

Report of	Meeting	Date
Monitoring Officer	Governance Committee	Wednesday, 17 January 2024

AGS Management Actions Update

Is this report confidential?	No
------------------------------	----

Purpose of the Report

1. To update Committee on the progress of implementation of management actions agreed within the Annual Governance Statement.

Recommendations

2. That progress be noted.

Reasons for recommendations

3. The management actions identified provide enhancements to the council's governance framework. Monitoring of the implementation by Committee and understanding progress, provides assurance in relation to the governance environment.

Other options considered and rejected

4. None.

AGS Management Actions

5. The AGS is a key document that reviews the governance environment of the council and identifies common areas of corporate improvement. These are formed into management actions and Senior Management Team allocated responsibility for their progress and implementation.
6. Corporate Governance Group have responsibility for monitoring the management actions and overseeing their works. Part of this monitoring is to receive reports extracted from GRACE showing progress and make recommendations to improve implementation where necessary. This update was reported to CCG in December 2023.
7. The table below confirms the action, the responsible officer and progress against implementation date.

Risk Description	A/P Description	Actions
Failure to Achieve organisational Improvement due to non implementation of agreed audit actions	Improve percentage implementation rates of service management actions agreed with Internal Audit.	Reporting to CGG DMT monitoring proposed to SMT and added to enhanced DMT Template
Failure to ensure plans are accessible and tested regularly.	Business Continuity Plans to be held using the dedicated system and allocated Category A and B Services. Testing exercise of the Business Continuity Plans to be undertaken.	Most BCP now been updated and received Exercise due to take place in January Action – SMT asked to Prioritise these returns
There has not been a comprehensive review of the constitution since 2018. Whilst individual sections have been updated, changes to the staffing structure of the organisation and the impacts of this need to be incorporated into the constitution. Failure to implement the changes will lead to confusion in relation to responsibilities for officers and public and lack of transparency in the delivery of functions.	Constitution to be reviewed and updated where applicable. This is to specifically include the Financial Procedure Rules and Scheme of Delegation.	CBC review due to be completed early 2024 and presented to Governance Committee for approval. Fin Regs / CPRs – review deferred pending bring new procurement legislation into force. Code of Conduct – new code presented to CBC for approval – decision to form working group to address specific concerns over application to Social Media Action – progress noted and new timescales agreed.
Poor management of Council contracts.	Directors to ensure all contracts are entered onto the corporate CMS in a timely fashion including current “live” contracts.	Procurement team taken more proactive approach to identifying “new contracts” CMS not live and needs further development
Lack of employee awareness regarding cyber threats and poor ICT security. Failure to embed processes to ensure	The Council have a detailed Information Security Framework document that system users are required to sign up to prior to	Information Security Framework is being refreshed

<p>Council data is secure and held in accordance with Council Policy and DPA2018/UKGDPR.</p>	<p>getting access to IT systems.</p> <p>A comprehensive suite of data security policies compliant with obligations under GDPR have been adopted</p> <p>mandatory training modules on the Learning Hub addressing council obligations for data security.</p>	<p>New Data policies have been adopted.</p> <p>Mandatory Training completion needs monitoring</p>
<p>Failure to identify, monitor and report of fraud risks facing the Authority</p>	<p>To develop the Council's approach to fraud following the assessment of the councils arrangements against Fighting Fraud and Corruption Locally 2020-2025</p>	<p>This Action is being deferred until an external review of the Councils fraud arrangements has taken place. This was due to be by way of peer review by Preston CC but due to staff absence has not taken place.</p> <p>Action – note the action and slip in delivery.</p>
<p>Failure to have a system in place to ensure key corporate policies are regularly reviewed, version controlled and remain up to date and accurate.</p>	<p>To improve the quality of the Council's asset inventory records to enable accurate cover to be provided.</p> <p>Devise and implement a corporate process to ensure all staff revisit key policies so a good level of awareness is maintained across the organisation.</p>	<p>A comprehensive exercise has been done with SMT to review asset inventories and this action is complete. Follow up testing will identify how successful this was.</p> <p>This is part of the development works being undertaken on the Approvals system and is being prioritised along with other projects.</p>
<p>Lack of staff training and development.</p>	<p>All Directors to ensure all mandatory training is completed within the agreed timescales.</p> <p>Undertake a review of the PDR process to identify barriers for its use and improvements to the system.</p>	<p>Mandatory Training has been reviewed and completion rates have improved although remain below target.</p> <p>Action – continue to monitor</p> <p>Complete</p>

<p>Failure to ensure procedures are in place to ensure transparency in public procurement.</p>	<p>Review and centralise the conflict of interest procedure.</p> <p>Further develop the contract management process to include registration of the contract on the transparency register and align with the decision-making process.</p>	<p>Procurement have now taken ownership of corporate procurement processes.</p> <p>A review of the delivery of the Procurement Service has been agreed and further development of automation of systems will follow its implementation.</p> <p>Internal processes are being implemented to ensure addition of procured and waiver contracts to the transparency register and ensure contract awards are supported by a decision.</p>
<p>Failure to fully embed risk management in all council activities</p>	<p>Define risk management appetite and implement escalation and reporting mechanisms for non strategic risks.</p>	<p>A suitable Risk Strategy document is being prepared and should be ready for presentation to SMT in early 2024.</p>
<p>Failure to achieve the minimum requirements for Local Authorities to publish open data in a timely manner.</p>	<p>Full review of all obligations and performance to ensure the publication of all mandatory data sets</p>	<p>The required data sets have been circulated to data owners and confirmation has been received that the publication of data has been reviewed. This has highlighted some gaps but these will be addressed on next round of publication.</p> <p>Implemented.</p>

Climate change and air quality

- There are no implications in this report.

Equality and diversity

- This is an update report on implementation of management actions. Any action which has implications for equality and diversity should have its own impact assessment completed to demonstrate how the council's obligations are being met.

Risk

- The non implementation of the actions (or delays in implementation) may have individual risks for the council and these are addressed separately as appropriate.

8. Members are aware that the actions identified in the report go to improving the governance framework of the council. None have been identified as significant failings but improvements therefore the risk in relation to non-implementation or delayed implementation needs to be seen in that context. However, it is acknowledged that the approach to the implementation of the actions overall reflects on the commitment to improvement and the governance environment as a whole.

Comments of the Statutory Finance Officer

9. There are no financial matters arising from this report.

Comments of the Monitoring Officer

10. None.

Background documents

There are no background papers to this report

Report Author:	Email:	Telephone:	Date:
Chris Moister (Director of Governance/Monitoring Officer)	chris.moister@chorley.gov.uk		09/01/2024