

**Quarterly summary of progress with AGS risk action  
To Audit Committee 14<sup>th</sup> June 2018**

**Significant current issues from 2017/18 to focus on in 2018/19.**



The risk actions below were identified in the 2017/18 AGS review. Progress will continue to be made in 2018/19, monitored and driven forward by the Service Managers Group and reported to Audit Committee quarterly.



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

- Information Management and IT disaster recovery: significant progress has been made and the decision was taken that this is no longer significant
- Three new areas to 'watch' identified – WGC governance arrangements; use of professional advice and Housing Responsible Officer duties

	What actions will be taken over the coming months	What progress have we made against each action	RAG Status
<p><b>Information Management:</b></p> <p><b>Legal and Democratic Services Manager</b></p>	<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><b>RED to AMBER:</b></p> <ul style="list-style-type: none"> <li>• Training programme to be concluded by July 2017</li> </ul> <p><b>AMBER to GREEN:</b></p> <ul style="list-style-type: none"> <li>• Ongoing training programme implemented and training materials finalised</li> <li>• Privacy Impact Assessment procedure rolled out</li> <li>• Review of all existing contracts and partnerships for information sharing arrangements</li> <li>• Any additional work to ensure compliance with the European Data Protection Regulation due to be in force May 2018</li> </ul>	<p>The Information Governance Officer has delivered generic and tailored training to each team. An Information Asset Owner (IAO) Handbook has been prepared and circulated with the first training undertaken in Q1, and the second in September. IAO's now have a checklist to complete, following further training which was carried out in February 2018. Contracts data is currently being reviewed.</p> <p>The E-learning programme continues to be rolled out to teams, and AD's are now chasing individual staff members who have not yet completed the training. Further actions are contained in the Information Management Action Plan and Management Plan and monitored by Audit Committee/AD Group, which is largely on target to implement the GDPR Project by May 2018.</p>	<div style="border: 1px solid black; width: 30px; height: 30px; background-color: yellow; margin: 0 auto; display: flex; align-items: center; justify-content: center;"> <span style="font-weight: bold; font-size: 1.2em;">A</span> </div>

**Other areas to retain a focus on during 2017/18 but are not classed as 'significant issues';**

	What actions will be taken over the coming months	What progress have we made against each action	RAG Status
<b>Partnership companies</b>	<p><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>	<p>The proposed Housing Company - the latest position is that:</p> <ol style="list-style-type: none"> <li>1) Executive made a decision in principle to establish a company in February 2016</li> <li>2) January 2017 there was approval for the company to be progressed subject to General Fund due diligence work</li> <li>3) The full Business Case was presented to Policy Scrutiny on the 28<sup>th</sup> November and approved by Executive on 18<sup>th</sup> December 2017</li> <li>4) Lincoln Quality Homes to be set up during 2018 (this is delayed due to the retirement of the Housing Director in March 2018)</li> </ol> <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>	
<b>Loss of compliance to Lincoln Project Management Model</b>	<p><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>	<p>A report on the options for the future of the Strategic Plan Implementation Team (SPIT) was reviewed by CMT and CLT in September 2017. This involved ensuring that the financial monitoring and the operational aspects of project management were both considered for all defined projects.</p> <p>A full review of the Lincoln Project Management Model has been completed and now incorporates agreed changes to move from the current SPIT team to a new Capital Programme Group (CPG), which will monitor all capital projects in detail – along with additional responsibilities to be undertaken by all Programme Boards and Project Sponsors.</p> <p>SPIT sat for the last time in March 2017 and a final Q4 outturn report was produced for Performance Scrutiny and Exec.</p>	

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		The new processes will be communicated widely in early June with a new training programme developed for all Project Sponsors, Project Managers and other relevant staff, to be rolled out after that	
<b>Western Growth Corridor</b>	<i>Western Growth Corridor - to ensure that effective governance is maintained as the project develops further</i>	Actions to be agreed	
<b>Use of professional advice</b>	<i>Continually ensure that appropriate and timely professional advice is sought on key projects, policies and decisions</i>	Actions to be agreed	
<b>Responsible Officers</b>	<i>Ensure that the remaining Responsible Officer duties within the Housing services are fully rolled out during 2018/19</i>	Actions to be agreed	