



GA.60 16/17

Governance & Audit
Committee

Date: 18th April 2017

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Subject: Periodic review of the Annual Governance Statement Action Plan 2015/16

Report by:

Ian Knowles, Director of Resources

Contact Officer:

Business Improvement & Corporate Governance
Manager

Purpose / Summary:

To review the progress with the Annual
Governance Statement 2015/16 Action Plan.

RECOMMENDATION(S):

- 1) That Members seek assurance that the current position of the Annual Governance Statement Action Plan for 2015/16, will result in the completion of all relevant actions by July 2017.

IMPLICATIONS

Legal: The Annual Governance Statement details compliance with the Accounts and Audit Regulations 2003 as amended by the Accounts and Audit Regulations (amendment) (England) Regulations 2011.

Financial: FIN 150/17 Actions included in the Annual Governance Statement will be covered by existing resources.

Staffing: The action plan details the staff that are responsible for specific actions

Equality and Diversity including Human Rights: None

Risk Assessment: Risk management arrangements are part of corporate governance and issues raised under the arrangements were included within the Annual Governance Statement for this period.

Climate Related Risks and Opportunities: None

Title and Location of any Background Papers used in the preparation of this report:

Call in and Urgency:

Is the decision one which Rule 14 of the Scrutiny Procedure Rules apply?

Yes

No

X

Key Decision:

Yes

No

X

1. Information

- 1.1 The Annual Governance Statement is the formal statement of the quality of the Council's governance arrangements, in accordance with the Accounts and Audit (England) Regulations 2011.
- 1.2 The Governance and Audit Committee in July 2016 agreed the Annual Governance Statement for 2015/16 and noted that an action plan would be put in place and monitored by the Committee to address the significant issues.

2. Significant Issues 2015/16

- 2.1 The significant issues that were identified for development were:
 - Strategic & Spatial Planning
 - Development Management
 - Strategic Programme Delivery
 - Information Governance & Security
 - Intelligent Clienting
 - Selective Licensing

3. The Action Plan

- 3.1 The Action Plan is attached and shows the current position with work designed to resolve the issues that have been identified.
- 3.2 The Plan references the progress made in respect of Development Management and the oversight and scrutiny provided by the Challenge & Improvement Committee who have received regular update reports from the service. The introduction of the Selective Licensing Scheme has been successful; with a greater degree of take-up than previously envisaged. In respect of Information Governance, a follow-up audit into Incident Management has reported a finding of substantial assurance and many associated policies have been revised.
- 3.3 At present it is envisaged that all matters will be appropriately addressed by their respective due dates.

Title	Description	Action	Current Position	Date Due	BRAG	Revised Date	Officer
Strategic & Spatial Planning	Upon completion of the Local Plan and in light of the Greater Lincolnshire focus on strategic and spatial planning, we need to ensure West Lindsey's growth needs and strategic planning duties are understood and addressed to include duty to co-operate with all relevant strategic planning areas including all Nottinghamshire authorities	To undertake review of future options and develop a strategy for delivery	1. Examination end December 2016 2. Modifications process January 2017 3. Adoption 24 April 2017	31/07/17	Green		Mark Sturgess
Development Management	To ensure issues relating to capacity; performance and customer care are addressed and sustainable improvements are realised	1. Ensure adequate capacity and skills within the service 2. Ensure performance reporting is robust and reliable 3. External independent assessment of performance reporting is provided 4. Deliver measurable and sustainable improvements in customer care	1. Team Manager appointed and other key positions filled 2. Further audit to be undertaken by Internal Audit Q1 17/18 reporting year. 3. Performance measures in place and scrutiny and review processes in place 4. Improvement Plan update provided for C&I for 13th October 2016 - final progress report provided March 2017.	31/07/17	Green		Mark Sturgess
Strategic Programme Delivery	An extensive capital programme has been agreed and we therefore need to ensure that robust and appropriate governance arrangements are implemented to oversee its delivery and financial management governance and other strategic considerations e.g. stakeholder engagement are adequate to support complex change	1. Establish regular monitoring via Entrepreneurial Board. 2. Report to Members via Quarterly Finance Monitoring reports 3. Ensure each project follows the project management framework 4. Exception reporting through Progress & Delivery reports of projects not performing as expected 5. Annual review as part of year end closedown	1. Entrepreneurial Board in place 2. Progress & Delivery and Quarterly Finance Monitoring reports in place. 3. Project methodology in place and adherence monitored. 4. Review of Boards undertaken with emphasis on delivery of key strategic programmes in support of Corporate Plan delivery	31/07/17	Green		Ian Knowles
Information Governance & Security	To ensure that appropriate controls and polices are in place to provide on-going mitigation for the Council against the risk of cyber-crime and/or leakage of data and information	1. Implement revised Information Governance Strategy 2. Refresh Information Security Policy 3. Develop and deliver training programme 4. Achieve PSN compliance 5. Follow-up ICT Incident Mgt Audit to be conducted Q3.	1. Strategy produced 2. Work underway to revise Security Policy reviewed. Many other policies refreshed 3. DPA training completed. Further elements planned. 4. PSN submission issued to Cabinet Office 5. ICT Incident Mgt Audit completed - substantial assurance finding received 6. Work plan developed for introduction of GDPR by May 2018.	31/07/17	Green		Ian Knowles
Intelligent Clienting	To address the recognised issues across the CBL partnership and develop improved processes for customers and to review similar areas where good practice exists and apply learning to similar circumstances across the organisation	1. Improve effectiveness of nominations through CBL 2. Improve effectiveness of CBL partnership 3. Address issues relating to the CBL IT system 4. Strengthen CBL related contractual arrangements 5. Formalise CBL recharge arrangements 6. Improve quality of Housing register data 7. Formalise Housing Register related performance monitoring 8. Introduce Nominations and CBL Performance Monitoring 9. Request Internal Audit review of subject matter	1. Weekly monitoring in place undertaken by a post jointly funded by ACIS. 2. Review undertaken of ToR of CBL partnership using guidance set out in WLDC ACoP and new policy produced. 3. Review of legal requirements of CBL partnership completed and position fully understood. 4. IT system rebuilt but still not effective. Exploration of alternative system underway. 5. Sampling of case data undertaken by monitoring officer. 6. Performance measures regularised and monitoring process in place 7. Follow-up audit to be scheduled	31/07/17	Green		Mark Sturgess

Selective Licensing	To review the implementation, monitoring and initial performance of the selective licensing project in the Gainsborough South West Ward.	1. To deliver a selective licensing scheme in the SWW of Gainsborough	1. Scheme implemented from 18/7/16 2. Communication with landlords on-going 3. Enforcement to commence from 01/04/17	31/07/17	Green	Mark Sturgess
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