

Corporate Governance – Quarter 1 2012-13

1.1 SERVICE DASHBOARD

Revenue budget actual variance £000 ^[1]	Capital actual variance £000	Corporate Plan Performance	Managing the Business	People Performance management	Key projects
7	0	-1	3	0	n/a

1.2 TOP ACHIEVEMENTS AND ACTIONS

Top 3 Achievements	Top three challenges	Actions required
Implementation of committee papers system, providing a modern and efficient system for the back office and front end user	To meet and exceed FOI target.	Monitoring FOI's using the iCasework in order to respond to FOI's within the statutory time.
Implementation of iCasework to manage FOI requests	Contacting every household during the annual canvass & provide a personal canvass to every property where a response has not been received.	Sending out canvass forms, recruitment, training and performance monitoring of canvassers.
A review of a premises licence, following reports of sales of alcohol to under age customers, lead to revocation of the relevant, licence by the Licensing Sub-Committee. On appeal the Willesden Magistrates Court dismissed the Appeal and awarded costs of £2640 to Barnet Council	Implementing the Shared Legal Service arrangements between London Borough of Barnet and London Borough of Harrow, including the transfer of London Borough of Barnet's Legal Service staff to London Borough of Harrow.	<p>Communication with Officers within Barnet and with external stakeholders to ensure that Legal Services clients and external stakeholders are kept informed in the lead up to the transfer to prevent, so far as possible, disruption in the provision of Legal Services to the Council</p> <p>Continue process of meetings with key Barnet clients, the, current, Harrow Head of Legal - who will be the Head of Legal of the shared Legal Service – and the Barnet Acting Head of Legal in order to secure continuity of service provision in the lead up to and post the transfer.</p> <p>Share information and undertake regular staff communication.</p>

1.3 SUMMARY OF THE SERVICES PERFORMANCE

Corporate Governance are responsible for ensuring that the decision making structure is adhered to. The Governance Service therefore are required to maintain 100% in meeting statutory deadlines via Executive, Non-Executive and Scrutiny functions. Ensuring legal compliance across the Council particularly with regards to the decision making process and through the provision of high quality and impartial advice.

2. DELIVERING THE CORPORATE PLAN

2.1 How the service is performing against its Corporate Plan indicators (if it has any)

MTB NO	Indicator description	Period Covered	Previous outturn	Target	Numerator and Denominator	Outturn	Target Variance	DoT Variance	Benchmarking
MTB9	Percentage of FOI requests responded to within 20 working days	Apr 12 - Jun 12	75.3%	90.0%	297/387	76.7%	14.7%	▲ 1.9%	Legislation requires 100% within 20 working days

*The relevant previous outturn used will either be the previous quarter, or the same quarter of the previous year. The same quarter of the previous year will be used for annual indicators, cumulative indicators (where the numbers add up during the year and are reported as 'year to date') and if the indicator is affected by seasonal fluctuations.

The council is not meeting the statutory requirement to respond to FOI requests within 20 working days. At present the council is meeting two of the three threshold criteria for investigation by the ICO and unless directorates work to increase their response turnaround times we are in danger of receiving notification of action from the ICO. Improved performance is beginning to show following implementation of the new casework system. However, a backlog of cases remains and these need to be addressed as a matter of urgency by directorates. The SIRT team are monitoring and providing guidance to the services concerned.

A new casework management system (iCasework) was implemented in the first quarter of 2012. Implementation took place as planned on 1 April 2012. This has taken a little time to embed and to train relevant officers but feedback is positive and the response templates are especially welcome as they are helping to improve the council's consistency in responses across all directorates.

Performance has slightly improved in Q1 2012/13 over Q4 2011/12, with a rise of 2% in responses responded to within 20 working days. With the more advanced reporting functionality of the new system, the central team will be able to highlight earlier any issues or delays. As well as reporting the PI figure quarterly with a report to CDG, we will be producing monthly performance figures for Link Officers, Assistant Directors and Directors. The statistics will be addressed by the AD performance group who have picked up FOI performance as an issue to continue working on.

We will also be trialling a 'two week forward look', which will show the status of outstanding requests RAG rated to highlight those responses overdue or due very soon. The aim is for this to flag to managers that responses require resourcing before they fall overdue. Along with the more consistent responses encouraged by the response templates, this will improve the overall customer experience.

3. RESOURCES AND VALUE FOR MONEY

3.1 Revenue

Description	Variations				Comments	% Variation of revised budget
	Original Budget	Budget V1	Q1 Forecast 2012/13	Variation		
	£000	£000	£000	£000		
Legal Services	1,750	1,778	1,792	14		0.8%
Democratic Services	654	662	677	15		2.3%
Members	1,591	1,588	1,492	(96)	Due an under spend on members allowances and a vacant post	-6.0%
Corporate Anti Fraud Team	722	722	730	8		1.1%
Elections	421	421	507	86	Due to over spend on canvassing costs and a shortfall in grant claim received for the referendum	20.4%
Civil Protection	175	175	184	9		5.1%
Performance and Organisation Development	230	222	241	19		8.6%
Corporate Governance Directors	316	232	183	(49)	Underspend on salaries	-21.1%
Leaders Office	10	10	10	-		0.0%
Insurance	(10)	(10)	(9)	1		10.0%
Total	5,859	5,800	5,807	7		0.1%

3.2 Capital

	2012/13 Latest Approved Budget	Additions/ Deletions recommended to September CRC	Slippage / Accelerated Spend recommended to September CRC	2012/13 Budget (including September CRC)	Forecast to year end	Variance from Approved Budget	% slippage of 2012/13 Approved Budget
	£000	£000	£000	£000	£000	£000	%
Corporate Governance Projects	29	-	-	29	29	-	0%
Corporate Governance	29	-	-	29	29	-	0%

4. MANAGING THE BUSINESS

4.1 How the service is managing its business

	Indicator description	Period Covered	Previous relevant outturn	Target	Numerator and Denominator	Outturn	Target Variance	DoT Variance
Finance indicators	Percentage of savings achieved	Apr 12 - Jun 12	100.0%	100.0%	160/160	100.0%	0.0%	↔ 0.0%
	Percentage of the capital programme slipped	Apr 12 - Jun 12	93.5%	20.0%	0/29	0.0%	100.0%	▲ 100%
HR indicators	Reducing sickness absences to 6 days per employee (rolling 12 months)	Jul 11 - Jun 12	5.2	6.0	422.53/73.5	5.7	4.2%	▼ 10.6%
	Completion of individual performance reviews	Apr 11 - Mar 12	79.7%	100.0%	37/58	63.8%	36.2%	▼ 20%
Complaints	Percentage of complaints responded to within policy guidelines	Apr 12 - Jun 12	0.0%	80.0%	0/0	n/a	n/a	n/a
FOI	Percentage of FOI requests to the Corporate Governance Directorate responded to within 20 working days	Apr 12 – Jun 12	61%	90%	59/62	95.2%	5.7%	▲ 56%

The 100% target for completion of individual performance reviews was not met within the timescale in 2011/12. This has been identified as an area requiring improvement, and the 2012/13 performance review process will be closely managed by management teams at both directorate and service level.

4.2 Managing the business: People Performance management

Performance Indicator	Period covered	Target	Amber criteria	Q1 Actual (No.)	Q1 Actual % of total	Q1 (numerator/denominator)	Target Variance	Q1 DoT	Council Average	Benchmarking
Attendance										
Average number of absence days per employee (Rolling year)	July 11 - June 12	6	6 - 6.5	5.7	N/A	422.53/73.5	4.2%	▼ 10.6%	7.5	10.1 days (CIPFA, All Members & other Unitary Authorities 2011)
Average number of absence days per employee this quarter (target is seasonally adjusted)	April 12 - June 12	1.34	1.35 - 1.47	1.1	N/A	82/72.96	16.4%	▲ 25.3%	1.5	2.25 days (CIPFA, All Members & other Unitary Authorities 2011)
% managers submitting a monthly absence return	April 12 - June 12	100%	>90%	19	100.0%	19/19	0.0%	▲ 5.9%	89.1%	N/A : measure applicable to LBB only
Performance Review										
% performance reviews completed and agreed for eligible staff only	April 11 - March 12	100%	>90%	37	63.8%	37/58	36.2%	▼ 20%	82.8%	86% (CIPFA, All Members & other Unitary Authorities 2011)
% objectives set for eligible staff only	April 12 - March 13	100%	>90%	23	65.7%	23/35	34.3%	▼ 28.5%	74.6%	N/A : measure applicable to LBB only
Cost										
Variance of total payroll to budget	April 12 - June 12	£1,388,323	+/-5%	£1,683,728	21.3%	1683728/138832	-21.3%	▼ 75.8%	-0.4%	N/A : measure applicable to LBB only

Management Indicator	Period covered	Q1 Actual (No.)	Q1 Actual % of total	Q1 (numerator/denominator)	DoT Q1 %	Council average	Benchmarking
Diversity Data							
Percentage of top 5% earners that are female	As at 30 June 2012	4	80.0%	4/5	▼ 20.0	49.0%	Women in leadership posts 49.9% (CIPFA, All Members & other Unitary Authorities 2011)
Number of BME employees as % of total employees	As at 30 June 2012	25	36.2%	25/69	▼ 2.3%	32.1%	Black and Minority Ethnic local population 33.1% (State of the Borough June 2011)
Number of declared disabled staff as % of total employees	As at 30 June 2012	2	2.6%	2/76	▼ 1.2%	2.8%	2.33% (CIPFA, All Members & other Unitary Authorities 2011)
Employee Relations							
High Risk - Employee Relations cases as % of total cases	As at 30 June 2012	3	42.9%	3/7	— 0.0%	11.5%	N/A : measure applicable to LBB only

The Directorate has considerably improved its absence reporting by managers submitted nil returns and the average number of days absence in the quarter and rolling year are both rated Green.

The department has seen a lot of internal changes over the last quarter given the imminent transfer of Legal staff to Harrow and the necessity to backfill posts on a short term basis. This complicated the sign off of appraisal reporting in SAP.

As at 30 June 2012	ESTABLISHED POSITIONS AS FTE		EMPLOYEES COVERING ESTABLISHED POSITIONS AS FTE			MSP RESOURCE AS HEADCOUNT	NON MSP RESOURCE AS Headcount			AVAILABLE CASUAL RESOURCE AS FTE
	Total Established Positions (FTE)*	Occupied (FTE)	Permanent	Fixed Term, Temporary, Seasonal	TOTAL	TOTAL	Resource paid in the quarter	Consultants paid in the quarter	TOTAL	Total
Corporate Governance	88.69	71.94	62.96	10.00	72.96	6	3	1	4	1.00

Across the Directorate there has been very little turnover of staff, there has been some expected planned leavers through the use of fixed term contracts, and a greater number of resignations. However, there has been continuity of service at the team level. The service provided to the organisation has not been affected by turnover.

Overall the most appropriate rating for the stability of the Directorate is Green:

- Low risk to the council in terms of efficiency and continuity of service.
- Service Directors and/or their deputies do not have concerns about stability
- The stability requirement within areas of the service is not causing concern and is sustainable across the service.

4.3 Key projects

There are no red rated projects in this service in quarter 1.

4.4. Risk Overview

The following is the 5 X 5 matrix 'heat map' highlighting the number of risks at a Directorate Level and where they are currently rated:

SCORE		IMPACT				
		1	2	3	4	5
		Negligible	Minor	Moderate	Major	Catastrophic
PROBABILITY	5 Almost Certain	0	0	0	0	0
	4 Likely	0	0	1	0	0
	3 Possible	0	1	3	1	0
	2 Unlikely	0	1	1	0	0
	1 Rare	0	1	5	0	0

Risk Commentary for Corporate Governance:

The risks noted within the section are unlikely to change their risk profiles during the year particularly in respect to statutory functions within the service.

Where risks are identified with statutory requirements risks are long term and well managed.

Implementation of replacement FOI and committee paper systems is strengthening internal processes, lowering the risk to outcomes and will continue to influence the impact probability rating. Functionality of the committee paper system will contribute further to efficient processes.

Risk scores to be reviewed post full system implementation

The following risk register lists those risks rated as 12 and above:

Risk	Current Assessment Impact Probability Rating			Control Actions	Risk Status	Target Date (Priority)	Target Assessment Impact Probability Rating		
CG0016 - Business Continuity Critical services will not be delivered during a business continuity incident. Corporate BC not resourced to level to satisfy minimum strategy requirements.	Major 4	Possible 3	Medium High 12	As part of interim management review, staffing resources being considered. Temp Corporate BC Lead cover in Executive Office Meeting JL/PL 05.07.12 Identify Deputy cover for Olympics	Treat	01/08/2012 (High)	Moderate 3	Rare 1	Low 3

Risk	Current Assessment			Control Actions	Risk Status	Target Date (Priority)	Target Assessment		
	Impact	Probability	Rating				Impact	Probability	Rating
				Corporate Gov BC Lead Weekly meetings JL/PL to be arranged Daily Olympic briefs JL/CC to discuss <i>In Progress (20% complete)</i>					
CG0026 – Shared Legal Service The council is entering into a shared legal service arrangement with the L-B-Harrow. There is a significant amount of preparatory work to be carried out in the time remaining prior to the transfer of staff to L-B-Harrow. The risk is of a disruption in business continuity in the lead up to the transfer whilst staff prepare for the transfer and also post the transfer whilst the new shared service adjusts to providing legal services to Barnet council and Barnet council adjusts to receiving legal services from a service provider located on a different site. Further, members of the legal staff have left Barnet in recent weeks and this risk is heightened by the possibility of further staff departures in the lead up to the joint legal service going live.	Moderate 3	Likely 4	Medium High 12	Locum staff are in place supporting the legal team in the lead up to the shared service going live. The Head of Legal in Harrow is spending time in Barnet meeting with legal staff and client officers. During these meetings, discussions are taking place regarding client requirements for legal services both now and post the commencement of the shared service arrangement. She has, also, had 1-1s with Legal staff. In addition, regular discussions are taking place between the Head of Legal in Harrow and the Acting Head of Legal in Barnet and work is continuing to scope Barnet's continuing requirements for legal services. The Acting Head of Legal in Barnet and the Divisional Manager/Acting Divisional Managers are continuing to work with legal staff and with client officers ensure, so far as possible, that there is little or no disruption to the provision of service in the lead up to 'Go Live'.	Tolerat e	01/08/2012 (High)	Moderate 3	Likely 4	Medium High 12