

Barnsley MBC – Annual Governance Statement 2019/20 - Action Plan

Governance Area	Issue Identified	Actions	Timescales	Responsible Officer	Current Status
Risk Management	Fundamental review of the approach to risk management and governance assurance				
	Strategic risk register review	New approach designed and then agreed by SMT	October 2019	Rob Winter/Alison Salt	Completed
		Workshop session held with SMT to identify new strategic risks	August 2020	Rob Winter/Alison Salt	Completed
		New SRR populated onto new RM system	31/10/20	Alison Salt	Completed
		Establish SMT review and monitoring schedule	31/10/20	Alison Salt	Completed - To be routine part of SMT quarterly review of performance
	Revised RM Policy and Procedures	Prepare revised RM Policy and Procedures to support the new approach	31/03/20	Rob Winter/Alison Salt	Policy Statement and Approach developed for A&G comment
		Approval through Audit and Governance Committee and Cabinet	30/04/21	Rob Winter/Alison Salt	On track
	Training and Support	Development of training material for inclusion on the POD system	30/04/21	Rob Winter/Alison Salt	Training materials to be developed with IT colleagues
	Roll-out of new approach for Operational and Project risk management	Communication and training plan for HoS supported by guidance and POD training	31/03/21	Rob Winter/Alison Salt	On track
	Re-introduction of a specific fraud risk assessment process as part of the new approach	Design and roll-out of fraud risk assessment tool for use by HoS / SDs	31/03/21	Joanne Race	Completed - Fraud risk assessments undertaken with all BU's

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Information Governance	<p>Security Breaches and Losses - Most Business Units had had some security breaches which had been dealt with using the procedures. A number reported losses of equipment. There may be a need to reassess training and supervision in teams in relation to security breaches and consider if any were repeat offences.</p>				
	<p>Phishing awareness</p> <p>Phishing tests were recognised as useful and there may be a requirement for further staff training.</p>	<p>Phishing exercise completed end of August 2020.</p> <p>Training – currently being rolled out to staff who failed the recent phishing exercise (August 2020).</p> <p>Further roll-out of the training to all staff.</p> <p>Next phishing exercises planned: November 2020 and December 2020 To complete phishing exercises every 3 months following the above</p> <p>Devising phishing dashboard along with BI. This will identify trends etc in BU's so that action can be taken</p>	<p>Roll-out w/c 5th October to be completed by 13th November 2020</p> <p>Mid November to end December 2020</p> <p>November, December 2020 3-monthly</p> <p>December 2020</p>	<p>Simon Marshall</p> <p>Simon Marshall</p> <p>Simon Marshall</p> <p>Simon Marshall / BI Team</p>	<p>Training completed, this was made available to all staff</p> <p>Rolled out via Keep Barnsley Moving staff newsletter</p> <p>Rolled out March 2021</p> <p>Planned - work continuing</p>
	<p>Training and awareness</p>	<p>Training plan for coming year – the training suite contains a variety of</p>	<p>Commenced September</p>	<p>Simon Marshall</p>	<p>In progress - planned end date</p>

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	<p>Most Business Units had had some security breaches which had been dealt with using the procedures. A number reported losses of equipment. There may be a need to reassess training and supervision in teams in relation to security breaches and consider if any were repeat offences</p> <p>Need to reinforce/review information security training for staff</p>	<p>courses, micro modules, guides, articles and other resources to roll out to employees. This is supported by targeted communications – reminders – relevant topics pertinent at the time (e.g. following an incident or an area of weakness identified) – via corporate communications, IG intranet. Also supported by IG ‘attendance’ at Directorate meetings and events e.g. extended DMT’s on a regular basis and drop-in sessions (when possible)</p> <p>Directorates to reinforce IG/IS training and awareness – incorporate specifically into PDR’s, supervisions and team meetings.</p> <p>The tools available are very limited – e.g. POD and major resources required from IG/IS. To explore more robust technical methods of rolling out training e.g. Metacompliance / POD replacement / Success Factors</p>	<p>2020. Plan extended until December 2021</p> <p>April – June 2021</p> <p>August 2021</p> <p>February 2022</p>	<p>Simon Marshall</p> <p>Simon Marshall (Metacompliance)</p> <p>Workforce Development Team</p>	<p>December 2021</p> <p>Progressing</p> <p>Metacompliance Contract cancelled as product not fit for agile / homeworking</p> <p>Timeline for Success Factors Phase 2 (learning and development) has now slipped date revised to Feb 2022.</p>
	<p>Monitoring of incidents data</p>	<p>Power BI data is ‘live’ data on IG and IS incidents. SD’s and HoS need to take</p>	<p>December 2020 to</p>	<p>Simon Marshall</p>	<p>On track – dashboards created</p>

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	<p>There may be a need to reassess training and supervision in teams in relation to security breaches and also consider if any were repeat offences.</p>	<p>ownership and regularly monitor the data so that they are aware of incidents in their Directorate, repeat offenders etc.</p> <p>IG to plan awareness session across all BU's DMT's to raise awareness of Power BI and to identify any support needed</p>	January 2021		<p>to be completed by end February 2021</p> <p>IG meetings planned throughout March 2021 to raise awareness via DMT's</p>
	Home working	<p>Home working – data security – training rolled out by IG (as at 2nd October 2020 approximately 240 staff not completed the training).</p> <p>SD's to reinforce that the training is mandatory and ensure all staff have completed.</p>	<p>October 2020</p> <p>October 2020</p>	<p>Diane Arkwright /Simon Marshall</p> <p>Service Directors</p>	<p>Completed</p> <p>Completed</p>
	<p>Account deletion</p> <p>The deletion of accounts or system changes these are not always actioned in a timely manner.</p>	Managers have responsibility to let service desk know in a timely manner, regular reports are run, and SD receive report and they then close down the accounts.	September 2020	HoS update sent out last 29/09/20 to remind of process and responsibility within Policy.	Completed
	<p>Single sign-on</p> <p>Lack of single access passwords – barriers and frustrations in place for people to be able to do their jobs. Variety of different HR systems</p>	<p>Reviewed at every procurement of IT systems. Not always possible.</p> <p>IT is working towards single sign-on for all systems. However reliant on suppliers.</p>	Ongoing – this will be reviewed as part of all new IT procurements	Sara Hydon, Head of IT (Service Management)	In progress
	Use of memory sticks - There is the occasion whereby the use of memory	IS currently reviewing options – e.g. blocking all USB drives for memory	On hold due to Covid-19 as	Sara Hydon, Head of IT (Service	On hold due to Covid-19 as would

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	sticks has been authorised on an individual basis, the users with access to use USB memory sticks is documented but not the physical memory sticks	sticks or enforcing encryption on memory sticks.	would cause disruption	Management)	cause disruption
	<p>Brexit –</p> <ul style="list-style-type: none"> • General need to ascertain which countries providers/suppliers to the Council may store data in • General concern that further understanding is required regarding Data Handling/ Sharing / Transferring. <p>Thoughts on the areas for consideration/improvement drawn out from the review process and thoughts on how action plans can be programmed to take forward work to improve governance in these areas going forwards</p>	<p>The EU Transitions Group are continually reviewing Brexit guidance and are holding regular meetings. Specifically, IG will carry out the following:</p> <p>The IG team to contact every Directorate SD to ascertain if there are any data flows outside of the UK in preparation for the Brexit decisions. Once Brexit decisions are made the IG will work alongside services identified to ensure robust agreements (in whatever form UK / other countries agree) are in place to ensure safe sharing/transferring.</p> <p>The IS team have identified systems which are 'hosted' outside of the UK.</p> <p>Follow up exercise with system suppliers to ascertain current position. Once clear IS Team will work with services to ensure continued access to data.</p>	<p>October 2020 to November 2020</p> <p>October 2020 to November 2020</p> <p>December 2020</p>	<p>Simon Marshall</p> <p>Simon Marshall</p> <p>Simon Marshall</p>	<p>On track</p> <p>Completed</p> <p>Completed</p>
FOI / SAR Compliance	Fundamental review of the process to deal with Customer Complaints, FOI, SAR and EIR requests to improve timeliness				
	Delay in responding to LGSCO enquiries	<ul style="list-style-type: none"> • Comprehensive review LGSCO 	25/09/20	Kate Liddall	Completed

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		Annual Letter <ul style="list-style-type: none"> • Deep dive six case failings • Identification of service delays / failings 			
	Delay in dealing with customer complaint	<ul style="list-style-type: none"> • Comprehensive review complaint process / procedure 	23/10/20	Kate Liddall	Completed
	Ineffective CFIT management tracking system	<ul style="list-style-type: none"> • Implementation new performance management system • Migration old system into SharePoint Online • User Acceptance Testing • Implementation of system improvements • Development Power BI Performance Dashboards 	30/10/20	Kate Liddall CFIT IT Rob Winter Stuart Taylor	Completed
	Services failing to meet to statutory/corporate timescales	<ul style="list-style-type: none"> • Strengthened communication • Impress consequences • Regular attendance at DMT's • Performance discussed at SMT • Comms & Engagement Plan 	In progress	Kate Liddall	In progress – regular meetings scheduled
Personal Development Reviews	Further review of the PDR process, system and guidance to ensure improved compliance and quality of PDRs.				
	<ul style="list-style-type: none"> • Technical difficulties were identified e.g. staff completing reviews using one network and then having to upload documentation onto another system. • The details of staff requiring a PDR are often incorrect when supplied to Heads of Service – data quality 	Inaccuracy of reports relating to PDR completions – often a misunderstanding of managers and employees about the need to complete all stages of the process for it to be recorded in the system as completed. Amend the PDR PowerBI report to show the stage each PDR is at if not completed	August 2020	Kay Welbourne	Completed

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	<p>issues – information taken from POD and not always accurate – wrong coding issues</p> <ul style="list-style-type: none"> • Systems and processes are not helpful – one team tried to start their PDR review process in March – the system doesn't allow this • Concerns going forwards about undertaking PDR's when staff are now predominantly home based – lack opportunity for face to face discussion – need to consider how to undertake these in the “new normal” • System should follow a structure timetable/calendar flow – e.g. February budget setting, March business planning, April PDR's • The review has identified that a further review of the PDR process should be undertaken. 	<p>Develop guidance on 121 / supervisions to promote ongoing performance conversations and move away from the concept of ‘once a year’ performance discussions. Include advice about undertaking 121 discussions virtually or, in exceptional circumstances, face to face but adhering to social distancing measures and the latest Government and Council guidance. We will also include this information in the revised PDR guidance.</p> <p>Undertake a full review and rebrand of the performance appraisal process aligned to the new council plan / MTFS / Smart Working</p> <p>Introduce an agreed timescale for the completion of PDRs linked to the business planning cycle</p> <p>Implement Performance and Goals module within Success Factors which should address some of the technical / reporting issues being experienced with the Learning Pool solution</p>	<p>November 2020</p> <p>February 2022</p> <p>February 2022</p> <p>February 2022</p>	<p>Kay Welbourne</p> <p>Amanda Glew / Kay Welbourne</p> <p>Amanda Glew / Kay Welbourne</p> <p>Amanda Glew / Kay Welbourne</p>	<p>Completed</p> <p>Success Factors (performance and goals) now due to be implemented Feb 2022</p> <p>As above</p> <p>As above</p>
Performance Management and Data Quality	Further develop KPI's and service standards in some BU's	Continue to develop service standards and KPI's with Business Units and ensure increased use of Power BI tools/reports as a routine part of	March 2021	Malachi Rangecroft	Ongoing

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		business management			
Declarations of Interest	Improve compliance with completion of annual forms and their subsequent availability and use				
		Review of the process to ensure full compliance with the completion of the Declaration of Interests form and their subsequent availability and use	March 2021	Martin McCarthy/Rob Winter	To be incorporated as an Internal Audit to be scoped.
Managing Staff Absences	Compliance with the Council's Managing and Supporting Attendance at Work Policy				
	The absence management system doesn't help managers to proactively manage absences –the trigger form does not link with information on Fiori.	<p>Comprehensive employee absence dashboard developed on Power BI launched to all managers on 1st August 2020 and includes:</p> <p>A replacement real time 'absence trigger' process to enable more timely absence discussions to take place.</p> <p>Breakdown of sickness absence measures to directorate and business unit level.</p> <p>New visuals for analysing absence patterns, by time, type, directorate and business unit.</p> <p>A manager-level view of all recorded absence in the team, including sickness, leave and other absence types.</p> <p>Post roll out review to be undertaken</p>	December 2020	Janine Hollingsworth	<p>Automation of update for KPI's tab in final stages of testing. Scheduled for completion and launch 31/3/21.</p> <p>Further post rollout review to be undertaken 12 months after launch August 2021.</p>

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	<p>Training and skills development may be required for managers to ensure they follow the process.</p> <p>Room for BU to ensure consistency of approach in this area – ensuring competency and skills of managers are in place to manage attendance at work</p>	<p>December 2020 to review effectiveness</p> <p>As part of the development of the absence dashboard we have undertaken a number of training sessions for managers in how to use the dashboard along with a refresher on the councils managing attendance policy. 266 managers attended this training up to the point we went into lockdown.</p> <p>114 managers have not been on the training so training session has been recorded and is available on POD so that these managers can be trained and this will also be available as a refresher for managers who have already been on the training and any new managers who start with us moving forward.</p> <p>Post roll out review to be undertaken December 2020 to review effectiveness</p>	December 2020	Janine Hollingsworth	Completed
	Inconsistency in approaches adopted by Heads of Service. Check whether compliance maintained	HRBP's receive absence trigger emails which are then recorded on to the ER Tracker. HRBP's to follow up with services to ensure compliance with policy	Ongoing	HRBP's	Completed
Safeguarding Awareness	Need to reinforce who the Safeguarding Champions are (where appropriate) in other BUs (not Children's or Adults)				

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		Review the need for Safeguarding Champions within Business Units and general refresher awareness of safeguarding: <ul style="list-style-type: none"> • Appointment of Principal Social Worker • Review of Safeguarding Champions across BMBC by Principal Social Worker 	March 2021 June 2021	Julie Chapman	Interviews planned for 1 March 2021 for the PSW post – to hopefully have in post for June 2021 PSW role to review as a priority when in post in June 2021
Partnership, Relationship and Collaboration Governance	Need to develop a defined governance framework and improve reporting arrangements				
		Review the governance arrangements and reporting requirements for partnerships and collaborations and develop a defined governance framework with a corporate lead for partnerships and collaborations.	March 2021	Martin McCarthy	Review being scoped to commence in April.
Equalities and Inclusion	Review of profile and understanding of the Equalities and Inclusion agenda				
	Some Business Units felt that the importance of the Equalities and Inclusion agenda had diminished in recent years. Reference was made to the emerging Black Lives Matter (BLM) movement and the need for BMBC to be cognisant of this, comments on this aspect of governance were: <ul style="list-style-type: none"> • Feels like the importance of this aspect of governance has been eroded. • Possibility to benchmark BMBC with other LA's on this? • Corporately BMBC had a recent 	Revised equality and inclusion statement developed and loaded onto council internet site	September 2020	Helen Derbyshire	Completed
		Develop Religious Observance guidance to raise awareness of the different religious or cultural beliefs and ensure individuals can fulfil these wherever possible	October 2020	Zahid Qureshie	Completed
		Promote the availability of the courses 'The Uncomfortable Conversation' relating to Black Lives Matter as part of Black History Month in staff bulletins	October 2020	Kay Welbourne	Completed

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	<p>Equalities/Diversity Peer Review – this reflected very positively on the Council</p> <ul style="list-style-type: none"> • Ongoing problem with demographic data for Equality Impact Assessments • Relook at training plans in relation to BLM – been conversations in teams on this issue – need to offer more training to social workers and managers over next 12 month. This may be something that corporately BMBC should address. 	<p>and on social media</p> <p>Source Unconscious Bias training and include within the council’s E&I training offer</p> <p>Launch the training completions PowerBI dashboard which will show equality and inclusion training completed within business units and directorates with a view to increasing take up of these</p> <p>Undertake research with other Local Authorities on E&I governance and benchmark where possible</p> <p>Develop a communication campaign relating to equality and inclusion to promote all the activities listed above</p> <p>Implementation of Success Factors solution will help to improve the demographic data we hold relating to employees</p>	<p>November 2020</p> <p>November 2020</p> <p>December 20201</p> <p>December 2020</p> <p>Nov/Dec 2022</p>	<p>Amanda Glew</p> <p>Kay Welbourne</p> <p>Helen Derbyshire</p> <p>Amanda Glew / Kay Welbourne</p> <p>Helen Derbyshire</p>	<p>Completed – UB POD Course – communication campaign see below</p> <p>Completed – dashboard being raised with directorate to increase completions</p> <p>In progress – delay due to long term staff absence</p> <p>In progress – due for release Feb/March 2021 once details finalised. Renew Translation and Interpretation Supplier - finalised</p> <p>In progress Success Factors delayed until end of year. No interim solution available for data collection.</p>

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		Develop an equality and inclusion action plan (action included in the Organisation Development Strategy)	March 2021	Helen Derbyshire	In progress – will support new People Strategy
Monitoring Officer role awareness	Ensure awareness of role of Monitoring Officer given staff changes				
		Ensure the awareness of the role of the Monitoring Officer following recent staff changes – communication to all staff across BMBC	October 2020	Martin McCarthy	Completed