

Annual Governance Statement Action Plan 2018/19

Issue/Risk	Action	Current Status	Owner	Expected completion date or date completed
<p>Financial Management – Budget process needs to ensure that savings are achievable and service managers have signed them off</p>	<p>A Delivery Enablement Group has been set up by SLT to monitor progress on delivery of the No Stone Unturned (NSU) savings, reporting to SLT as required. Arrangements for monitoring and reporting non-NSU savings have been developed.</p> <p>The Council delivered the 2017/18 budget with a underspend position.</p> <p>The Council continues to face significant financial challenges</p>	<p>The Council's forecast over spend for 2018/19 was £1.2m at Month 9. Expenditure restraint has been introduced and recovery plans continue to help reduce the in-year overspend. The Strategic Leadership Team review the budget position monthly. The Council has set a balanced budget for 2019/20 including ensuring it has adequate reserves and balances to manage the significant financial pressures.</p> <p>The Council introducing a budget readiness process from March 2019 to support officers in preparation for implementing the 2019/20 savings plans.</p>	<p>SI</p>	<p>Completed March 2019</p>
<p>Staff Declaration of Interests – process needs to provide for sufficient oversight by senior officers to ensure that interest do not impact on decision making</p>	<p>Policy has been updated and is available on the intranet. Consideration to be given to digitalising the process. Annual reminders to be sent to all staff.</p>	<p>We are currently designing a google form for Kingston and Sutton that will be sent to all staff on an annual basis. If staff have no interests to declare they will be required to confirm this on the form.</p>	<p>AH</p>	<p>April 2019.</p>

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Human Resources – adequate capacity needed to support changes in business needs and the transformation programme	<p>Ongoing</p> <p>Additional HR capacity was created as part of No Stone Unturned. The integrated HR Shared Service with Sutton also provides additional resilience to manage ongoing transformation.</p> <p>In terms of management capacity, the programme of recruitment is ongoing as part of the organisational redesign and we are progressing with the appointments to the Assistant Director and Corporate Heads of Service roles.</p>	<p>We are continuing to manage the transformation and organisational redesign taking place at Kingston.</p> <p>We should have recruited to all ADs and CHOS roles by early 2019.</p> <p>The implementation of DOT 4 and 5 is progressing and the service has over 50 reviews to manage across our clients. This will be an intensive period of activity for HR in addition to a reorganisation of the service starting in April 2019.</p>	AH	April 2019
Mandatory training for staff – improvement still needed in terms of completion by staff of mandatory training (e.g. data protection and security).	Further improvement is still needed in terms of completion by all staff of mandatory training (e.g. data protection and security). This is being monitored by HR Business partners and the ISGB and	<p>A more robust, centrally driven reporting process has been implemented, with requirements on HRBPs to push completion as far as they can with their DMTs.</p> <p>We are currently reviewing whether Refresher training should be every 2 years (which it</p>	AH	October 2019.

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	the Council will ensure that this training is repeated on an annual basis.	<p>currently is) or annual. It is probably likely that it will be annual for some.</p> <p>We are also reviewing our learning systems to ensure that they are fit for purpose and able to record and provide the data needed</p>		
<p>Business Impact Assessments – Business Impact Assessments are needed in relation to key services (e.g. accommodation) to facilitate the completion of the ICT Disaster Recovery Plan.</p>	<p>ICT has upgraded the storage of core systems in the Council which will start to improve the business continuity arrangements of the Council. A minor review was undertaken of the business impact analysis and has fed into an update of the ICT Business Continuity Plan, however further work is required here to embed across the Council.</p> <p>The Council has formally approved the Digital Strategy.</p>	<p>Currently undertaking a review of the core infrastructure and looking at the requirements for the future. Initial options appraisal for moving the on premise data centre to the Cloud has been completed.</p> <p>Preparing business case and more detailed costs for the migration to the cloud.</p> <p>ICT Disaster Recovery Plan has been finalised and subsequently reviewed and links into the overall Business Continuity Plans.</p> <p>Digital & IT have completed table top exercises for cyber security.</p>	ML/HoS (Heads of Service)	

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		<p>All London Boroughs have signed up to the Emergency Planning 2020 & Standardisation Plan, which will see a new command and control structure introduced from November 2018 and a complete refresh of business continuity arrangements to reflect this and in preparation for Brexit on 29 March 2019.</p> <p>This will require all services to undertake new Business Impact Assessments.</p>		
<p>Internal Audit Recommendations – to ensure that all Priority 1 recommendations are dealt with expeditiously.</p>	<p>Regular update reports will continue to be provided to the Audit, Governance and Standards Committee and officers will be asked to attend where recommendations have not been implemented in accordance with agreed timescales.</p>	<p>There were 10 Priority 1 recommendations outstanding and reported to the March Audit, Governance and Standards Committee. Priority 1 recommendations will continue to be subject to robust follow up and monitoring arrangements.</p>	<p>SI</p>	<p>Ongoing</p>

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<p>Scheme of Delegation – this is to be updated to reflect the new governance arrangements.</p>	<p>The Scheme of Delegation is being reviewed as part of the ongoing Governance review.</p>	<p>A new scheme of delegation was agreed by Council on 11th December to be implemented from 1st March 2019</p>	<p>SI</p>	<p>Complete and implemented from 1st march 2019</p>
<p>Achieving for Children (AfC) - A major issue going forward is the financial pressures on the Dedicated Schools Grant (DSG) and other demand led budgets. This is not uncommon to AfC but is a national issue although particularly acute in Kingston. This is against a national context of significant pressure on services for children. Whilst this does not directly affect AfC's internal control framework, it does demand a very high standard of budgetary control and AfC are having to develop new strategies in relation to managing demand.</p> <p>In support of the Kingston schools budget for 2018/19 the Department for Education</p>	<p>A Recovery Board and Recovery Plan have been established and a review of the contract, governance and financial control arrangements are being undertaken.</p> <p>As part of the arrangements for dealing with the DSG overspend, RBK are to review the financial arrangements with AfC through an Education Commission.</p>	<p>SEND transformation plan has been agreed by the Health and Wellbeing Board. This will be reviewed and reshaped throughout the three year programme and regularly reported to Strategic Committees</p> <p>The Education Commission will be published in June 2019.</p>	<p>SI/PM</p>	

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<p>provided an additional £3m of Dedicated Schools Grant (DSG) in support of Special Education Needs (SEN). This is an advance of money provided on the basis that the Council will address the issues associated with the overspend on SEN which is outlined above. This is an advance on money but the Government have not stated when it will need to be returned. However, it is likely that this will need to be repaid. This means that the High Needs block for Kingston will be £23.4m next year and increase of 23.7% and the DSG as a whole will be £ 137.7m, an increase of 7.7%</p>				
<p>Risk Management - Whilst processes are in place to record and manage key risks, there is a need to review wider corporate risks and to better align these with the manifesto</p>	<p>A proposal is being developed to establish more robust risk management processes</p>	<p>Quarter 3 risk reporting was undertaken, with each directorate DMT reviewing its risk register. Escalated risks to the corporate risk register were reviewed by SLT in February ahead of going to Audit, Governance &</p>	<p>SE</p>	<p>April 2019</p>

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commitments of the new administration as well as key corporate objectives.		Standards Committee on 12 March, together with more detailed reports covering ICT cyber-security and legacy systems, Brexit and Emergency Planning preparations.		
		<p>It was decided by committee members to continue with a quarterly review of the corporate risk register until arrangements are in place to report to all strategic committees those risks relevant to their remits. A short presentation was made before the meeting to provide members with an overview of current risk management arrangements and next steps to further improve these. A new risk management framework has been drafted and this will be reviewed at a SLT risk management workshop on 4 April.</p> <p>An audit of risk management arrangements will be undertaken in 2019/20 to assess how well the</p>	SE	April 2019

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		new arrangements have been embedded.		
<p>GDPR - The challenges of delivering effective data security management requires constant review to ensure that the Council keeps data safe and secure. GDPR placed additional responsibilities on the Council.</p> <p>Council has undertaken a major review of information governance, data protection and records management over the last 12 months in advance of GDPR requirements, further work is required to ensure this is embedded into the Council and full compliance.</p>	<ul style="list-style-type: none"> ☐ Work is continuing to embed good Information Governance into the business as usual culture for the Council. ☐ The commissioning cycle is being reviewed with guidance and templates being updated to ensure that Data Protection Impact Assessments (DPIA) are carried out early in the Commissioning and/or project lifecycle where the process may involve the processing of personal data. ☐ The Council's Contract Management framework will also be updated to 	<p>The AD Digital & IT has coordinated the work across the Council in these areas through the work in the Information Security Governance Board attended by all areas of the Council. The Council was compliant with the core areas of GDPR for the May 2018 deadline</p> <p>Significant progress has been made in the creation and review of:</p> <ul style="list-style-type: none"> ● all relevant policies; ● creation of Information Asset Register; ● updated website to inform the public of their rights; ● Privacy notices updated and published online; ● review of when 'consent' is required, and recorded; ● Data Retention and Disposals; 	<p>ML</p>	<p>Majority completed but ongoing</p>

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	<p>ensure robust controls are in place.</p> <p>☐ All arrangements are being reviewed to confirm where personal data is being processed and where the Council is the controller to ensure that there is an updated written contract in place</p> <p>☐ The readiness plan to ensure GDPR compliance will be monitored by the Information Security Governance Board (ISGB) to ensure that action is taken in accordance with agreed timescales.</p>	<ul style="list-style-type: none"> ● DPIA reviews - reviews are being undertaken as part of major changes and new systems; ● Staff Training and awareness - communications plan and Intranet pages; ● annual mandatory training for all staff; ● targeted training for specialised roles such as DPO and SAR training. ● training and support for Councillors; ● update of key contracts (further work progressing); ● engagement with business areas <p>A recent Internal Audit has recognised the progress on Records Management, Information Governance and Data Protection and the few remaining steps.</p>		

Initials	Officer
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Official

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Annex 1

SI	Sarah Ireland
AH	Alison Hackett
ML	Mark Lumley
PM	Pauline Maddison
SE	Stephen Evans