

Quarterly summary of progress with AGS risk actions – to SMF 31.8.17 And Audit Committee 19th September 2017

Significant current issues from 2016/17 in focus in 2017/18.

The risk actions below were identified in the 2016/17 AGS review. Progress will continue to be made in 2017/18, monitored and driven forward by the Service Managers Group.

Please note that as part of the last AGS it was determined that:

- Health & Safety – Framework for risk assessment: was defined green status 4/4/17 and thus has been removed
- Health & safety – Responsible officers: Procedural requirements in place, no further risks identified during AGS process. Has now been removed
- Information Management and IT disaster recovery both remain as issues, but significant progress has been made on each
- Two areas to ‘watch’ identified – Partnership companies (set up especially) and LPMM compliance

	What actions will be taken over the coming months	What progress have we made against each action	RAG Status
Information Management: Becky Scott	<p><i>2016/17 AGS narrative: During 2016/17 significant progress has been made on delivering the Information Management training programme – but it is still not yet quite complete, although this is now expected to be completed by July 2017. We need to ensure we comply with the GDPR by May 2018.</i></p> <p>RED to AMBER:</p> <ul style="list-style-type: none"> • Training programme to be concluded by July 2017 <p>AMBER to GREEN:</p> <ul style="list-style-type: none"> • Ongoing training programme implemented and training materials finalised • Privacy Impact Assessment procedure rolled out • Review of all existing contracts and partnerships for information sharing arrangements • Any additional work to ensure compliance with the European Data Protection Regulation due to be in force May 2018 	<p>The Information Governance Officer has delivered generic and tailored training to each team. An Information Asset Owner Handbook has been prepared and circulated with the first training undertaken, with the second scheduled for September. The E-learning programme continues to be rolled out to teams. Further actions are contained in the Information Management Action Plan and Management Plan and monitored by Audit Committee/AD Group, which is on target to implement the GDPR Project by May 2018.</p>	<div style="background-color: yellow; width: 30px; height: 30px; margin: 0 auto; line-height: 30px;">A</div>

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IT Disaster Recovery Matt Smith	<p><i>2016/17 AGS narrative: Arrangements to cover major events are well underway with a secondary ICT location established and tested and fully functional at Hamilton House. A draft ICT Disaster Recovery Plan has been written and is now being tested against Corporate Business Continuity plans. The final plan needs to be agreed by the Business Continuity Group to complete this exercise.</i></p> <p>RED to AMBER:</p> <ul style="list-style-type: none"> Construction of a secondary data centre at Hamilton House - complete <p>AMBER to GREEN:</p> <ul style="list-style-type: none"> Revisit all Business Continuity Plans – commence January 2017 ICT DR Plan is being developed for Business Continuity Group and requires feedback following review of business Continuity plans. These will be worked on concurrently, to complete by June 2017. ICT DR Plan to be considered and reviewed for changes and or future requirements 	<p>Progress on the ICT DR Plan is being developed for Business Continuity Group. -2-1's held with service areas with a table top exercise to be scheduled in 2018</p> <ul style="list-style-type: none"> Draft DR Plan complete and reviewed by BC group. Plan to be considered by CMT by October Consultation with service areas complete Audit on plan/BC issues almost complete <p>Business Continuity: Terms of Reference, Policy and Strategy have been updated and signed off at the BCP meeting held in August 2017.</p> <p>The corporate BCP was updated in January 2017 and scheduled for annual review January 2018.</p> <p>There are 22 service area plans of which 17 have been reviewed and updated with 5 out for review/consultation with following service areas:</p> <ul style="list-style-type: none"> Housing Solutions Housing Repairs/ Emergency Repairs Housing Landlord Street Cleansing/Abandoned Vehicles Electoral <p>Key partner organisation BCP's have been reviewed: Continental; Aaron; Kier; Jewson; Travis Perkins; Cory; Gelders</p> <p>Emergency Planning: The current emergency plan has been reviewed. This will be going into CLT and CMT for approval in July/August.</p> <p>Training arranged for Tactical (10th Oct) and Flows (Oct and Nov) prior to Christmas Market event. The training will also emphasise the use of Resilience Direct from the LRF. Building/evacuation procedures will be tested on 11/09/17 with a table top exercise for co-ordinators.</p>	<div style="background-color: yellow; border: 1px solid black; text-align: center; width: 30px; margin: 0 auto;">A</div>

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Other areas to retain a focus on during 2017/18 but are not classed as 'significant issues';			
Partnership companies	<i>The council has little experience of the process of setting up a new partnership company (solely owned or a joint venture) and care needs to be taken to select the right governance framework arrangements, ensuring appropriate formal legalities and financial aspects are in place.</i>	<p>The proposed Housing Company - the latest position is that:</p> <ol style="list-style-type: none"> 1) Executive made a decision in principle to establish a company in February 2016 subject to work on a detailed business plan. 2) By January 2017 we had the business plan and CMT and the leader had given approval for the company to be progressed subject to General Fund due diligence work i.e. the effect of the company on the General Fund finances, risks and capacity now and in the future. 3) This was originally commissioned in February 2017 and reported in mid late March but concerns were raised that the work was of poor quality. 4) A further report has now been received suggesting some tweaks to the business plan but affirming that the plan is basically sound. 5) CX/DHR to reconvene in order to confirm the next steps. <p>At this point there are no other new ventures in the immediate frame, but the TFS Board has received a general report from the Finance consultant which contained views on when it is appropriate to consider using a partnership company and what safeguards to consider</p>	G
Loss of compliance to Lincoln Project Management Model	<i>Project management monitoring arrangements are currently under review. Any changes will need to include a mechanism to ensure ongoing compliance with the Lincoln Project Management Model</i>	<p>A report on the options for the future of the Strategic Plan Implementation Team has been prepared and will be reviewed by CMT and CLT in September. This will involve ensuring that the financial monitoring and the operational aspects of project management are both considered for all defined projects.</p> <p>This is likely to involve a review of the Lincoln Project Management Model at some stage, but in the meantime, processes are in place to ensure that the current LPMM is adhered to.</p>	G