

**APPENDIX 1: SIGNIFICANT GOVERNANCE ISSUES 2014/15**

| <b>Governance issue</b><br>(as per AGS 2014/15)   | <b>Action required to resolve issue</b><br>(as per AGS 2014/15)  | <b>Lead Officer</b>  | <b>Progress</b>  |
|---|--|--|--|
| <p><b><u>ICT Business Continuity and Resilience Plans</u></b></p> <p>The Council has identified weaknesses in its business continuity arrangements, which may be susceptible due to the Council not having in place robust ICT business continuity plans. The Council must ensure that these plans are in place for its identified critical services to ensure these services can function effectively in the event of an incident.</p> <p>The Council has identified the need to strengthen its ICT resilience and respond to risks related to the current location of its data centres.</p> | <p>A Business Continuity Policy has been produced and publicised on the Council's Intranet. This accompanies a business continuity planning template which is in the process of being completed for all those services deemed to be critical. The content of the plans will be used to inform the work plans for the IT service in the event of data loss of one or a number of systems.</p> <p>The project to move one of the Council's data centres is being initiated, with a number of options being researched. These options include:</p> <ul style="list-style-type: none"> <li>• Co-location with a public sector organisation</li> <li>• Co-location with a commercial organisation</li> <li>• Use of Wirral-owned assets.</li> </ul> | <p>Head of Corporate and Community Safety</p> <p>Chief Information Officer</p> | <p>Business continuity planning is underway for "critical" services through the completion, evaluation and testing of business continuity planning templates. This will be used to inform the work plans for IT services in the event of data loss of one or a number of systems.</p> <p>Options for the relocation of both data centres are being actively explored. Discussions with a local public sector partner are reaching an advanced stage. A number of options are being explored with regard to the location of the second "on premise" data centre, with reviews being undertaken to establish suitable potential locations.</p> |
| <p><b><u>Corporate Procurement Arrangements</u></b></p> <p>The Council must continue to take action to address identified weaknesses in relation to its</p>   | <p>The organisation's capacity to respond and adhere to policy and legislative requirements is being strengthened.</p>   | <p>Strategic Director: Transformation and</p>                                  | <p>A fit-for-purpose structure for the Procurement Team is being implemented, with recruitment taking place. Revised Contracts Procedure Rules</p>   |

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| corporate procurement arrangements.  |   | Resources  | have been approved and take effect from 1 April 2016, with briefings being held for officers.<br>Officers must comply in full with the Contracts Procedure Rules, working in conjunction with the Procurement Team, so as to ensure a robust corporate approach.   |
| <p><b><u>Absence Management</u></b><br/>The organisation failed to meet its absence target for 2014/15. The Council must now review its approach to ensure that absence is reported and managed effectively in accordance with Council policies.</p> | <p>A range of measures are being taken to reinforce the Council's absence management policy with managers and employees.<br/>This includes strengthening management information and the completion of a mandatory e-learning package on attendance management by all staff. Data provided by North West Employers shows that the Council's performance in comparison with other authorities has improved in recent years.</p> | Head of Human Resources and Organisational Development | <p>The Council has implemented a range of measures intended to assist in reducing absence. The sickness absence policy has been revised and a number of changes made to strengthen the response to this issue. Chiefly, this has included amendments to the absence triggers and more timely referrals to occupational health for stress-related absence. There has also been extensive awareness-raising for officers and managers.<br/>The projected figure for 2015/16 is 11.7 days (after December 2015 figures) compared to a target of 9.75 (the effects of staff transfers to newly-formed local authority companies will be evident in the figures from January 2016.) A comparison of this to other Councils will follow the year-end. Officers and managers must comply in</p> |

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|   |   |   | full with the Absence Management policy, so as to ensure that the objective of reducing absence levels is achieved.  |
| <p><b><u>Culture</u></b><br/>The Council has identified issues relating to staff and management adherence to internal controls.</p> | <p>The People Strategy 2015 is being developed to support a refreshed leadership and culture framework, linked to the Council's target operating model. This will include a diagnosis of the required changes to culture, structure, systems and processes, underpinned by a new form of leadership for the future.</p> | <p>Head of Human Resources and Organisational Development</p> | <p>Work is ongoing to define a "new operating model" for the Council. This has been informed by an organisational diagnosis and feedback from the LGA Peer Review of November 2015.</p> <p>A short-term culture action plan has been agreed, focusing on key activities to be delivered by April 2016. A longer term action plan will be developed to support the implementation of the new operating model.</p> <p>The People Strategy will be developed to support a refreshed leadership and culture framework, linked to the Council's new operating model.</p> <p>Officers and managers must embrace the responsibilities placed on them so as to ensure that the objective of adherence to internal controls is achieved, and the introduction of Accountability Statements will assist in ensuring that there is improved visibility of the expectations of managers.</p> |