

This report will be made public on 26 November 2018



Report Number: **AUG/18/15**

To: Audit and Governance Committee
Date: 4th December 2018
Status: Non-Executive Function
Officer: Gavin Edwards, Policy and Improvement Officer
Director: Sarah Robson, Assistant Director of Strategy, Performance and Communications

SUBJECT: ANNUAL GOVERNANCE STATEMENT ACTIONS – HALF YEAR UPDATE ON 2018/19 ACTIONS

SUMMARY: This report presents the current position on progress towards achieving the 2018/19 actions set out in the Annual Governance Statement.

REASONS FOR RECOMMENDATIONS:

The committee is asked to agree the recommendations set out below to note the position and the progress towards achieving the actions.

RECOMMENDATIONS:

1. To receive and note report AuG/18/15.
2. To note the progress towards achieving the actions in the Annual Governance Statement (Appendix 1).

1. INTRODUCTION

- 1.1 The Annual Governance Statement for 2017/18 was considered by the committee on 30th July 2018 (report AUG/18/05).
- 1.2 The governance statement identified significant governance issues that were likely to arise during this year. This report sets out progress against those actions.

2. THE ANNUAL GOVERNANCE STATEMENT ACTIONS - UPDATE

- 2.1 The Annual Governance Statement identified actions for 2018/19 (See Appendix 1) which are necessary to improve the overall effectiveness of its governance arrangements.

3. RISK MANAGEMENT ISSUES

- 3.1 A summary of the perceived risks follows:

Perceived risk	Seriousness	Likelihood	Preventative action
Actions contained within the Annual Governance Statement, are not addressed effectively	Medium	Low	Progress to be reviewed and monitored regularly by the Monitoring Officer, Policy and Improvement Officer and the Audit & Governance Committee.

4. LEGAL/FINANCIAL AND OTHER CONTROLS/POLICY MATTERS

4.1 Legal Officer's Comments (AK)

There are no legal issues arising from this report.

4.2 Finance Officer's Comments (CS)

There are no financial implications arising from this report.

4.3 Diversities and Equalities Implications (GE)

No diversities and equalities implications.

5. CONTACT OFFICER AND BACKGROUND DOCUMENTS

Councillors with any questions arising out of this report should contact the following officer prior to the meeting:

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The following background documents have been relied upon in the preparation of this report: None

Appendices:

Appendix 1: Annual Governance Statement Actions - progress

APPENDIX 1

Action plan for improvement following review of effectiveness of governance arrangements (2018/19)

		Who	Date	Progress Update
1.	<p>Annual Review of Corporate Governance</p> <p>At the end of the year, the Council will produce its statement on governance, which includes end of year assurance statements by Heads of Service and internal audit's opinion report</p>	Monitoring Officer	May 2019	Action Completed
2.	<p>Governance Arrangements</p> <p>Keep under review the Council's governance arrangements</p>	Monitoring Officer	March 2019	Review of the Council's Governance arrangements are ongoing.
3.	<p>Anti-fraud and corruption</p> <p>Monitor ongoing compulsory training of staff, and review its effectiveness in the latter part of 18/19.</p>	Head of Finance	August 2018	Review of compliance with compulsory training undertaken in November 2018, which showed 89.5% of staff have current valid training in place. Reminders have been issued to the remaining staff, and will be followed up by line managers if not compliant by 31 January 2019.
4.	<p>Transformation Project</p> <p>Identify the ownership and administration of the project's governance, providing a framework for accountability and responsibilities, ensuring that project decision making is robust, logical and that the project provides value to the organisation.</p>	Head of Transformation	Sept 2018	A report outlining a proposed corporate approach to the Transformation project's governance was presented and approved by CLT on 21 August 2018. As a result, the Transformation Executive Board has been established to oversee the stewardship of the Transformation project. The new governance provides assurance to Elected Members that processes and controls are in place to ensure the successful delivery of the Transformation project within the Council.
5.	<p>New Delivery Models/ Partnerships:</p> <p>During 2018/19 the future operating model of the Council will be further</p>	Head of Human Resources	March 2019	The Transformation project is ongoing with support from iESE. The new senior management structure has been implemented (Oct 2018) and those appointed are now

	<p>developed through implementation and mobilisation of the Council's transformation.</p> <p>In addition, new commercial opportunities will be explored following the appointment of the new Corporate Director (Commercial Services) in April 2018.</p>			<p>working on the details of what their areas will look like once new technology is implemented. A new behaviour framework has been launched (June 2018) which is being introduced to recruitment and selection activity with the intention to expand this to cover performance and career development alongside the introduction of role families in 2019.</p> <p>The Corporate Director – Place & Commercial is continuing to investigate and drive forward on commercial opportunities in conjunction with his CLT colleagues.</p>
6.	<p>Data Retention Policy and General Data Protection Regulation:</p> <p>Keep under review the Data retention policy and continue work on the implementation of the new General Data Protection Policy.</p>	Monitoring Officer	May 2019	Action completed and being kept under review.
7.	<p>Review of Corporate Risk Policy for the Council:</p> <p>The adopted policy will be refreshed during the first half of 2018/19, followed by a comprehensive review of the register to ensure it is fit for purpose and aligned to corporate priorities.</p>	Head of Finance & Leadership Support	September 2018	Cabinet considered and agreed the revised Corporate Risk Policy on 18th July 2018. The development of the Corporate Risk Register has been undertaken and will be reported to Audit & Governance at its December meeting, with regular reviews scheduled subsequently.
8.	<p>Performance Management Framework:</p> <p>Redevelopment of the Performance Management Framework.</p>	Policy & Improvement Officer	October 2018	The Performance Management Framework has been reviewed, but as a result of the Transformation project, will be subject to further review by iESE (the Council's transformation partner) to consider wider efficiency considerations. The draft updated framework is due to be presented to CLT in December/January.