

## APPENDIX A - Progress Against 2011/12 Governance Issues - September 2013

Period: June - September 2013																																		
Governance issue	Actions to address	Measures of success	Lead	Progress/issues to highlight																														
1-Weaknesses in people management	LaMP programme	By September 2012, 50% (336) managers to have completed training	Julie Barratt / Fiona Morrison	<p>The LAMP programme has come to the end of its agreed delivery timescale. Final attendance figures for the programme were 57% (337) (based on current manager numbers).</p> <table border="1"> <thead> <tr> <th>Service</th> <th>% attendance</th> </tr> </thead> <tbody> <tr> <td>ASC</td> <td>50</td> </tr> <tr> <td>CSC</td> <td>65</td> </tr> <tr> <td>City Dev &amp; Culture</td> <td>51</td> </tr> <tr> <td>Comm Safety &amp; HIDs</td> <td>89</td> </tr> <tr> <td>Corp Assets, Business &amp; Standards</td> <td>48</td> </tr> <tr> <td>CCDS</td> <td>95</td> </tr> <tr> <td>Education</td> <td>36</td> </tr> <tr> <td>Finance</td> <td>78</td> </tr> <tr> <td>Housing &amp; Property</td> <td>18</td> </tr> <tr> <td>HR, L&amp;P</td> <td>100</td> </tr> <tr> <td>IS</td> <td>100</td> </tr> <tr> <td>Revs &amp; Bens</td> <td>76</td> </tr> <tr> <td>T &amp; E</td> <td>82</td> </tr> <tr> <td><b>Totals</b></td> <td><b>57%</b></td> </tr> </tbody> </table> <p>Moving forwards there is continuing need to support leadership &amp; management development. Areas under consideration are around manager skills in coaching and using 360<sup>o</sup> appraisals.</p> <p>A report will be taken to October 2013 Employment Committee discussing how services are using these results to influence the way they work.</p>	Service	% attendance	ASC	50	CSC	65	City Dev & Culture	51	Comm Safety & HIDs	89	Corp Assets, Business & Standards	48	CCDS	95	Education	36	Finance	78	Housing & Property	18	HR, L&P	100	IS	100	Revs & Bens	76	T & E	82	<b>Totals</b>	<b>57%</b>
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	Reviewed PDR process	100% staff completed a PDR by end of financial year (2013) PCC review presented to Employment Committee by Oct-12	Julie Barratt	A report regarding the completion levels of PDR will be taken to Employment Committee in December 2013. Review of PDR policy presented to, & agreed by, Employment Committee in December 2012. The annual review of the success of the implementation of the policy will be presented in December 2013 (as above).
2-Adhering to equalities duties	Monitoring programme of EIAs that need reviewing; new policies that need EIAs	% compliance EIAs across all services	James Sandy/ Iwona Defer	As per the report that that was taken to the G&A&S Committee meeting in June 2013, most services have completed 100% of their EIAs, and there has been a further improvement in the compliance since the previous report of January 2013. This can be attributed to the persistent and effective monitoring as well as advice and support by the Equality & diversity officers to the services. The actions identified under the Single Equality Scheme (SES) Plan are monitored by the Equality and Diversity officers on an annual basis as monitoring on a bi-annual basis has proved unfeasible. SES Plan is currently being updated in accordance with the service business plans. The Fairness and Equalities Group (FEG) has effectively been disbanded. An Equalities Project Group, which comprises of officers and representation from each political party has been created to: <ul style="list-style-type: none"> <li>• Review current guidance, Council duties and the national policy context.</li> <li>• Feedback on the peer challenge findings.</li> <li>• Consider lessons from recent consultation activities.</li> <li>• Evaluate the previous approach of the FEG</li> <li>• Inform the revision of the Council's Equality &amp; Diversity Strategy (2010-13) &amp; Single Equality Scheme (SES)</li> <li>• Review the current Equalities Impact Assessment process and how it is monitored and enforced.</li> </ul>
	Equalities strategy in place and monitoring through the Single Equality Scheme	Completion of actions to timescales in Equalities Strategy and regular monitoring of performance against the Single Equality Scheme		

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3-Not all CRB checks are reviewed when they should be and some temporary staff working with vulnerable groups without CRB checks	HR to reemphasise message with managers	All staff have up-to-date CRBs.  All managers use the proper process of recruitment, including the use of the relevant temporary agency	Julie Barratt	CRB changes of 1 <sup>st</sup> September have been communicated to Strategic Directors. Recruitment is ensuring the relevant guidance and advice is being issued to the manager and candidate as required, checks are undertaken for casual employees, and the recruiting manager is aware of the correct process to follow. The Updated DBS service has come into force on the 17 <sup>th</sup> June 2013; This is a voluntary candidate choice to engage with that service. A full list of jobs is not possible to compile as eligibility for a DBS is dependent on duties not title and a post can move into eligibility as well as out over time with changes to how a service operates. Recruitment assesses each job profile as it is re-written / recruited to for eligibility.
	Provide a list on which jobs should have CRB checks			
	Assess how old CRB checks are and associated risks			
4-Weaknesses in business continuity (BC) planning	BC plan template	100% services have adequate business continuity plans in place that are reviewed on a regular basis.	Kate Scott	All services have business continuity plans in place. However, Housing Management's plan is being updated to include new Asset Management Function. A Table top exercise was held for Adult Social Care in May 2013. Some minor improvements have been identified as a result of this and these are nearing completion. A further exercise with the wider management team will take place on the 19 August 2013. A table top exercise has been booked for Information Services and is due to take place in Oct 2013. Tabletop exercises have been requested for Revenues and Benefits, City Development and Cultural Services, and Support Services. Progress update requested from Transport and Environment as to plan review status.
	Corporate BC Strategy			
	Corporate BC working group			
5-Results of OFSTED inspection in safeguarding and Looked After Children highlight areas for immediate improvement	Action plan in place	All immediate actions completed	Stephen Kitchman	A peer review of safeguarding took place w/c 15 October 2012 and the peer review action plan has superseded the OFSTED action plan. A report on the outcomes of the review was presented to an informal Cabinet meeting on 05 November 2012. The plan has been monitored via the Monitoring and Evaluation committee of the Portsmouth Safeguarding Children Board. A 0.5 LADO has been recruited to improve allegations management and increase capacity and focus on raising awareness of the role and associated procedures with agency partners.

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6-Non-completion of financial rules training, resulting in non-compliance with Financial Rules	PDR prompts completion/refresh of financial rules training	100% staff have completed financial rules training	Chris Ward, Lyn Graham	Approximately 2,700 members of staff have completed the financial rules training in the last 3 years (out of approximately 3,500 staff employed by the council excluding schools), although there is currently no easy way of finding out who has not undertaken financial rules training. Parts A-D have been finalised and will be loaded onto PolicyHub in September 2013. Parts E-G will be finalised and uploaded by January 2014, with training available from April 2014.
	Revising Financial Rules			
7-Lack of Financial Services resource with regard to the closedown programme	Weekly monitoring by project team chaired by s151 officer	The closedown programme is completed adequately. No additional issues highlighted in the Audit Commission Plan.	Chris Ward	As reported in the Annual Governance Report from the Audit Commission to the G&A&S Committee on 27 <sup>th</sup> September 2012, "Overall the quality of the accounts and supporting working papers was much improved with the notable exception of the group accounts." The Group Accounts show the combined financial position of the Portsmouth City Council Group which principally consists of Portsmouth City Council, and its subsidiary, MMD (Shipping Services) Ltd. The Group also includes a share in Portchester Crematorium and in Portsmouth Harbour Renaissance Limited. As such they largely mirror the single entity accounts of the City Council. During the audit, the auditors found a significant number of errors in the Group Balance Sheet and Group Movement in Reserves Statement. The underlying cause of the problem was a performance issue that has been addressed.
	Increased resources for quality assuring the Financial Statements			
8-Not all services undertaking comprehensive succession planning	Currently no action in place to address	All services have processes in place for identifying officers with specialist skills, and transferring those skills to other officers	Julie Barratt	The practice of succession planning is currently variable across the council's services. There are some areas of good practice where key skills have been identified and 'grow your own' development programmes put in place to ensure specialist skills are developed for the future. A revised approach to workforce planning has recently been developed which will seek to identify and share areas of good practice and encourage the development of robust succession planning across all services.
		Key skills are not lost when key members of staff leave		