

**SUBJECT: ANNUAL GOVERNANCE STATEMENT MONITORING**

**DIRECTORATE: CHIEF EXECUTIVE AND TOWN CLERK**

**LEAD OFFICER: PAT JUKES, BUSINESS MANAGER, CORPORATE POLICY**

## 1. Purpose of Report

- 1.1 To present a progress update on the area identified as a 'significant governance issue' as set out in the 2017/18 Annual Governance Statement (AGS).

## 2. Executive Summary

- 2.1 The Audit Committee has a role to review the Council's governance arrangements including the production of the Annual Governance Statement.

This report provides details of the monitoring arrangements for the significant internal control issue raised in the latest AGS.

In addition the report highlights and reports on five areas that whilst not considered significant issues, have been designated as 'Areas of interest' – that is areas that have been subject to change or would benefit from having a governance overview.

## 3. Background

### 3.1 Monitoring of the 2017/18 AGS Issue

The updates on the significant issue identified within the 2017/18 AGS are included within **Appendix A**

This is monitored by the Service Manager's Group and overseen by Corporate Leadership Team as well as monitored at the Audit Committee.

## 4. Summary of Findings

There is now just one significant issues remaining – which is now considered, by the responsible officer to be amber.

- Information Management - Excellent progress was made in delivering the initial Information Management training programme and in preparing for the General Data Protection Regulations in May 2018. The Data Protection Impact Assessment procedure was rolled out to staff, privacy statements have been completed and Information Asset Owner (IAO) training completed. IAO checklists have been reviewed and are due back by the end of September

There are five other areas that the AGS made a recommendation to retain a focus

on. All of these currently remain at green status:

- Partnership Companies - There is a single proposal at this point for the Housing Company, which was approved by Executive in December 2017, but is currently on hold until the Director of Housing position is filled permanently
- Compliance to the Lincoln Project Management Model is being monitored following the transition period from the SPIT group to the new Capital Programme Group, Project Sponsors and the Vision Groups
- Western Growth Corridor – as the biggest project the council has ever undertaken, we need to ensure that governance is effective and efficient
- Use of professional advice – proposed improvements to ensure that sufficient time is allowed to consult with experts in appropriate areas – especially finance and legal
- Some Housing Responsible Officer duties were not completely rolled out and a plan has been developed to complete this work

## **5. Strategic Priorities**

This report does not focus specifically on any of the four Vision 2020 priorities, but does contribute significantly towards the High Performing Services aspect which underpins these aspirations.

## **6. Organisational Impacts**

### **6.1 Finance (including whole life costs where applicable)**

There are no direct financial implications arising as a result of this report.

### **6.2 Legal Implications including Procurement Rules**

There are no direct legal implications.

### **6.3 Equality, Diversity & Human Rights**

There are no direct E and D implications arising as a result of this report.

## **7. Risk Implications**

### **7.1 (i) Options Explored - n/a**

(ii) Key risks associated with the preferred approach - n/a

## **8. Recommendation**

### **8.1 Audit Committee is asked to note the report and consider whether any of the following options are relevant :-**

- Report and make recommendations to the Executive if appropriate.
- Refer any matter under review they feel appropriate to the relevant Portfolio Holder, Scrutiny Chair or Committee.
- Seek responses from Officers on matters arising to be submitted to the next Audit Committee on any of the issues raised within this report or associated Appendices.
- Accept the report and continue to monitor arrangements.

**Key Decision**

No

**Do the Exempt Information Categories Apply?**

No

**Call in and Urgency:** Is the decision one to which Rule 15 of the Scrutiny Procedure Rules apply?

No

**How many appendices does the report contain?**

One

**List of Background Papers:**

None

**Lead Officer:**

Pat Jukes, Business Manager, Corporate Policy  
Ext 3657