

Appendix A – significant issues from 13/14 Annual Governance Statement

| Significant Issue and action already taken | Planned action | CMT Lead |
|--|---|--|
| <p>1. Information Governance – protection of personal data, data sharing and quality</p> <ul style="list-style-type: none"> ➤ Information Governance Group in place. ➤ Revised guidance and e learning rolled out. ➤ Action plan produced and monitored. ➤ Meeting the requirements for N3 (to NHS) connection for Social Care. ➤ Corporate Risk monitored. ➤ CoCo Compliance achieved. ➤ Audit work undertaken and recommendations implemented. | <ul style="list-style-type: none"> ➤ Further communications campaign. ➤ Focus on risks around partners and suppliers. ➤ Voluntary assessment by Information Commissioner. ➤ Data Quality checks and Performance Indicators around Information Governance have been implemented and will continued to be reviewed. | <p>Group Director Communities and Resources.</p> |

| Significant Issue and action already taken | Planned action | CMT Lead |
|---|--|---|
| <p>2. Austerity – having to maintain services with fewer resources.</p> <ul style="list-style-type: none"> ➤ Embedded approach and governance around transformational activity linked to savings plans including impacts assessed and assurance work on savings delivery. ➤ On-going monitoring of savings and new process in place. ➤ Increased work on benefits of partnerships and collaborative working. ➤ Update to Business Growth Strategy. ➤ Medium to Long term financial strategy set out. ➤ Supply Chain Risks mitigated via use of construction line. ➤ Assessment of potential four year gap undertaken and reported to CMT and Cabinet. | <ul style="list-style-type: none"> ➤ Plan in place to develop new financial strategy for discussion with Cabinet post election. ➤ Implementation of oneSource shared service which will deliver quantified savings. ➤ Wide range of detailed work underway on new social care legislation and funding arrangements. ➤ Audits will continue to focus on higher risk areas. ➤ Scheme of Delegation to be subject to closer scrutiny and the effect of the removal of resources considered. ➤ Business Continuity plans to include ensuring that key procedures are documented and kept up-to-date. | Group Director Communities and Resources. |

| Significant Issue and action already taken | Planned action | CMT Lead |
|--|---|------------------------|
| <p>3. Pace of Organisational Change – ensuring governance arrangements are revised and remain appropriate given the significant changes in the organisation and through partnership arrangements with third parties.</p> <ul style="list-style-type: none"> ➤ oneSource Joint Committee established. ➤ One Oracle – red risks identified with programme board for resolution. ➤ Wider representation on Governance meetings. | <ul style="list-style-type: none"> ➤ Increased frequency is planned for review of governance framework. ➤ Audit and Risk work planned. ➤ New management Structure to be embedded. ➤ A list of policies and strategies the organisation holds has been created and will be updated and reviewed regularly. ➤ To ensure that members induction following a new administration is clear regarding their powers and responsibilities. ➤ To ensure that CMT are equipped to manage the potential for ‘change fatigue’ across the organisation with the next round of savings to be made. ➤ Managing the impact of new legislation on Social Care and ensuring effective joined up working with the NHS. | <p>Chief Executive</p> |

| Significant Issue and action already taken | Planned action | CMT Lead |
|---|--|------------------------|
| <p>4. Compliance – ensuring that policy, procedure and roles and responsibilities are fit for purpose, appropriately approved, clearly defined and communicated to and understood by all and that compliance levels are maintained during period of significant change and reduced capacity.</p> <ul style="list-style-type: none"> ➤ Awareness of issue and roles and responsibilities raised. ➤ Draft corporate policy framework has been produced that attempts to clarify definitions and approval routes. ➤ Management Development Programme has commenced. ➤ Review of policies. | <p>Communications from Head of Strategic Human Resources and Organisational Development & Internal Audit.</p> <p>Corporate Management Team to consider compliance arrangements in context of governance framework.</p> <p>Governance Group to discuss the outcome of the review of policies.</p> <p>Improvements to Intranet to aid self-service and clear communication.</p> <p>Review and update of key policies and procedures as key activity of every transformational project.</p> <p>Audit work to provide assurance.</p> | <p>Chief Executive</p> |