each Lead Councillor will have a dedicated officer to support them. The Leads have agreed a 9 stage framework in terms of how they will progress their work. They are in the process of planning their next steps which will involve engagement with elected councillors, relevant services, key stakeholders and the community to understand what already exists, what the gaps are and thereafter determine the commission.</b></p> <p>3. Strengthening enabling services to work more effectively to support and challenge delivery with two pilots implemented by the end of the year.</p> <p>4. High Needs, Placements &amp; Waste - existing areas of work within Services, where Executive Team has identified that a broader approach may be beneficial, although timescales will vary</p> <p>5. Adult Social Care, Children's Improvement which the relevant Service Directors own – to complete the transformation process as change is embedded into working practice.</p> <p><b><u>Update:</u></b></p> <p><b>Ongoing – linkages to the Financial Strategy and additional areas of focus including on Parking Income, School Transport &amp; High Needs.</b></p>	Service Director Strategy & Innovation	March 2020
Strengthen Partnership	Embed the revised executive arrangement of themed meetings throughout the year that draw the partner together on a topic basis.	Service Director Strategy & Innovation	December 2019



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	<ul style="list-style-type: none"> <li>• <b>A revised format for directorate risk reporting has been developed, which incorporates both service risks and contributions to corporate risk. There is greater oversight of the process by a risk panel. Training has been provided to the majority of senior managers on the principles of risk management, and how this works in the Council. Regular reporting of emerging risk issues to Executive Team, and executive councillors, though this is still not fully integrated with risk reporting process.</b></li> <li>• <b>The next stage is to try to achieve consistency of directorate risk information, and secure timely review and updating. Changes made to format of some reporting. Quality checking undertaken on directorate submissions, with advice provided, seeking formalised update for each service area confirmed by director (&amp; SLT) by 31 March 2020.</b></li> <li>• <b>Recent IA review had positive (adequate assurance) outcome, with need to seek higher quality directorate/service submissions to bring early transparency to areas of key exposure.</b></li> </ul>		
Continue to implement & embed the refreshed Children's Services 3 year	Implementing and embedding actions in the 3 year Improvement Plan cover various time horizons. In the coming year the focus will be to complete the year 2 strengthening phase of designing and developing a stronger strategic approach and to continue work towards embedding as planned by July 2020 as follows:	Service Director Family Support & Child Protection	

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Improvement	<ul style="list-style-type: none"> <li>• To audit the evidential base for reported actions and progress to date to provide assurance of its robustness prior to the next Ofsted inspection.</li> <li>• To ensure that consistency and quality improves in relation to a timely initial response to cases where children need a social work assessment, and in relation to ensuring that children’s records are comprehensive and up to date.</li> <li>• To complete a comprehensive core skills programme of training for social workers and managers in order to support good-quality improvements across the workforce.</li> </ul> <p><b><u>Update:</u></b></p> <ul style="list-style-type: none"> <li>• <b>The evidential base was audited in June and found to be robust.</b></li> <li>• <b>The Ofsted inspection in July concluded with an improved <i>Requires Improvement to be Good</i> rating, which acknowledged the work done to date in addressing the concerns raised at the previous inspection, specifically clear and focused leadership; a strengthening of partnerships; and improved workforce stability. No widespread or serious failures were found, children who need help and protection are now recognised and the risk of significant harm is being responded to quickly. However, the inspection acknowledged the amount of measures still to implement and embed fully in accordance with the third year of the Improvement Plan.</b></li> </ul>		<p>June 2019</p> <p>March 2020</p> <p>March 2020</p>





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	<ul style="list-style-type: none"> <li>• <b>Strengthened governance process now in place. The issue now is effectively embedding this strengthened process.</b></li> <li>• <b>Corporate Scrutiny Panel have on their forward programme for 2019/20 a progress report on capital plan delivery and capacity] which will be coming March 2020.</b></li> </ul>		July 2019 – revised December 2019
Improve Information Governance to manage GDPR compliance and Cyber Security.	<p>Corporate Data Protection Act 2018 including GDPR compliance and working to embed across the organisation.</p> <p><b><u>Update:</u></b></p> <ul style="list-style-type: none"> <li>• <b>A second self-assessment of progress by Service Directors to measure their work towards compliance against the 10 GDPR deliverables has taken place and the results analysed. As GDPR had been in place for almost 12 months, Services were expected to be performing at an <i>Implementing or Established Way of Working</i> level. Whilst there was still a mixture of response levels, these were more focussed on the expected levels.</b></li> <li>• <b>The Information Asset Owners (Service Directors) received the detailed scores and comments. The IG team are continuing to support their process development and progress compliance into the desired level.</b></li> <li>• <b>ET has requested six monthly self-assessments continue for now, and the Information Governance Board has agreed the</b></li> </ul>	Service Director Legal, Governance & Commissioning	Throughout 2019/20

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	<p>next one be scheduled for December 2019 and then June 2020; thereafter an annual review will be undertaken.</p> <ul style="list-style-type: none"> <li>• IG Team will continue to support Service Directors with specific development needs.</li> </ul> <p>Ongoing technical work and IT staff training to maintain a robust network as per the Cyber Security Strategy.</p> <p><b>Update:</b></p> <ul style="list-style-type: none"> <li>• <b>Cyber Awareness Training: working with an external supplier on the implementation of Local Government cyber awareness e-learning videos for all Council colleagues to access.</b></li> <li>• <b>Cyber Exercise: Working with Emergency Planning colleagues to test our cyber readiness, split into three parts:</b> <ul style="list-style-type: none"> <li>• <b>Technical with IT – December 2019</b></li> <li>• <b>Business Continuity with Service Areas, identified by the Emergency Planning Team (non- IT) – December 2019</b></li> <li>• <b>Strategic with Executive Team – January 2020</b></li> </ul> </li> </ul>	Service Director Strategy & Innovation	Throughout 2019/20
Improve effectiveness and challenge in governance	Local Government Association Peer Review in July 2019 reviewed our arrangements and provided a challenge to their robustness. An Action Plan was compiled to implement the agreed recommendations.	Executive Team	September 2019

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arrangements.	<p><b><u>Update:</u></b></p> <p><b>The final report has been agreed recently and went to Cabinet and Council in November along with a plan for how the LGA's recommendations will be taken forward.</b></p> <p>CGAC to review the Code of Corporate Governance.</p> <p>Complete planned externally facilitated Scrutiny Panel training on commercialisation, and identify and deliver as appropriate refresher training to CGAC on financial statements, treasury management and other training needs.</p> <p>Continue to complete actions from the Democracy Commission.</p> <p><b><u>Update:</u></b></p> <p><b>A report will be taken to CGAC at its March 2020 meeting which reviews the Code of Corporate Governance.</b></p> <p><b>CGAC has received training on treasury management during the year which took place on 15 November commercialisation training for scrutiny was run by the Local Government Association and held on 21 November.</b></p> <p><b>At the beginning of the next municipal year we will identify training for 2020/21.</b></p>	Service Director Legal, Governance & Commissioning	Throughout 2019/20

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Ensure Procurement Rule Awareness and Compliance	<p>Complete work on increasing the transparency and visibility of the Council's contracts.</p> <p>Implementation the new procurement model which highlights compliance and value for money challenges within the categories of spend.</p> <p><b><u>Update:</u></b></p> <ul style="list-style-type: none"> <li>• <b>Continued work with stakeholders to ensure compliance, transparency and visibility of council contracts.</b></li> <li>• <b>Category managers are established and taking ownership of areas of spend, providing high support and high challenge.</b></li> <li>• <b>Procurement governance pathway established within Adults Directorate to ensure oversight, ownership, check/challenge and sign off all procurement activities.</b></li> </ul>	Service Director Legal, Governance & Commissioning	March 2020
Improve manager capacity and skill base.	<p>Complete implementation of the People Strategy and embed across the manager base.</p> <p><b><u>Update:</u></b></p> <p><b>The work of the People Strategy has been split into 3 key themes – Wellbeing, Development and Attraction. Updates on each</b></p>	Strategic Director Corporate Strategy, Commissioning & Public Health	March 2020

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	<p>theme have been reported regularly to Scrutiny Panel and the Modern Organisation Board. The latest update focuses on the Attraction theme. Some key achievements include:</p> <ul style="list-style-type: none"> <li>• Our extensive use of the apprenticeship levy for both new starters to the Council and existing staff and managers to support our workforce development and succession planning</li> <li>• The use of community outreach programmes to engage with and attract a more diverse workforce</li> <li>• The procurement of a new digital recruitment platform which will significantly streamline and improve the recruitment process for our managers as well as applicants</li> </ul> <p>The People Strategy will be refreshed this year following engagement with stakeholders.</p>		
Improve Income Collection.	<p>Revise Financial Procedure Rules to clarify responsibilities and strengthen overall control.</p> <p>Pursue all debt wherever possible, or cancel or write-off if not, in accordance with existing procedures.</p> <p>Target key areas for improved income collection procedures with regard to commercial activity, implement and monitor effectiveness.</p> <p><b><u>Update:</u></b></p> <ul style="list-style-type: none"> <li>• All milestones achieved.</li> </ul>	Service Director Finance	<p>May 2019</p> <p>Quarterly through 2019/20</p> <p>October 2019</p>

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	<ul style="list-style-type: none"> <li>• <b>The issue now is to monitor effectiveness over time which is being overseen by a monthly Project Board chaired by the Service Director.</b></li> <li>• <b>Trade waste activity is currently being reviewed to enhance a more commercial approach.</b></li> </ul>		
Some key Medium Term Risks require Decisions in the Short Term, such as Waste Strategy & Management	<p>Continue to monitor medium term risks and ensure an effective combination of pace and thorough consideration of those with significant long term impact, of which the Waste Strategy, and the renewal on waste disposal arrangements (2023-2028) is one of the most significant given the potential cost implications.</p> <p><b><u>Update:</u></b></p> <p><b>Ongoing</b></p>	Service Director Environment	Throughout 2019/20
Compliance with new Local Government Ethical Standards.	<p>Propose changes to some practice and some amendments to strengthen the Code of Conduct to CGAC and Annual Council and ensure compliance. If adopted, further work to keep this under review and monitor compliance.</p> <p><b><u>Update:</u></b></p> <p><b>The Council has updated its Code of Conduct and changed some practice following the recommendations from the Committee on</b></p>	Service Director Legal, Governance & Commissioning	<p>October 2019</p> <p>As necessary</p>

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	<p><b>Standards in Public life. It continues to review this and at the last meeting of Standards Committee it was agreed to consult on with Stakeholders about its Standards process. That will be reported back in due course.</b></p> <p><b>We will respond to any changes in legislation as they occur.</b></p>		
<p>Governance arrangements need developing to identify and manage issues arising from historically different service delivery.</p> <p>To learn from the lessons arising and make sure the issues are addressed.</p>	<p>Develop a corporate approach that satisfies initial management of such issues as they emerge through the corporate risk management process via the Risk Panel and are flagged up to ET and enables organisational reflection and learning.</p> <p><b><u>Update:</u></b></p> <p><b>Where issues such as historically poor safeguarding, health and safety or HR practices are identified, checking will be undertaken to ensure that the same practices are not still in operation. Moving to a focus on being less insular and drawing upon wider external assurances and develop an assurance backed culture.</b></p>	Service Director Legal, Governance & Commissioning / Executive Team	Throughout 2019/20
Corporate health and safety assurance needs developing.	Implement agreed recommendations from the 2018/19 Internal Audit Report, specifically to resource a return to the delivery of corporate Management System audits at the stated risk based frequency to provide assurance of key control adequacy and effectiveness, and	Strategic Director Corporate Strategy, Commissioning & Public Health	July 2019

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	<p>report to ET and Members accordingly.</p> <p><b><u>Update:</u></b></p> <ul style="list-style-type: none"> <li>• <b>Management System audit frequencies have been reinstated as at least every five years for all Services and now include a standardised opinion of arrangements</b></li> <li>• <b>Additional corporate monitoring staff have been appointed</b></li> <li>• <b>Ten audits are scheduled for 2019-20.</b></li> </ul>		
Various recent cases suggest School Governance Arrangements need review and possible revision.	<p>Look to understand what is causing a (historically) large number of complaints about governance and management in schools, and look to identify potential solutions.</p> <p><b><u>Update:</u></b></p> <p><b>Ongoing</b></p>	Service Director Learning & Early Support	Throughout 2019/20
Key Financial Systems Security and User Access Controls need strengthening.	<p>IT and HD One staff to address the key outstanding SAP &amp; Northgate access and usage control issues identified by external audit.</p> <p><b><u>Update:</u></b></p> <ul style="list-style-type: none"> <li>• <b>Of the 4 key recommendations relating to SAP set out by Grant Thornton, recommendations 1-3 have now been</b></li> </ul>	Service Director Finance	July 2019 – revised December 2019



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	<p><b>actioned. Recommendation 4 concerning routine continuous user monitoring is currently outstanding, as it requires increased corporate capacity to effectively manage going forward, and is something senior management are committed to supporting.</b></p> <ul style="list-style-type: none"> <li>• <b>The remaining GT recommendations 5-7 relate specifically to Northgate (revenues and benefits system) and these remain a WIP.</b></li> <li>• <b>External audit revisited in December 2019 to independently review progress against the above, and will report back to CGAC in due course.</b></li> </ul>		