

Annual Governance Statement for Lincolnshire County Council 2013 – Status Update January 2014

1 Governance Issues

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	Current Status on delivery of Key Milestones
Maintaining Good Governance			
<p>The May 2013 county council election has returned a council with very different makeup to recent years with just over half new to the county council (many with no experience as a councillor) and a change of more than half in the membership of the Executive. This could bring positives in terms of new insights but also has the potential for negatives as those councillors may not fully understand the council's governance arrangements.</p> <p>The changed political landscape will require more support from senior managers in terms of briefings etc.</p>	David O'Connor	<p>Extensive induction programme for new councillors after the election with good feedback but will need to continue. Most committees have additional training identified. Status @ Sept 2013 Audit Committee <i>Completed</i></p> <p>New Executive and Management Board have spent several informal sessions together reviewing and confirming current direction. Status @ Sept 2013 Audit Committee <i>In progress as needed</i></p> <p>Combined impact of the reducing government grant is being addressed by our budget and focus on commissioning which will result in confirmed or altered council priorities. Status @ Sept 2013 Audit Committee <i>Completed - See Commissioning below</i></p>	<ul style="list-style-type: none"> • Briefing paper presented to Management Board 4th December 2013 – agreed formal review of local standards regime and member / officer development. • Local code of governance updated and presented to Management Board 4th December 2014 – consultation to commence in February 2014 <p>Note – New monitoring officer arrangements to be determined in light of Senior Management Review wef April 2014.</p>

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Many senior managers are relatively new in post following the Managing Workforce Change programme.		Senior Leadership Programme as part of Workforce and Management Capacity (below) with initial very positive feedback Status @ Sept 2013 Audit Committee <i>See below</i>	
Workforce and Management Capacity			
Rapidly changing environment will require a more agile workforce. Reduced workforce means we must focus on value adding activity.	David O'Connor	New People Strategy designed and approved last year with detailed implementation plan is a council priority programme Status @ Sept 2013 Audit Committee <i>Strategy 2012-2015 (currently on track)</i> Many Human Resources processes have been reviewed. Future Delivery of Support Services programme will deliver new Enterprise Resource Planning (ERP) tools that will make financial and people management processes more efficient. Status @ Sept 2013 Audit Committee <i>Tied in with Future Delivery of Support Services. Current ERP replacement estimated to take place 04/14 to 03/15</i>	To follow
Public Health			
New public health functions became the responsibility of the Council from April 2013.	Tony Hill	Implement extended induction programmes for all incoming staff. Status @ Sept 2013 Audit Committee <i>Implementation date - June 2013</i>	Fully implemented and on-going continuing professional development programme established.

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<p>Services, staff and contracts transferred from local and national NHS bodies. The transition plan has been successfully 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>	PHDMT	<p>Agree 'Unwritten Ground Rules' Frameworks for the integrated team. Status @ Sept 2013 Audit Committee Implementation date - July 2013</p>	<p>Directorate UGR priorities agreed and integrated with other organisational development work like the Public Health Charter.</p>
	Tony McGinty	<p>Transition project close down, including staff engagement representatives. Status @ Sept 2013 Audit Committee Implementation date - June 2013</p>	<p>Project closed down, standard JCC arrangements in place across the integrated team.</p>
	Isabel Perez	<p>Develop integrated continuing professional development programme. Status @ Sept 2013 Audit Committee Implementation date - June and July 2013</p>	<p>Achieved. We have now an integrated continuing professional programme for the directorate which runs bimonthly and is based on identified staff development needs.</p>
	Teresa Roche Tony McGinty	<p>Induction programmes for new members and scrutiny committees. Status @ Sept 2013 Audit Committee Implementation date - July 2013</p>	<p>Building on previous members training and awareness sessions an induction session was held on 31st July for new members and scrutiny committees. 13 Elected Members attended.</p>
	Tony McGinty	<p>Agree programme of Public Health Service Reviews with Executive and Corporate Management Board. Status @ Sept 2013 Audit Committee Implementation date – July 2013</p>	<p>Programme agreed and on track for delivery</p>
	Tony McGinty	<p>Review clusters of service users with full involvement of internal stakeholders. Status @ Sept 2013 Audit Committee</p>	<p>First 2 cohorts of internal stakeholder review</p>

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	Tony Hill	<p><i>Implementation date - July 2013</i></p> <p>Present recommendations for service change and integration to Corporate Management Board and Executive.</p> <p>Status @ Sept 2013 Audit Committee <i>Implementation date - September 2013 onwards</i></p>	<p>complete and findings implemented. Second 2 cohorts underway.</p> <p>First cohort presented and agreed, subsequent cohorts programmed onto forward plan for completion by 1 April 2014.</p>
Adult Care			
<p>Change of pace and scale</p> <p>The scale and pace of change in Adult Care is pronounced and unlikely to change in the medium term.</p> <p>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 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>	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"> 1. A Transformation Programme for all major projects. This programme is developing a new blueprint for the department. <p>Status @ Sept 2013 Audit Committee <i>Implementation date - October 2013</i></p> <ol style="list-style-type: none"> 2. Integration with Health – reflecting the national policy context for Adult Care with NHS partners in Lincolnshire. <p>Status @ Sept 2013 Audit Committee <i>Implementation date - October 2013</i></p> <ol style="list-style-type: none"> 3. Adult Care performance and quality improvement. <p>Status @ Sept 2013 Audit Committee</p>	<p>A Transformation Board has been created with dedicated programme support within Adult Care. The Lincolnshire Sustainable Services Review (LSSR) subsumes a number of key features of Adult Care transformation and this has dedicated corporate and NHS support.</p> <p>Three corporate programmes, namely FDSS, CMPP and the developing Wellbeing Strategy are also progressing Adult Care transformation. All of these programmes have their own governance and support arrangements.</p> <p>The new Wellbeing Strategy is led by Public Health colleagues and is due to be implemented from April 2014.</p> <p>The five priorities for Adult Care are being monitored. Current predictions suggest that</p>

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<p>1. A balanced budget out-turn 2. Improved performance 3. Integration with Health 4. Established plans for the delivery of key elements of Adult Care transformation 5. A set of quality indicators</p> <p>We have also strengthened our programme management arrangements to help ensure all developments and changes are successfully managed.</p>		<p><i>Implementation date - March 2014 (mid-year review September 2013)</i></p>	<p>Adult Care will have a balanced budget outturn for 13/14. Performance overall has continued to improve. The LSSR programme for integration with Health is progressing and the transfer of the in-house LARS service to LPFT should be completed by April 2014.</p> <p>A set of quality indicators supported with a dedicated web page and quality assurance unit is now in place. Adult Care services in Lincolnshire have the highest CQC compliance rating against national standards in the region. A Peer Review of Adult Care was undertaken November 2013 and quality was considered a strength.</p>
Adult Care			
<p>Safeguarding Vulnerable Adults Safeguarding Adults is being placed on a similar statutory footing to that which exists for Children. The work to safeguard 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</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> <p>1. A dedicated training plan for improving practice across all agencies is being organised for 2013/14 and 2014/15. Status @ Sept 2013 Audit Committee <i>Implementation date - September 2013</i></p> <p>2. Improved assurance and governance framework. Status @ Sept 2013 Audit Committee <i>Implementation date - To be agreed</i></p>	<p>The Peer Review mentioned above was asked to concentrate on safeguarding vulnerable adults. From this Peer Review a number of action points were identified along with improved performance monitoring. Additional senior officer resource has been allocated to support further progress and ensure a high level of preparedness for Adult Safeguarding having a statutory base Summer 2014.</p> <p>The Safeguarding Adults Board has agreed a number of sub groups and additional resources to secure progress with regards assurance, governance and multi-agency training.</p>

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assurance and governance framework.			
Children Services			
Safeguarding Children <ul style="list-style-type: none"> • Keeping children safe and protected. • Responding to the family Justice reforms and meeting new timescales regarding adoption. Transforming early intervention services to prevent raising demand in specialist services. 	Debbie Barnes	<p>Adopt Signs of Safety as risk identification and management tool. Status @ Sept 2013 Audit Committee <i>Implementation date - Dec 13</i> Establish a MASH (Multi agency information sharing hub). Status @ Sept 2013 Audit Committee <i>Implementation date - Business case Dec 13</i></p> <p>Programme to recruit, assess and support potential adopters and foster carers. Status @ Sept 2013 Audit Committee <i>Implementation date - Dec 13</i></p> <p>Integrated working with Health through "Making it happen for every family" project. Status @ Sept 2013 Audit Committee <i>Implementation date - Phase 1 to be implemented Sept 13 / Phase 2 Dec 13</i></p> <p>Families Working Together Programme to turn around the lives of families in crisis Status @ Sept 2013 Audit Committee <i>Implementation date - Phase 1 July 13 with expansion in line with Government guidance Dec 14</i></p>	<p>Signs of Safety is in the process of being implemented across the service – the priority areas of focus are front line social care teams but we expect to have fully implemented Signs of Safety across the whole services in the next 12 months - We intend to extend this risk assessment methodology to our partners and have agreement in principle – A project plan for multi agency roll out will be developed in the next three months</p> <p>Two workshops have been held to explore the most appropriate model for implementation of a Multi Agency Safeguarding Hub (MASH) in Lincolnshire – An options appraisal paper will go to March 14 Public Protection Board for a decision on the preferred implementation model – All agencies are keen to fully explore the best model for Lincolnshire and learn lessons from other Authorities to ensure we don't weakness safeguarding children arrangements during transition</p> <p>Phase 1 has been implemented – phase 2 will now form a part of the Sustainable Services Review</p>

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		<p>Pilot Authority for Public Law Proceedings to assist with family Justice Reforms Status @ Sept 2013 Audit Committee <i>Implementation date - Start Date Sept 13</i></p>	<p>1. Families Working Together project is on track We are just over half way through the programme. FWT have:</p> <ul style="list-style-type: none"> i. Identified 1166 (85%) of the 1370 troubled families Lincolnshire needs to work with. This is slightly ahead of our own internal targets (1110). ii. Identified 818 (60%) of those families as being 'worked with' by either FWT or a partner organisation in the county. This is well ahead of our internal target of 680 families by this stage. iii. Claimed results payments for a total of 112 (8%) 'turned around' families in January and July 2013. This is ahead of our target of 80 families by this stage. <p>Project on track -recent visit from Sir James Mumby (President of the Family Division of the High Court of England and Wales) in recognition of Lincolnshire's work in this area</p>

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<p>Education and Skills</p> <ul style="list-style-type: none"> • Responding to school funding reforms whilst supporting small schools to be sustainable. • Responding to the new legislative framework which will govern support for children with additional needs. • Transforming school support services due to academy changes. Sufficiency of places. Driving school improvement for academies. 	<p>Debbie Barnes</p>	<p>Support Primary Collaborations project to encourage schools to work together. Status @ Sept 2013 Audit Committee <i>Implementation date - Project ongoing – full evaluation to be completed Sept 13</i></p> <p>Project Board established and project plan completed to enable services to respond to "Support and Aspiration". Status @ Sept 2013 Audit Committee <i>Implementation date - Compliance with new guidance March 14</i></p> <p>Education Support Services transformed to enable a commercial offering for schools. Status @ Sept 2013 Audit Committee <i>Implementation date - March 14 services to be self- sustaining</i></p> <p>Capital programme to meet sufficiency of school places. Status @ Sept 2013 Audit Committee <i>Implementation date - Review Dec 13</i></p> <p>Replacement guidance for schools causing concern which is applicable to Academies to be developed and agreed with schools. Status @ Sept 2013 Audit Committee <i>Implementation date - Sept 13</i></p>	<p>Primary collaborations project on track – evaluation currently being undertaken</p> <p>Support and Aspiration project Board established with three work streams to reflect required changes – Project Plan in place – DfE appointed supporter appraised of progress and additional of up to 2 one-to-one, full day sessions from a SEN professional adviser from DfE is available - We intend to use some of this time for an external evaluation and validation,</p> <p>Commercial offering available to schools</p> <p>Capital programme on track and Council recently notified of further grant to enable use to meet sufficiency duty</p> <p>Guidance agreed with academies and is in place</p>

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Maintaining Financial Resilience			
<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 been achieved and a further £20m is already being actioned and classified predominantly as lower risk.</p> <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"> • waste management (the energy from waste plant has still to come on-stream to reduce waste to landfill and reduction in associated taxes) • adult social care where work on reablement, joint commissioning, learning disabilities and the social 	<p>Pete Moore</p>	<p>The financial outturn for 2012/13 was considered by the Council's Executive and the VFM Scrutiny Committee during July. Carry forward budget proposals will be confirmed at the full Council meeting in September.</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 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 determining the 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. A fundamental budget review will be undertaken over the next 12 months to cover the period from 2015/16 to 2018/19.</p>	<p>Carry forwards from 2012/13 were confirmed at the full Council meeting in September. The revenue budget outturn for the current financial year (2013/14) is expected to show a net underspend, which will allow some flexibility to be carried forward into 2014/15 together with the possibility of replenishing reserves.</p> <p>The medium term financial strategy was updated following the Chancellor's Autumn Statement and the Local Government finance settlement in December. This will be kept under review as further clarification on the size and use of the Better Care Fund is made available. There were no significant surprises in the recent announcements and the continued trajectory of Government funding reductions through to 2020 is still expected.</p> <p>The Executive has now proposed a one year budget for 2014/15 which is in line with the Council's current financial strategy, including the measured use of reserves. The budget proposals also include additional net savings of 1% above the core offer savings already included in the budget. The budget assumes a</p>

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<p>care blueprint have still to be actioned to reduce costs in 2014/15.</p> <p>These programmes of work will need careful management and monitoring.</p> <p>A one year Comprehensive Spending Review for 2015/16 was published on 26 June 2013 and it implies reductions in Government support to local Authorities of close to 15% in 2015/16.</p>		<p>Monitoring and management of remaining core offer savings through to March 2014.</p> <p>Status @ Sept 2013 Audit Committee <i>Outturn considered by Executive and Scrutiny in July 2013.</i> <i>Carry forwards to be confirmed in September 2013.</i></p> <p><i>Update of medium term financial model following Comprehensive Spending Review announcement on 26 June 2013.</i></p>	<p>further council tax freeze in 2014/15. The budget proposals are now subject to scrutiny and consultation prior to finalisation in February.</p> <p>The Fundamental Budget review to set a new medium term financial strategy and budgets (and taking account of funding reductions from 2015/16) is programmed to be undertaken from February to September 2014, when proposals will be subject to consultation and scrutiny.</p>
Procurement and Contract Management			
<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 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>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 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>Resources within Procurement Lincolnshire are currently under review to take account of the resources required to support the 'Commissioning Council' approach over the next couple of years, to support joint commissioning / procurement with Health and support service areas where there are a large number of contracts to review and re-configure (including adult care and public health). Some interim resources are already being recruited to assist with the latter.</p> <p>The Contract Assurance Board is meeting on a regular basis to ensure that service procurements and contracts are re-aligned to take a joined up approach that reflects</p>

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		<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 operation of the procurement and contract systems to ensure they are used effectively.</p> <p>Status @ Sept 2013 Audit Committee <i>Some actions already complete and others will be ongoing over the next 12 months. Periodic updates on progress and feedback on effectiveness will be brought to the Audit Committee.</i></p>	achievement of better outcomes and further efficiencies.
Becoming a Commissioning Organisation			
The Council has expressed an intention to 'become a commissioning council'.	Pete Moore / David O'Connor	The 'Commissioning Council' approach will be progressed during the latter half of 2013 and the first half of 2014.	To follow

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<p>As a Commissioning Council we will achieve desired balance of quality, cost and risk by:</p> <ul style="list-style-type: none"> • Consistently making decisions based on evidence of needs and political priorities. • Working with partners to get the best results. • Focusing on outcomes for people and places. <p>Using the best means of delivering those outcomes, whether that is inside or outside the Council. Holding all service providers to account with appropriate rigour.</p> <p>This will help us maximise the benefits from available resources through joint commissioning with partners in a context of reduced resources.</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 its 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>Status @ Sept 2013 Audit Committee <i>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.</i></p>	
Maintaining ICT Resilience			
<p>Whilst Council systems are more resilient than ever before they are delivered from a single data centre.</p> <p>Where possible new applications are hosted remotely or provided via</p>	David O'Connor	<p>Capital funding provided for new centre but could be overtaken by Future Delivery of Support Services (FDSS) with all current bidders having multiple suitable data centres.</p> <p>Status @ Sept 2013 Audit Committee <i>Implementation date - part of FDSS.</i></p> <p>Continue this approach where effective. Status @ Sept 2013 Audit Committee</p>	To follow

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<p>software as a service.</p> <p>Improved network security as a result of Public Service Network (PSN) introduction.</p>		<p><i>Implementation date - As opportunities arise</i></p> <p>Achieve PSN Code of Connection compliance Status @ Sept 2013 Audit Committee <i>Implementation date - September 2013</i></p>	

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