

<b>SUBJECT:</b>	<b>ANNUAL GOVERNANCE STATEMENT MONITORING</b>
<b>DIRECTORATE:</b>	<b>CHIEF EXECUTIVE AND TOWN CLERK</b>
<b>LEAD OFFICER:</b>	<b>PAT JUKES, BUSINESS MANAGER, CORPORATE POLICY</b>

## 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 issue remaining – which is now considered, by the responsible officer to be amber.

- Information Management – As indicated in earlier reports, we had an excellent preparation for the implementation of the General Data Protection Regulations in May 2018. Member training was offered in October 2018 and January 2019.

The main outstanding actions now are in regards to whether our contractors are all applying GDPR to the same standards as we are. All new contracts and renewals have GDPR clauses. Existing contracts are being updated and reviewed based on risk.

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 – Following the announcement In October 2018 that the HRA borrowing cap would be removed, there is no longer a compelling need for the creation of a housing company, which was our only proposed Partnership Company
- Compliance to the Lincoln Project Management Model was monitored through the transition period from the SPIT group to the new Capital Programme Group, Project Sponsors and the Vision Groups. A Project Implementation Review is being planned for the summer 2019
- Western Growth Corridor – as the biggest project the council has ever undertaken, we need to ensure that governance is effective and efficient. Processes are in place to ensure this is so including for the next stages to follow in 2019
- Use of professional advice – A new committee report template is in place to improve the collation of key data and as above Legal and Finance representatives are to sit on all key Project/Programme Boards
- Some Housing Responsible Officer duties were not completely rolled out and a plan has been developed to complete this work. A bespoke HRA handbook has been drafted and training plans are progressing. The scheduled end date has now moved to April 2019

## **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**

The Public Sector Equality Duty means that the Council must consider all individuals when carrying out their day-to-day work, in shaping policy, delivering services and in relation to their own employees.

It requires that public bodies have due regard to the need to:

- Eliminate discrimination

- Advance equality of opportunity
- Foster good relations between different people when carrying out their activities

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
  - 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:**

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