

## Lincolnshire County Council - Annual Governance Statement 31<sup>st</sup> March 2013

The following areas have been identified where further work is required to improve systems or monitor how the key risks facing the Council are being managed.

Governance Issue	Lead Officer(s)	Key Delivery Milestones	Implementation Date
<b>Maintaining Good Governance</b>			
<ul style="list-style-type: none"> <li>Balancing good governance, risk and flexibility</li> <li>Informed decision making</li> <li>Working relationships / managing the political interface</li> </ul>	David O'Connor	To Follow	
<b>Workforce and Management Capacity</b>			
<ul style="list-style-type: none"> <li>Workforce development &amp; resilience</li> <li>Critical thinking / commercial acumen</li> </ul>	David O'Connor	To Follow	
<b>Public Health</b>			
New public health functions became the responsibility of the Council from April 2013.	Tony Hill	Implement extended induction programmes for all incoming staff.	August 2013 completion
Services, staff and contracts transferred from local and national NHS bodies. The transition plan has been successfully	PHDMT	Agree 'Unwritten Ground Rules' Frameworks for the integrated team.	June 2013
	Tony McGinty	Transition project close down, including staff	July 2013

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<p>delivered but the Council must integrate these new functions at both a strategic and delivery level. The change will inevitably mean cultural change for staff and service redesign.</p>	Isabel Perez	<p>engagement representatives.</p> <p>Develop integrated continuing professional development programme.</p>	June 2013
	Teresa Roche Tony McGinty	Induction programmes for new members and scrutiny committees.	June and July 2013
	Tony McGinty	Agree programme of Public Health Service Reviews with Executive and Corporate Management Board.	July 2013
	Tony McGinty	Review clusters of service users with full involvement of internal stakeholders.	July 2013
	Tony Hill	Present recommendations for service change and integration to Corporate Management Board and Executive.	September 2013 onwards
<b>Adult Care</b>			
<p><b>Change of pace and scale</b> The scale and pace of change in Adult Care is pronounced and unlikely to change in the medium term. Notwithstanding the transformation required our primary purpose is to work with the most vulnerable adults in our communities, to help them achieve more, stay at home and keep them safe from abuse. We understand the value</p>	Glen Garrod/Senior Management Team	<p>Adult Care continues to face a substantial change programme grouped here into 3 headings. Each has relevance to the 5 priorities identified.</p> <ol style="list-style-type: none"> <li>1. A Transformation Programme for all major projects. This programme is developing a new blueprint for the department.</li> <li>2. Integration with Health – reflecting the national</li> </ol>	<p>October 2013</p> <p>October 2013</p>

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<p>of working together with the people who need our advice and support, their families, their wider community, statutory partners and organisations providing support. The resources we have including our people and money will be directed to achieving this.</p> <p>Our 5 priorities for 2013/14 are:</p> <ol style="list-style-type: none"> <li>1. <b>A balanced budget out-turn</b></li> <li>2. <b>Improved performance</b></li> <li>3. <b>Integration with Health</b></li> <li>4. <b>Established plans for the delivery of key elements of Adult Care transformation</b></li> <li>5. <b>A set of quality indicators</b></li> </ol> <p>We have also strengthened our programme management arrangements to help ensure all developments and changes are successfully managed.</p>		<p>policy context for Adult Care with NHS partners in Lincolnshire.</p> <ol style="list-style-type: none"> <li>3. <b>Adult Care performance and quality improvement.</b></li> </ol>	<p>March 2014 (mid-year review September 2013)</p>
<b>Adult Care</b>			
<p><b>Safeguarding Vulnerable Adults</b> Safeguarding Adults is placed on a similar statutory footing to that which exists for Children. The work to safeguard</p>	<p>Glen Garrod/ Elaine Baylis (Independent Chairperson)</p>	<p>Several developments are taking place to enhance the safeguarding work for adults (examples are):</p> <ol style="list-style-type: none"> <li>1. A dedicated training plan for improving practice</li> </ol>	<p>September 2013</p>

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<p>vulnerable adults is evolving quickly and is expected to be given more policy direction once the Care and Support Bill becomes enacted (currently before Parliament).</p> <p>The pre-existing Safeguarding Adult Board is chaired by an independent person and has commenced a programme to strengthen its assurance and governance framework.</p>		<p>across all agencies is being organised for 2013/14 and 2014/15.</p> <p>2. Improved assurance and governance framework.</p>	To be agreed
<b>Children Services</b>			
<p><b>Safeguarding Children</b></p> <ul style="list-style-type: none"> <li>• Keeping children safe and protected.</li> <li>• Responding to the family Justice reforms and meeting new timescales regarding adoption.</li> <li>• Transforming early intervention services to prevent raising demand in specialist services.</li> </ul>	Debbie Barnes	<p>Adopt Signs of Safety as risk identification and management tool.</p> <p>Establish a MASH ( Multi agency information sharing hub).</p> <p>Programme to recruit, assess and support potential adopters and foster carers.</p> <p>Integrated working with Health through "Making it happen for every family" project.</p>	<p>Dec 13</p> <p>Business case July 13</p> <p>Dec 13</p> <p>Phase 1 to be implemented Sept 13 / Phase 2 dec 13</p>
<p><b>Education and Skills</b></p> <ul style="list-style-type: none"> <li>• Responding to school funding reforms</li> </ul>	Debbie Barnes	Support Primary Collaborations project to	Project ongoing – full

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<p>whilst supporting small schools to be sustainable.</p> <ul style="list-style-type: none"> <li>• Responding to the new legislative framework which will govern support for children with additional needs.</li> <li>• Transforming school support services due to academy changes.</li> <li>• Sufficiency of places.</li> <li>• Driving school improvement for academies.</li> </ul>		<p>encourage schools to work together.</p> <p>Project Board established and project plan completed to enable services to respond to "Support and Aspiration.</p> <p>Education Support Services transformed to enable a commercial offering for schools.</p> <p>Capital programme to meet sufficiency of school places.</p> <p>Replacement guidance for schools causing concern which is applicable to Academies to be developed and agreed with schools.</p>	<p>evaluation to be completed Sept 13</p> <p>Compliance with new guidance March 14</p> <p>March 14 services to be self sustaining</p> <p>Review Dec 13</p> <p>Sept 13</p>
<b>Maintaining Financial Resilience</b>			
<p>Overall services showed an under-spending which will allow some carry forward flexibility into the current year, together with an increase in reserves to meet pressures in 2014/15.</p> <p>Against the current core offer savings target of £146m by March 2015, £102m has already be achieved and a further £20m is already being actioned and classified predominantly as lower risk.</p>	Pete Moore	<p>The financial outturn for 2012/13 will be considered by the Council's Executive and the VFM scrutiny committee during July.</p> <p>The Council's medium term financial strategy will be updated following that announcement and this will feed into future budget processes.</p> <p>It is expected that a further 3 or 4 year</p>	<p>Outturn considered by Executive and Scrutiny in July 2013.</p> <p>Update of medium term financial model following Comprehensive Spending Review</p>

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<p>A further £24m is classified as higher risk either because action has only just started or plans or still in formulation. The key higher risk areas are around:</p> <ul style="list-style-type: none"> <li>waste management (the energy from waste plant has still to come on-stream to reduce waste to landfill and reduction in associated taxes)</li> <li>adult social care where work on reablement, joint commissioning, learning disabilities and the social care blueprint have still to be actioned to reduce costs in 2014/15.</li> </ul> <p>These programmes of work will need careful management and monitoring.</p> <p>A one year Comprehensive Spending Review for 2015/16 is expected to be announced on 26 June 2013 and it has been widely trailed that local government will face grant reductions of between 8% and 10%.</p>		<p>Comprehensive Spending Review will follow the next general election and that the reductions in local government funding will continue possibly until 2020. The Council will be planning for this scenario and the work on a 'Commissioning Council' will assist in it in determining desired outcomes and priorities within the likely financial resources available.</p> <p>Consideration of council priorities and budgets as part of the annual budget processes for March 2014 and March 2015.</p> <p>Monitoring and management of remaining core offer savings through to March 2014.</p>	<p>announcement on 26 June 2013.</p>
<b>Procurement and Contract Management</b>			
<p>The Council recognises that it needs to manage its procurement and contracts better if we are to deliver effective services for the future within significant funding</p>	<p>Pete Moore / David O'Connor</p>	<p>Significant work has been done to strengthen contract compliance in Adult Social Care. Contract officers have worked with the Quality and Safeguarding teams to develop more robust</p>	<p>Some actions already complete and others will be ongoing over the next 12 months.</p>

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<p>constraints.</p> <p>Work is underway to strengthen our management oversight and rigour over our commercial relationships.</p> <p>Our commissioning strategy aims to influence and support sustainability and resilience of our providers – suppliers, partnerships and voluntary sector.</p>		<p>contract management protocol which sets out roles and responsibilities for staff in Adult Social Care. Adult Social Care contract officers are going through a comprehensive training programme and this should be complete by the end of June 2013.</p> <p>To support the contract compliance for all Council contracts a contract management toolkit is being piloted in two areas and if successful will be rolled out to all areas of the Council over the next 12 months.</p> <p>A new Contract Assurance Board will meet for the first time on the 26 June 2013. The role of the Board is to provide assurance that proposed contracts are consistent with the direction, aims and priorities of the Council and are properly resourced and managed. Contracts with a total value of over £500k or over a 2 year duration will be initially reviewed.</p> <p>All contracts above a value of £25k are recorded on a single electronic platform, Firefly. The only exception to this is that home to school transport contracts are managed via a separate system (SEATS).</p> <p>Training has been undertaken by staff in the</p>	<p>Periodic updates on progress and feedback on effectiveness will be brought to the Audit Committee.</p>

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		operation of the procurement and contract systems to ensure they are used effectively.	
<b>Becoming a Commissioning Organisation</b>			
<p>The Council has expressed an intention to 'become a commissioning council'.</p> <p>As a Commissioning Council we will achieve desired balance of <b>quality, cost and risk</b> by:</p> <ul style="list-style-type: none"> <li>• Consistently making decisions based on evidence of needs and political priorities.</li> <li>• Working with partners to get the best results.</li> <li>• Focusing on outcomes for people and places.</li> <li>• Using the best means of delivering those outcomes, whether that is inside or outside the Council.</li> <li>• Holding all service providers to account with appropriate rigour.</li> </ul> <p>This will help us maximise the benefits from available resources through joint commissioning with partners in a context of reduced resources.</p>	<p>Pete Moore / David O'Connor</p>	<p>The 'Commissioning Council' approach will be progressed during the latter half of 2013 and the first half of 2014.</p> <p>This will enable the Council to focus more readily on its key outcomes and priorities for the future and to ensure that the Council has the key skills to commission and procure it's services as effectively as possible, whether that be internally or externally via the private sector, voluntary sector or jointly with key partners such as Health.</p> <p>This will be linked to the update of the Council's financial model following the expected Comprehensive Spending Review announcement on 26 June 2013.</p>	<p>Linked to business plan and budget process for 2014/15 i.e. March 2014, although some commissioning policies may follow to fit into joint commissioning with other organisations and contract renewal dates.</p>



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<b>Maintaining ICT Resilience</b>			
<ul style="list-style-type: none"> <li>• A number of Internal Audit Reviews gave limited assurance – actions remain outstanding:               <ul style="list-style-type: none"> <li>○ Software licencing</li> <li>○ Data Management</li> <li>○ IT Disaster Recovery</li> </ul> </li> </ul> <p>IT Disaster Recovery continues to be raised as an area of concern by the Audit Committee – on their agenda on and off for the last 5 years. Committee still uncertain over assurance that can be provided and the balance of risk / resilience / recovery. Audit Committee has requested more in depth insight on the current position for their 22 July 2013 meeting.</p> <p>This is why I have added this for you to consider.</p>	David O'Connor	To Follow	