

Issue	Lead AD/ Priority	Rationale	Progress	Proposed action for 2012/13
<u>SAFEGUARDING</u>				
Safeguarding – Children’s Services	Lyn Burns Caroline Sutton John MacIlwraith High	Following an Ofsted inspection of Children’s Services in April 2012 of Safeguarding and Looked After Children’s Services in Cumbria an Improvement Board is being established to monitor three key areas for improvement. These are: Improving Practice, Improving Performance Management and Quality Assurance and Improving Partnership.	An Improvement Board is being established including partner representatives from the Local Safeguarding Children’s Board and the Children’s Trust Board (including Health partners and the Police). An Action Plan is being developed and will be delivered. This will be reported and monitored through a rigorous Governance structure.	Approval of the Action Plan and delivery of the priorities for improvement. Development of Action Plan and delivery of priorities for improvement.
<u>RISK MANAGEMENT</u>				
Corporate Risk Management	Mike Smyth High	Arrangements throughout 2011/12 have been regularly criticised by the Audit and Assurance Committee	Significant work undertaken for final 2011/12 risk report and refresh of corporate risks for 2012/13	Need to ensure sustained progress throughout 2012/13
<u>CONTRACT MANAGEMENT</u>				
Contract Investigation	Andrew Moss High	The Council is preparing a case for a significant contractual claim. Audit investigations indicate concerns about contract management arrangements	Preparation of claims and payment adjustments actioned	Effective pursuit of claims and defence of counter claims

Annual Governance Statement Action Plan for 2012/13

Annex A

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Waste Management	Paul Feehily High	£30m a year contract – series of audits raising concerns that where performance failures are agreed, deductions are not pursued. In addition there is a need for improvements in data to support payments to district councils for recycling	Action plan now developed which addresses key concerns on risk management, governance arrangements and performance framework and provides holistic understanding of pan Cumbria waste management arrangements and firm basis for effective management of waste contract	Implementation of action plan
Concessionary Fares	Andrew Moss High	Concerns that payments authorised without appropriate documentation and when documentation provided that checks were not undertaken prior to authorisation.	Internal Audit work in March 2012 showed that documentation was now being received and review of the March 2012 payment concluded that appropriate checks had been carried out prior to payment authorisation Recruitment of experienced officer to strengthen team	Ensure effective checks undertaken prior to payment authorisation are sustained throughout 2012/13 Undertake checks of tickets issued .
Procurement and contract management	Alan Ratcliffe Medium	An Annual Governance Statement significant issue from 2010/11 and further concerns from internal audit work in 2011/12 (investigations, waste management, concessionary fares)	Significant corporate action to improve procurement and contract management undertaken	Implementation of action plan and sustained improvements Lesson learned activities

DIRECT PAYMENTS / PAYMENTS TO CARERS

Annual Governance Statement Action Plan for 2012/13

Annex A

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Direct Payments	Medium Nick Thomas	Adult and Local Services: monitoring required to ensure that the needs of service users are being met and to follow up cases where service users fail to account for their spend / submit the requested evidence.	Policy review and restructure completed	Implementation of action plan
Payments to Carers	John MacIlwraith Medium	Children's Service: procedures are not documented, cases are not reviewed on a timely basis, and overpayments to carers are not always recovered.	Progress in implementing action plan	Implementation of action plan
<u>HR MANAGEMENT</u>				
Payroll	Jamie Sims High	Control weaknesses and some calculation errors (pay in lieu of notice incorrectly included in a redundancy calculation and some overpayments). The service centre is reliant on receiving accurate and timely information from directorates but information can be patchy.	Review of establishment control nearing completion with reconciliation of budgets and organisational structures and mapping of establishment control processes	Implementation of establishment control action plan
Travel claims	Jamie Sims High	Audit in March 2011 showed significant problems with over claims. Proposals made to clarify policy and guidance to enable appropriate claims. New policy and guidance introduced from October 2011 alongside single status changes.	Internal Audit follow up review of new travel arrangements found significant levels of non compliance with extrapolation of audit results suggesting over claims of £306,000 to £418,000 based on sample analysis.	HR to review operation of the new arrangements to ensure they are fit for purpose and that managers fully understand their responsibilities for checking travel claims prior to their authorisation.

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<u>INFORMATION AND DATA QUALITY MANAGEMENT</u>				
Information governance	Alan Ratcliffe High	A number of problems have been identified through planned audits and investigations (overall arrangements, Payment Card Industry Data Security Standard, CCTV, disposal of desk containing information, new fire service pay system and weaknesses in security over IT log ins and passwords)	<p>A suite of Information Governance policies and procedures have been developed and were formally approved by CMT in April.</p> <p>The Information Governance Group has been refreshed, is meeting regularly and has responsibility for monitoring implementation of the revised procedures and Action Plan.</p> <p>The ICT security policy which covers log-ins and passwords has also been strengthened.</p>	Systems used for ICT security are being enhanced in order to facilitate the work in relation to Health Transition.
Carbon Reduction Commitment Energy Efficiency Scheme	Dominic Donnini Medium	A series of critical audits identifying poor governance and weaknesses in Council data	Substantial work on improving data quality has been completed, including work with schools to give access to their data. Programme developed to guide collection of data and completion of submission by end of July 2012. Preparations underway for purchase of allowances by Finance based on early estimate of carbon emissions.	Delivery of action plan including submission of returns and purchase of allowances

Annual Governance Statement Action Plan for 2012/13**Annex A**

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Partnerships	Dawn Roberts Low	Audits of the partnership register, community safety partnership, and mental health joint commissioning. Issues on agreements and completeness of information leading to value for money concerns	Action plans progressed	Implementation of action plan

<u>AWARENESS RAISING</u>				
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Awareness raising	Julie Crellin High	Need for awareness raising of importance of governance and internal control in light of 2011/12 issues.	<p>Presentations to key groups: Extended CMT (29 February) and Corporate Governance Group (13 March), DMTs, service managers, finance managers.</p> <p>Briefing to all Directorates (through routine newsletters) prepared through the Corporate Governance Group. Briefings distributed through May and June.</p>	Continue awareness raising training during 2012/13. Regular updates planned for 2012/13 (e.g. update following agreement of Anti-Fraud and Corruption Policy included in reports to the Audit and Assurance Committee on 7 th June 2012).