

Wokingham Borough Council - AGS
Management Assurance Statements - 2018/19
Exceptions and Improvements identified
(Question - Do you recognise the organisation from these issues)

Section 1 - Governance Exceptions	Governance or Management concern
Deputy Chief Executive	<p>1 The internal audit of Shared Building Services received a level 3 assurance 'range of risk mitigation controls is incomplete and risks are not effectively mitigated'. The actions to address this are being formulated and implemented in 2019-20. Governance / Management</p> <p>2 A delay in the implementation of the Finance Module (Technology Forge) has led to the detail of rental payments being limited which has impacted on the ability to manage the property portfolio as effectively as we could do. This will be addressed in 2019-20. Management</p> <p>3 Business Services: <ul style="list-style-type: none"> • Recording of sickness absence in self-serve model • Recording of Disciplinary, Capability and Grievance related issues in the self-serve model. • Controls regarding creating correctly evaluated job roles in the self-serve model. Governance / Management</p>
Director - Locality and Customer Services	<p>4 The impact of the economic climate upon Planning and Building Control fee income. Management</p> <p>5 Declining fee income from Building Control services due to reduced market share resulting from increased private sector competition. Management</p> <p>6 The service delivery capacity risks and financial pressures based around the impact of transition to new 21 Century staffing structure, service delivery model, and mobilisation of new Highways contract resulting in temporary operational backlogs. Governance / Management</p> <p>7 Market Place improvements Equality Impact Assessment was not documented correctly – We have improved our SDL governance and management arrangements to address this going forward. Governance / Management</p> <p>8 Dependencies upon cross-corporate/boundary/stakeholder working particularly with respect to infrastructure implementation. Governance / Management</p> <p>9 Internal Audit identified weaknesses in Housing Rents and Debtors – The resulting action plans to address these are being implemented to ensure that all weaknesses are mitigated. Governance / Management</p>
Director - Children's Services	<p>10 Staffing and establishment structure and associated budget irregularities Governance / Management</p>

	11	Areas that are the responsibility of Children's Services but are not managed by the Directorate, e.g. high needs block, home to school transport and commissioning contracts.	Governance / Management
	12	Compliance to statutory duties under the Children's and Families Act 2014, the SEND Reforms and The Children and Social Work Act 2017, particularly regarding the increase in complexity and demand and new duties.	Governance / Management
Director - Adult Services	13	Legal challenges in respect of ordinary residence.	Governance / Management
	14	Compliance to statutory duties under the 2014 Care Act, particularly regarding increase in complexity and demand.	Governance / Management
	15	Continuing Health Care challenge from the Clinical Commissioning Group.	Management
Director - C.21st Council Programme	16	None	
Assistant Director - Governance / Lead Specialist - Audit and Investigation	17	Housing Rents, Debtors and Shared Building Services incorporated above.	Governance / Management
Section 2 - Governance Improvements			
Deputy Chief Executive	1	Updating of the Constitution.	
	2	The Overview & Scrutiny processes have been strengthened.	
	3	Additional resource added to the team dealing with Data Protection Act Subject Access Requests and Freedom of Information Act requests.	
	4	Improved governance to manage technical change and decision making by the strengthening of the IT Boards and Technical Working Group.	
	5	Reinvigorated the Change Board vis weekly 'Core Group' sessions, reporting templates and clear escalation mechanisms.	
	6	Audit of the Regeneration Programme has identified some medium risks that have/are being resolved.	
	7	Creation of Corporate People Dashboard.	
	8	Improved guidance for managers on SharePoint.	
	9	Service levels at RBWM have improved as the SBS experience of their Estate grows and the data we generate is captured correctly.	
	10	Draft recommendation to establish a Contract and Commissioning Board; introduce additional governance arrangements aligned to the Council's procurement contracts rules and procedures.	

- 11 Review of control mechanisms for the Public Health Grant and agree improved governance arrangements for 2020/21. This will address the accountability issues and rebalancing the contribution to reflect the reduction in the grant.
- 12 Review of contract and quality assurance functions, commissioned activity within Children's and Adults services.
- 13 Introduction of a Quality Assurance Framework (adult services).
- 14 Review of Care Governance Arrangements.
- 15 Introduce additional scrutiny and oversight of the contract monitoring function (ongoing).

Director - Locality and Customer Services

- 16 SDL governance and management arrangements have been fine-tuned and continue to be reviewed to ensure that they are working effectively.
- 17 Updated the Terms of Reference for the Tenant Landlord Improvement Panel in light of data protection breach and complaints received.
- 18 Highways Alliance Governance arrangements with the Council's new Highways Partnership Alliance.
- 19 Fortnightly meetings to monitor the Grounds Maintenance contract through the grass cutting season.
- 20 Regular partnership meetings with the Council's parking management contractor.

Director - Children's Services

- 21 Revised and refreshed the Supervision Framework including learning from Practice Weeks.
- 22 Review of Quality Assurance Board and Quality Assurance Framework.

Director - Adult Services

- 23 Action Plan in place following ADASS (Association of Directors of Adult Social Services) Peer Review, monitored monthly.
- 24 Monthly Continuous Improvement Board with action log.
- 25 Regular attendance at the SAB (Safeguarding Adults Board) with active participation.

Director - C.21st Council Programme

- 26 Joint Board has become a formal part of the governance arrangements of the Continuous Improvement Programme (new C21 programme).

Assistant Director - Governance / Lead Specialist - Audit and Investigation

- 27 Refresh of Corporate Risk Register and approval by Audit Committee.

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