

Annual Governance Statement: Progress on 2016/17 Actions

Issue	Issue/Actions being taken	Responsible officer(s)	Half Year Update – November 2017
<p>1. Partnership Arrangements (Brought forward from 2014-15)</p>	<p>Implementing robust governance arrangements relating to the management and delivery of the new five-year contract with the Council's technical services partner in 2016/17.</p>	<p>Deputy Chief Executive</p>	<p>Now in the second year of the new partnership, which started on 1 July 2016, and we are ensuring completion of all the agreed contract management arrangements to enable a review of the governance processes to ensure they are fit for purpose. Arrangements in the first year generally worked well although some late submissions have been followed up to ensure full completion.</p> <p>The Operational Board and Strategic Partnership Board are meeting monthly plus the full Partnership Board with elected Members meets regularly and governance issue are discussed with agreed actions monitored.</p>
<p>2. Adult Services Financial Position (Brought forward from 2014-15)</p>	<p>The implementation of provisions within the Care Act 2014 has placed greater demands for services (which have been recognised nationally) together with the growing complexity of service user needs and delays in the delivery of efficiency programmes has resulted in a budget overspend of over £2m. The challenge of managing the budget within these pressures, whilst developing effective partnerships with the NHS will continue in 2017/18.</p>	<p>Director of Adult Services</p>	<p>A balanced budget is forecast in this area however the department continues to experience an increase in demand due to demographic pressures and constraints in funding.</p> <p>Additional improved Better Care Fund (iBCF) monies have supported a balance budget position in 2017-18.</p> <p>Fortnightly strategic budget meetings are in place. A dashboard is being developed as an early warning system to pull together trends, activity, budget,</p>

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			<p>cost and impact.</p> <p>Commissioning spend is scrutinised via the Mosaic approval process and demand management strategies are being applied. A programme of efficiency targets remains in place.</p>
<p>3. Children's Services Financial Position</p>	<p>Maintain awareness and effective management at all levels within the service to monitor and manage demand and budget pressures relating to intervention, prevention and permanence planning to ensure that services and resources are not diverted from elsewhere within the Council.</p>	<p>Director of Children's Services</p>	<p>Based on activity data at the end of period 6 the portfolio is forecasting an overspend at year end in the region of £1.4M. This is predominantly due to demand pressures within the commissioned placements budget. Any further rise in demand in the second half of the year will only add to this budget pressure. The portfolio is considering all courses of action to potentially mitigate this budget pressure. Any ongoing budget pressures will be considered as part of the 2018/19 budget setting process.</p> <p>The department continues to expand on Early Help prevention and intervention approaches to address rising demand.</p> <p>The Family Group Conference (FGC) team has expanded following a successful pilot in 2016/17. The aim of FGC work is to engage the wider family of those children open to children's social care in designing viable solutions that address the underlying issues</p>

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			<p>within their immediate family that have led to social care involvement (which are commonly focused around the actions and behaviour of their parents).</p> <p>The department continues to increase the number of families receiving help through the CAF process and Early Help offer to reduce number of child in need cases open to social care. In the 12 months up to the end of September 2017 there have been 825 open and active CAFs. In the last 12 months 434 cases have stepped down from children’s social care to being open as a CAF and of these children and young people, 373 remain closed to children’s social care (86%). There is a re-referral rate to Children’s Social Care of just 14% (61 children and young people).</p>
<p>4. Information Governance</p>	<p>Review and strengthen Information Governance policies, systems and processes to ensure compliance with the requirements of the General Data Protection Regulations.</p>	<p>Director of Finance & IT</p>	<p>Significant work has been undertaken to date to ensure the council is prepared for the introduction of GDPR in May 2018 some of which is highlighted below:</p> <ul style="list-style-type: none"> • Processes and policies are being re-drafted to ensure they are GDPR compliant. This is being undertaken with our AGMA colleagues to deliver a full suite of GDPR compliant policies prior to May 2018. • Joint Management Board presentation defining the role of the Information Asset

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			<p>Owner (IAO) and an overview of GDPR to Senior Officers took place on 18 October. This successfully highlighted the requirement for IAOs to take responsibility for data assets in their area.</p> <ul style="list-style-type: none"> • The Data Protection Officer Role (DPO) will be formalised and defined (example Job Descriptions have been prepared and are under consideration) • Schools GDPR presentations have been prepared and the visits are underway. The combined effect of GDPR, and the work required from recent Freedom of Information requests, has seen an increase in the number of Schools entering into an SLA. • Schools Information Governance services will include the appointment of a LA nominated DPO to assist with their compliance of GDPR in the SLA for 2018/19. An increase of £100 per SLA has been agreed. • Member’s bitesize training on GDPR delivered. Uptake was good, although it is noted that no additional Members have completed their Information Governance training. • New Information Governance training content will be rolled out in March 2018. This will include GDPR modules and we will encourage take up via pop ups on every users computer screen and a

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			<p>communication campaign throughout April.</p> <ul style="list-style-type: none"> • The Information Commissioner has announced that the replacement for notification will be a 3 tier system. Charges for each tier have not yet been announced but Tier1 is rumoured to be set at £1000 (Up from £500), with £55 charge for Cllrs (Up from £35). • The Information Asset Register has now been updated to incorporate known Information Assets at the Council, their ownership and the legal gateways for processing. This will form the basis of the mandatory ROPA under GDPR which will demonstrate the Council's compliance with the Accountability requirement. The next phase in the project will be to introduce a data privacy audit to all significant personal data processing assets, in order to obtain an understanding of the processing risks to the Council. An Request For Service will be submitted to the IT Team to integrate these registers into a workable SharePoint site for the entire set of Council Asset administrators to manage and update their Registers as and when. • Elected member Guidance in relation to changes envisaged under GDPR has been drafted and issued to Head of Service and Cllr Kay for review. • Corporate Data Protection risk register

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			<p>has been updated to include the potential for non-compliance with GDPR as of 25th May 2018. As the project progresses and the Gap analysis is updated, we will update the risk register to reflect any changes required.</p> <ul style="list-style-type: none"> • Meeting held to discuss GDPR Gap analysis with audit. The Gap Analysis has been updated to reflect progress on the position from March to October. It is the intention of the audit team to track progress and to suggest specific areas of compliance that can be reviewed in Q4.