

## Quarterly Summary of Progress with AGS Risk Action to Audit Committee 11<sup>th</sup> December 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>2017/18 AGS narrative: During 2017/18 significant progress has been made towards achieving the aim of being fully compliant with General Data Protection Regulation (GDPR) by the implementation date in May 2018. However there remain a number of areas still in progression and due to the seriousness of non-compliance, until these are completed, this area will remain a significant issue</i></p> <p><b>AMBER to GREEN:</b></p> <ul style="list-style-type: none"> <li>• Ongoing Information Governance Plan and Strategy to be devised and approved in working group.</li> <li>• Privacy Impact Assessment procedure currently being improved upon following consultation with users.</li> <li>• Continuation of review of Personal Data beyond retention for deletion particularly in systems.</li> <li>• Continuation of expanding upon our Corporate Asset Register and Records of Processing.</li> </ul>	<p>Data Protection Officer recruited and appointed March 18.</p> <p>The Information Governance Team devised and implemented a GDPR Action Plan and Working Group prior to GDPR coming into force 25 May 18. Some actions are ongoing including Contracts and partnerships review to include GDPR clauses.</p> <p>Original Data Protection Impact Assessment procedure rolled out to staff prior to May 18.</p> <p>Council customer privacy policy consulted on with staff and published on website May 18.</p> <p>Access to personal information requests procedures updated to reflect new rights for Data Subjects.</p> <p>GDPR Policy drafted, approved and rolled out for all staff to acknowledge through net-consent system May 18.</p> <p>All Information Management Polices reviewed, updated and approved May 18.</p> <p>E-learning for Data Protection up to 90% completion rate for all</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>

	What actions will be taken over the coming months	What progress have we made against each action	RAG Status
	<ul style="list-style-type: none"> <li>Finalisation of contracts and partnerships review for GDPR clauses and information sharing arrangements.</li> <li>Any additional work to ensure ongoing compliance with the Data Protection Act 2018 and GDPR</li> </ul>	<p>staff as at June 2018 and rising.</p> <p>Information Asset Owner training has been completed and IAO annual checklists rolled out. First checklists returned by IAO's Sept 2018.</p> <p>GDPR guidance provided to all Members May 2018 and full training for new members. Member training took place on 11.10.18 and all members received copies of the training and guidance. A follow up session for members unable to attend the face to face training is being offered again in Jan 2019.</p>	

**Other areas of interest - to retain a focus on during 2018/19 but not classed as 'significant issues';**

	Areas of interest	Latest update	
<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>At this point the only proposed new Company is the Housing Company. This has been put on hold until the appointment of a new Housing Director, who will decide on the need.</p> <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>	<p>The proposed Housing Company - the latest position is that:</p> <ol style="list-style-type: none"> <li>Lincoln Quality Homes was originally planned to be set up during 2018 (this was delayed due to the retirement of the Housing Director in March 2018).</li> <li>The new Strategic Director of Housing &amp; Investment has been appointed and once full hand over has been completed will plan in the review of whether or not this is to be carried forward.</li> </ol>	<b>G</b>
<b>Loss of compliance to Lincoln Project Management</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</p>	<p>A full review of the Lincoln Project Management Model has been completed and now incorporates agreed changes to move from the old 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>	<b>G</b>

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	Areas of interest	Latest update	
<b>Model</b>	<p>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>SPIT sat for the last time in March 2017 and a final Q4 outturn report was produced for Performance Scrutiny and Exec.</p> <p>The new Capital Programme Team has been instigated and sits on a regular basis since April 2018</p>	<p>The new processes were communicated widely in June with a new training programme developed for all Project Sponsors, Project Managers and other relevant staff, rolled out through August and September.</p> <p>A new Project Register has been developed which holds the key initiation details of all Strategic and Capital projects as well as the main service projects. This is reviewed at DMT's and Vision Boards.</p> <p>A PIR on the LPMM will be conducted in 2019 once the processes have bedded in.</p>	
<b>Western Growth Corridor</b>	<p><i>Western Growth Corridor - to ensure that effective governance is maintained as the project develops further</i></p> <p>This is the biggest project ever undertaken by the City of Lincoln Council, so the governance around all aspects of the delivery needs to be tight and effective. Risk will be considered from every angle.</p> <p>The Lincoln Project Management Model covers all sizes of projects and includes special advice for Mega projects.</p>	<p>The WGC Programme Board is in place – which now includes all of CMT, thus meeting the new LPMM recommendations.</p> <p>There are Sub Groups of the Programme Board for Financial viability and for Legal aspects, and others will be created as and when necessary</p> <p>A full internal project plan is in use, as well as an external design team project plan</p> <p>Regularly updated risk registers developed which is tabled at Programme Board at significant milestones</p>	<b>G</b>
<b>Use of professional advice</b>	<p><i>Continually ensure that appropriate and timely professional advice is sought on key projects, policies and decisions</i></p> <p>It is particularly important that when reports are taken to Members for decisions, they have full information on all relevant aspects.</p>	<p>A new Committee Report Template has been developed and communicated from Democratic Services to remove some duplication and to clarify the expectations of report writers</p> <p>Reports will not be accepted that have not allowed an appropriate period for consultation by the key areas – especially</p>	<b>G</b>

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	Areas of interest	Latest update	
	<p>To enable this to be completely up to date consultation is carried out with key departments as part of the report preparation. This consultation must allow sufficient time for individuals to assimilate the possible effects/costs etc. and respond</p> <p>If an Equality analyses is not deemed necessary, an equality statement should be made on all decision reports in the appropriate section</p>	<p>Finance and Legal.</p> <p>Legal and Finance representatives are to sit on all key Project/Programme Boards</p>	
<p><b>Responsible Officers</b></p>	<p><i>Ensure that the remaining Responsible Officer duties within the Housing services are fully rolled out during 2018/19</i></p> <p>The Tree of responsibility identifies all Responsible Officers responsible for the day to day management and safety of designated property or land within the HRA.</p> <p>The HRA are in the process of replicating work undertaken across all other assets assisted by CH&amp;S</p> <p>The aim is to complete the main stages – up to Job description changes by <b>December 2018</b>. However it should be noted that all activities are still being carried out currently.</p>	<p>CMT have requested (October) that a short-life working group is established consisting of 2x AD's, 2 x CH&amp;S and Property Manager. CHS have consulted with all stakeholders and draft list of HRA RO's/ROSS's has been agreed.</p> <p>An action plan is in place to identify all appropriate assets and land. CHS still requires input from other areas to identify a definitive list of operational land.</p> <p>A draft DHR manual is now completed with just minor additions now required.</p> <p>A gap analysis of training will be conducted by CH&amp;S and subsequently training will be facilitated by HRA team. A meeting has been arranged - CHS &amp; DHR Training Coordinator to identify training needs 19/11/18.</p> <p>Job descriptions to be amended to include formal responsibilities. Further JD's requested from HR. Housing Business Services team to insert standard paragraphs into all relevant JD's.</p>	<p style="text-align: center;"><b>G</b></p>