

Action plan update – Significant Governance Issues reported in the 2016/17 Annual Governance Statement

Key Improvement Area (as per 2016/17 AGS)	Actions for Implementation (as per 2016/17 AGS)	Responsibility and Implementation Date (as per 2016/17 AGS)	Progress Update – as at 15 Jan 18	RAGB Rating - Outcome	RAGB Rating - Arrangements
<p>Improvement Notice issued by the Secretary of State for Education (30th September 2016) Ofsted’s <i>“Inspection of services for children in need of help and protection, children looked after and care leavers and Review of the effectiveness of the Local Safeguarding Children Board”</i>, in July 2016 found significant weaknesses in each area reviewed.</p>	<p>In response to the Ofsted findings an Improvement Plan has been established and delivery of the same is underway with oversight provided by the Improvement Board which is independently chaired.</p> <p>The board convenes monthly to consider its progress against the Ofsted recommendations and monitor the impact of the delivery of the improvement plan.</p> <p>Additional oversight for the improvement plan is provided by the Council’s Children and Families Committee.</p> <p>The Leader of the Council has also committed to the setting up of a Leader’s Task Force to ensure oversight of the improvement plan.</p>	<p>Director of Children’s Services</p> <p>March 2018</p>	<p>The refreshed improvement plan (approved by the improvement board in July 2017) has been in place since September 2017. Progress is reported monthly to the improvement board.</p> <p>Ofsted monitoring visits continue. The third Ofsted monitoring visit took place on the 30 and 31st of August. During this visit, inspectors focused on the progress made in improving support to care leavers. Additionally, inspectors reviewed the effectiveness of independent reviewing officers (IROs) and the quality and impact of auditing processes.</p> <p>The fourth monitoring visit took place on 11th and 12th December with a focus on children looked after.</p> <p>A new Director for Children Services, Paul Boyce, was appointed with effect from 4th December 2017.</p>	<p>Amber</p>	<p>Amber</p>

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<p>ICT Business Continuity Planning</p> <p>A greater focus is needed by business plan owners and relevant Directors to ensure business continuity plans are kept up to date and subject to supportive challenge and review by advisers in the business continuity and IT teams.</p>	<p>ICT are supporting the Business Continuity team to ensure effective Business Continuity Plans are being put in place, should a disruptive incident occur. ICT have recognised a marked improvement in the ownership of the IT element of the Council's business continuity plans over the last quarter.</p> <p>Six monthly and annual reviews are planned for all business critical plans.</p>	<p>Head of Community Safety and Transport Services / Acting Head of Digital</p> <p>September 2017 March 2018</p>	<p>The Head of Community Safety and Transport Services has previously received Business Continuity Plans (BCPs) for all 26 identified critical services.</p> <p>BCP owners are responsible for contacting the Business Continuity and Environment Officer (BCEO) to arrange for a desk-top review and walkthrough by the BCEO and IT lead. ICT continue to support the BCEO with the walkthrough testing of BC plans.</p> <p>BCPs should be reviewed and updated every 6 months (or sooner whenever there is a significant change) and subject to walkthrough review every 12 months.</p> <p>Walkthrough exercises have now been conducted for all plans, with the exception of SEN & Adult Transport where the walk-through is scheduled for 22nd January 2018.</p> <p>There are two plans that have not been reviewed in the past six months:</p> <ul style="list-style-type: none"> - SEN & Adult Transport – due Oct 16 (planned for review with scheduled 22 Jan 18 walkthrough) - CYPD Social Care, Specialist Services – due October 2015. 	Red	Red

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<p>ICT Resilience Planning</p> <p>A Scrutiny review in November 2016 identified that the Council's IT disaster recovery arrangements required further work and that the Council does not have a current, fit for purpose IT disaster recovery plan.</p>	<p>A working group is in place to monitor progress with the key project to relocate the Treasury Building Datacentre. It is planned that a comprehensive disaster recovery plan will be prepared following the successful completion of this project, scheduled to be completed by September 2017.</p> <p>The project remains on course for completion within the proposed timeline.</p> <p>The Council has successfully negotiated with Merseytravel to host the data centre and the network connection through the Mersey tunnel is in place. The tendering to relocate the data centre was won by SCC. The process to plan and then move the data centre to Merseytravel will shortly be underway.</p>	<p>Acting Head of Digital</p> <p>September 2017</p>	<p>As of the end of December the corporate risk of having 2 datacentres in the same building has been addressed with services either running from Georges Dock (DC3) or the Treasury Building (DC1). Due to a technical issue with the new network, a small percentage of production services are still running from DC1 (but could run from DC3 in the case of a disaster). The issue should be resolved by the end of January resulting in all production services running from Georges Dock (DC3) with the development of disaster recovery capabilities in Treasury Building (DC1) on schedule to be completed by end of February.</p>	<p>Amber</p>	<p>Amber</p>
<p>Compliance Absence Management :</p>	<p>An action plan has recently been agreed and is being delivered in response to the</p>	<p>Assistant Director: Human</p>	<p>A revised and updated action plan has been developed and was presented to SLT on 12 September 2017.</p>	<p>Amber</p>	<p>Amber</p>

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<p>Ensuring compliance with the Council's sickness absence policy remains a Significant Governance Issue for the 2016-17 AGS.</p>	<p>(internal) audit review. The action plan includes a focus on support and training for managers including targeting of identified groups. Additional work is being put in place to strengthen the organisational approach and ensure that all managers recognise their accountability and accept and discharge their responsibilities to comply with all aspects of the Council policy.</p> <p>HR are realigning resources to provide further dedicated support and monitoring of management actions in relation to absence.</p>	<p>Resources and Organisational Development (AD HR&OD). March 2018</p>	<p>This is centred around 5 key themes:</p> <ul style="list-style-type: none"> - Leadership and Commitment - Training and Support - Performance and Compliance - Targeted Action - Health and Wellbeing <p>The attendance plan agreed by SLT is being implemented. A new suite of management information reports have developed to support management of absence. Specific areas have been identified for targeted action by Service managers supported by HR. Further training for managers is being rolled out and this included a workshop for Senior Managers on 9 January 2018.</p> <p>The absence projection for the financial year is currently around 10.66 days against a target of 10.75 days.</p> <p>A workplace wellbeing strategy has been developed alongside the attendance action plan and is being launched on 15 Jan 2018.</p>		
<p>Compliance - Essential Training with</p>	<p>A project plan to adopt a refreshed approach to the delivery of essential training in</p>	<p>Assistant Director: Human</p>	<p>There are two essential training (e-learning) modules to be completed by all employees:</p> <ul style="list-style-type: none"> - Responsibility for Information 2017 	Red	Red

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<p>supporting staff development through the provision of essential training remains a Significant Governance Issue for the 2016-17 AGS.</p>	<p>2017-18 has been developed and is being implemented with a robust communication approach / monitoring to rapidly address noncompliance.</p> <p>In addition to the roll out of essential training for 2017-18 led by the Senior Leadership Team corporate ownership must be displayed by all management and staff to ensure routine compliance with training.</p> <p>There has been a complete refresh of the Ulearning portal, with a regular staff compliance report available to all managers. Essential training will subsequently be linked to appraisal accountability statements, to promote compliance across the organisation. This will in turn hold both staff and their managers accountable for the completion of the training</p>	<p>Resources and Organisational Development (AD HR&OD). March 2018</p>	<p>(by 31 October 2017);</p> <ul style="list-style-type: none"> - Equality and Diversity in the Workplace (by 31 March 2018). <p>62% of employees had completed the Responsibility for Information training module by the deadline of 31 October 2017. This figure has risen to 80% by 8 January 2017. Some adjustments have been made to tailor the training for some groups within the workforce.</p> <p>SLT and DMTs have / will be provided with details of non-completed training with follow-up action required.</p> <p>Specific training workshops targeted at line managers are due to be delivered by June 2018:</p> <ul style="list-style-type: none"> - Stress management (due October – December 2017) - Performance management (January – June 2018) <p>HR Business Partners are meeting with relevant Senior Managers to discuss outstanding requirements for training in each area and agree follow up action. This will also be monitored by SLT. The Director</p>		

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	program.		of Corporate Resources and Reform took the matter to SLT on 13/12/17 for further action.		
Compliance - Contract Procedure Rules (CPR's) Compliance with the Councils CPR's remains a Significant Governance Issue for the purposes of the 2016-17 AGS.	Development work is underway in 2017-18 to address this issue; a number of actions are being implemented. These include a new procurement model structure to be in place by September 2017. Additional training will be provided to officers and a targeted approach based on insight of areas of noncompliance put in place.	Head of Procurement March 2018	<p>In November 2015 Members approved the existing CPR's. The CPR's went live on the 1 April 2016. A full review of the CPR's has been undertaken as this is required every two years. Recommendations for amendments will be presented for Member approval at the January 2018 ARMC. If approved they will be operational from the 1 April 2018. The recommendations will further enhance and support compliance.</p> <p>The Use of Procurement Rules Approval Documents (PRAD) from 1 April 2017 to the 30TH September 2017 has been reported to the November 2017 ARMC. At Members request all future report details will be reported showing highest value first.</p> <p>The new Corporate Procurement Structure has been finalised and is expected to be operational, allowing for the recruitment process, from the middle of January 2018.</p>	Green	Green

Other Governance Issues

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Performance Appraisals	(Not reported as a Significant Governance Issue in the 2016/17 AGS. Reported here for information).	Assistant Director: Human Resources and Organisational Development (AD HR&OD).	90% of performance appraisals due by 31 October were completed by the deadline. 96% have been completed by 8 January 2018. 59% of all CYPD staff have completed appraisals by 8 Jan 218 (deadline 31 March 2018). HR Business Partners have met relevant Senior Managers to discuss outstanding performance appraisals and training in each area and agreed follow up action where appropriate. This will also be monitored by SLT.	Amber	Amber