

## Annual Governance Statement (2019/20)

Annual Governance Statement 2019-20 Action Plan				
Issues Identified	Action to be taken	By whom and progress	When	Status
<p>1. The 2018/19 Internal Audit report for Development Control identified “Improvements Required” with regard to the inability of the legacy systems to provide a full overview of the ‘trigger points’ for all of the s106 agreements.</p> <p>A follow up review took place in 2019/20; the assurance opinion remains at “improvements required” where the risks around identification of S106, income management and utilisation of funds remain.</p>	<p>A project to address this is ongoing through use of specialised software, although populating the system is time consuming as many of the s106 agreements are complex.</p>	<p>The Head of Planning, Economy and Regeneration</p> <p>Proposed S106 governance arrangements have not yet been agreed by Members. A working group of PPAG has been set up to consider proposals in more detail.</p> <p><u>Cabinet recommended to Council that the governance arrangements be adopted</u></p>	<p>Scrutiny 17 August</p> <p>Cabinet 1 October</p> <p><u>Full Council 28 October - adopted</u></p>	
<p>2. External legal and financial reviews have been undertaken on 3 Rivers at the request of the Leader. A number of recommendations have come from this work regarding improving governance arrangements. These were all approved by Cabinet at their meetings of</p>	<p>Progress will be monitored by Cabinet and in this action plan</p>	<p>Chief Executive</p> <p><u>Regular reports on progress on the Action Plan are being presented to Cabinet</u></p>	<p><u>Cabinet 29 October</u></p>	

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<p>11 June and, after consultation with Scrutiny and Audit committees, 9 July. An action plan is in place to address the recommendations</p>				
<p>3. Continue to strengthen the link between finance and performance during 2019/20, particularly in the light of budget cuts and cost savings requirements.</p>	<p>Financial information is now regularly included in performance and risk reports</p> <p>Further integration with financial monitoring reports</p>	<p>Deputy Chief Executive</p>	<p>31 December 2020</p>	
<p>4. The 2018/19 internal audit report on risk management opinion was “The quality of information about risks and the mitigating action of those risks required significant improvement to enable the risk register and risk management framework to be an effective tool to protect the Council’s activities”.</p>	<p>There has been good progress although further improvements needed. Audit Committees need to further challenge the adequacy of mitigating actions recorded and monitoring of progress</p>	<p>Director of Business Transformation and Corporate Affairs</p>	<p>31 December 2020</p>	
<p>5. An Internal Audit Report on 3 Rivers states “We consider that the current developing position of the Company and the level of risk and investment into this</p>	<p>We have reviewed the risks on the Corporate Risk Register to reflect the findings of the Internal and External audit reports. This will be regularly</p>	<p>Deputy Chief Executive</p>	<p>Linked to No.2</p>	

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<p>new venture represents a significant risk to the Authority.”</p>	<p>monitored and updated where appropriate.</p>			
<p>6. A draft Internal Audit report on counter fraud indicates “improvements required”. There are some key messages in that report about policy and strategy and the absence of monitoring and reporting of fraud in the Council.</p>	<p>Actions to be taken will be agreed when the audit report is finalised</p>	<p>Director of Business Transformation and Corporate Affairs</p> <p>Deadlines have now been agreed and the fraud and anti-corruption policy review brought forward to the November Audit Committee meeting.</p>	<p>31 March 2021</p>	
<p>7. The current economic situation is likely to continue to see a reduction in the number of staff employed by the Authority. We have identified that this presents a potential risk to our ability to retain the skills and experience needed. Measures are being implemented to combat this risk.</p>	<p>Skills Audit to be completed by collecting information as part of the appraisal process and utilisation of the LMS system to record qualifications and experience.</p> <p>The new “Evolve” project is wrapping up these themes.</p>	<p>Director of Business Transformation and Corporate Affairs</p> <p>The GM for HR has set out a series of practical steps to ensure “Evolve” is fully implemented. This includes the following:</p> <p>The implementation of a new Appraisal and Competency process followed by completion of the skills audit</p>	<p>31 December 2020</p>	

Green is completed

Amber is in Progress

Red is not completed

White is not due for completion yet