

A meeting of the **CORPORATE GOVERNANCE COMMITTEE** will be held in **CIVIC SUITE 0.1A, PATHFINDER HOUSE, ST MARY'S STREET, HUNTINGDON PE29 3TN** on **THURSDAY, 26 JULY 2018** at **7:00 PM** and you are requested to attend for the transaction of the following business:-

**Contact
(01480)**

APOLOGIES

1. MINUTES (Pages 5 - 10)

To approve as a correct record the Minutes of the meeting of the Committee held on 13th June 2018.

**A Roberts
388015**

2. MEMBERS' INTERESTS

To receive from Members declarations as to disclosable pecuniary and other interests in relation to any Agenda Item.

3. ASSISTANT CABINET MEMBERS - AMENDMENT TO ARTICLE 7 OF THE CONSTITUTION (Pages 11 - 16)

To consider amendments to the Council's Constitution to reflect the new role and responsibilities of Assistant Cabinet Members.

**L Jablonska
388004**

4. CHANGE TO THE CONSTITUTION - HDC VENTURES LIMITED - SHAREHOLDER REPRESENTATIVE AND REFERENCE GROUP (Pages 17 - 24)

To consider amendments to the Council's Constitution to incorporate a mechanism for decisions to be taken by the Council as Shareholder of its Local Authority Trading Company, HDC Ventures Limited.

**A Roberts
388015**

5. APPROVAL FOR PUBLICATION OF THE 2017/18 ANNUAL GOVERNANCE STATEMENT AND THE ANNUAL FINANCIAL REPORT

To consider the Auditor's Report and approval of the Annual Governance Statement, the Letter of Representation and the Annual Financial Report.

**C Mason
388157
P Loveday
388615**

[To Follow]

6. INTERNAL AUDIT PLAN QUARTER 2 - 2018/19 (Pages 25 - 30)

To consider and approve the Internal Audit Audit Plan for quarter two 2018/19.

**D Harwood
388115**

7. NON-IMPLEMENTATION OF INTERNAL AUDIT ACTIONS (Pages 31 - 42)

To inform of the outstanding internal audit actions as at 30 June

D Harwood

8. CORPORATE GOVERNANCE COMMITTEE PROGRESS REPORT (Pages 43 - 44)

To receive the Corporate Governance Committee Progress Report.

M Stimpson
388169

Dated this 18 day of July 2018



Head of Paid Service

Notes

1. Disclosable Pecuniary Interests

- (1) *Members are required to declare any disclosable pecuniary interests and unless you have obtained dispensation, cannot discuss or vote on the matter at the meeting and must also leave the room whilst the matter is being debated or voted on.*
- (2) *A Member has a disclosable pecuniary interest if it -*
 - (a) *relates to you, or*
 - (b) *is an interest of -*
 - (i) *your spouse or civil partner; or*
 - (ii) *a person with whom you are living as husband and wife; or*
 - (iii) *a person with whom you are living as if you were civil partners*

and you are aware that the other person has the interest.
- (3) *Disclosable pecuniary interests includes -*
 - (a) *any employment or profession carried out for profit or gain;*
 - (b) *any financial benefit received by the Member in respect of expenses incurred carrying out his or her duties as a Member (except from the Council);*
 - (c) *any current contracts with the Council;*
 - (d) *any beneficial interest in land/property within the Council's area;*
 - (e) *any licence for a month or longer to occupy land in the Council's area;*
 - (f) *any tenancy where the Council is landlord and the Member (or person in (2)(b) above) has a beneficial interest; or*
 - (g) *a beneficial interest (above the specified level) in the shares of any body which has a place of business or land in the Council's area.*

Non-Statutory Disclosable Interests

- (4) *If a Member has a non-statutory disclosable interest then you are required to declare that interest, but may remain to discuss and vote providing you do not breach the overall Nolan principles.*
- (5) *A Member has a non-statutory disclosable interest where -*
 - (a) *a decision in relation to the business being considered might reasonably be regarded as affecting the well-being or financial standing of you or a member of your family or a person with whom you have a close association to a greater extent than it would affect the majority of the council tax payers, rate payers or inhabitants of the ward or electoral area for which you have been elected or otherwise of the authority's administrative area, or*

- (b) it relates to or is likely to affect a disclosable pecuniary interest, but in respect of a member of your family (other than specified in (2)(b) above) or a person with whom you have a close association, or
- (c) it relates to or is likely to affect any body –

- (i) exercising functions of a public nature; or
- (ii) directed to charitable purposes; or
- (iii) one of whose principal purposes includes the influence of public opinion or policy (including any political party or trade union) of which you are a Member or in a position of control or management.

and that interest is not a disclosable pecuniary interest.

2. Filming, Photography and Recording at Council Meetings

The District Council supports the principles of openness and transparency in its decision making and permits filming, recording and the taking of photographs at its meetings that are open to the public. It also welcomes the use of social networking and micro-blogging websites (such as Twitter and Facebook) to communicate with people about what is happening at meetings. Arrangements for these activities should operate in accordance with guidelines agreed by the Council and available via the following link [filming, photography and recording at council meetings.pdf](#) or on request from the Democratic Services Team. The Council understands that some members of the public attending its meetings may not wish to be filmed. The Chairman of the meeting will facilitate this preference by ensuring that any such request not to be recorded is respected.

Please contact Melanie Stimpson, Democratic Services, Tel: 01480 388169/email Melanie.Stimpson@huntingdonshire.gov.uk if you have a general query on any Agenda Item, wish to tender your apologies for absence from the meeting, or would like information on any decision taken by the Committee/Panel.

Specific enquiries with regard to items on the Agenda should be directed towards the Contact Officer.

Members of the public are welcome to attend this meeting as observers except during consideration of confidential or exempt items of business.

Agenda and enclosures can be viewed on the District Council's website – www.huntingdonshire.gov.uk (under Councils and Democracy).

If you would like a translation of Agenda/Minutes/Reports or would like a large text version or an audio version please contact the Elections & Democratic Services Manager and we will try to accommodate your needs.

Emergency Procedure

In the event of the fire alarm being sounded and on the instruction of the Meeting Administrator, all attendees are requested to vacate the building via the closest emergency exit.

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HUNTINGDONSHIRE DISTRICT COUNCIL

MINUTES of the meeting of the CORPORATE GOVERNANCE COMMITTEE held in Civic Suite 0.1A, Pathfinder House, St Mary's Street, Huntingdon PE29 3TN on Wednesday, 13 June 2018.

PRESENT: Councillor L W McGuire – Chairman.

Councillors P Kadewere, D A Giles,
Mrs M L Beuttell, Dr P L R Gaskin,
H V Masson, Mrs S Smith and
D R Underwood.

APOLOGIES: Apologies for absence from the meeting were submitted on behalf of Councillors E R Butler, J W Davies, D J Mead and J P Morris.

4. MINUTES

The Minutes of the meetings of the Committee held on 28th March and 23rd May 2018 were approved as correct records and signed by the Chairman.

5. MEMBERS' INTERESTS

Councillor D R Underwood declared a non-statutory disclosable interest in Minute No. 9 by virtue of the fact that he was the Chairman of Disability Huntingdonshire, an organisation which dealt with benefits matters on behalf of clients.

6. UPDATE ON CODE OF CONDUCT AND REGISTER OF DISCLOSABLE PECUNIARY INTERESTS

Consideration was given to a report by the Member Support Assistant (a copy of which is appended in the Minute Book), which provided an update on the adoption of Codes of Conduct by Town and Parish Councils and the receipt and publication of register of interests forms on behalf of District, Town and Parish Councillors. All of the 71 Town and Parish Councils had adopted a Code of Conduct, with 57 based on that adopted by the District Council, twelve had opted for the Code promoted by the National Association of Local Councils and the remaining two Councils had adopted their own version of the Code.

41 Town and Parish Councils had published their full Register, which comprised the Disclosable Pecuniary Interests (DPI) forms of all Councillors. The remaining 30 Councils had vacancies in their Memberships. In terms of individual DPIs, 586 of a total of 650 had been received from Parish Councillors and 59 were vacancies. In response to queries about the reported vacancies, an undertaking was provided that the position would be verified for the next report.

Having noted that the forms of all District Councillors had been published, it was

RESOLVED

that the contents of the report be noted.

7. CODE OF CONDUCT COMPLAINTS - UPDATE

By means of a report by the Elections and Democratic Services Manager (a copy of which is appended in the Minute Book), in accordance with its responsibility for monitoring the operation of the Code of Conduct, the Committee was provided with general information on alleged breaches of the Code. A brief summary was provided of each of the matters referred to in the report. Members were then advised of the arrangements for conducting hearings. Whereupon, it was

RESOLVED

that the progress of outstanding complaints and the conclusion of cases resolved since the last meeting be noted.

8. EXCLUSION OF THE PRESS AND PUBLIC

RESOLVED

that the press and public be excluded from the meeting because the business to be transacted contains information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime.

9. ANNUAL REVIEW OF BENEFITS RISK BASED VERIFICATION POLICY

The Committee gave consideration to a report by the Revenues and Benefits Manager (a copy of which is appended in the Annex to the Minute Book) reviewing the Council's use of the Benefits Risk Based Verification Policy in the administration of Housing Benefit and Council Tax Support. The Council had employed this approach since 2013. It was considered to be working well and, consequently, no changes were recommended to the Policy. Following a question by a Member, it was reported that the characteristics of risk groups were not disclosed to Councils. Accordingly, it was

RESOLVED

that the continued use of the Huntingdonshire District Council Benefits Risk Based Verification Policy appended to the report now submitted be endorsed.

10. RE-ADMISSION OF THE PRESS AND PUBLIC

RESOLVED

that the press and public be re-admitted to the meeting.

11. REVIEW OF FRAUD INVESTIGATION ACTIVITY

Consideration was given to a report by the Revenues and Benefits Manager (a copy of which is appended in the Minute Book), which provided an overview of the activity of the Corporate Fraud Team during 2017/18, as required by the Council's Anti-Fraud and Corruption Strategy. It was pointed out that, contrary to paragraph 3.2 of the report, the number of prosecutions had increased.

In response to a question by a Member, it was reported that the service was endeavouring to adopt a more commercial approach by providing services to external organisations and that this had consequential benefits for the Council such as making housing available to homeless individuals. Following a further question, it was confirmed that 3C Legal were consulted on the validity of prosecutions to minimise any risk to the Council.

The Committee discussed the Regulation of Investigators Powers Act. The use of directed surveillance was subject to a formal process before it could commence involving approval by a senior Officer and a Magistrate. In addition, prior to undertaking surveillance, analysis was undertaken of its potential risks and benefits; however, the Council also had a zero tolerance approach to fraud. Successful prosecutions were publicised. Members were acquainted with the sources of referrals for investigation.

Reference having been made to the service's involvement in internal disciplinary matters, the resources available to the service were outlined. Whereupon, it was

RESOLVED

that the contents of the report now submitted be noted.

12. REVIEW OF REGULATION OF INVESTIGATORY POWERS ACT (RIPA) POLICY

By means of a report by the Corporate Fraud Manager (a copy of which is appended in the Minute Book), the Committee was acquainted with the recommendations for the Council's Regulation of Investigatory Powers Act 2000 (RIPA) arrangements arising from an inspection by the Investigatory Powers Commissioner's Office. The inspection had produced a number of recommendations, which had been implemented. Monitoring of surveillance activity by the Council would in future be reported to the Committee annually as part of the Annual Fraud Report. During their review of the Policy, Members decided that future amendments should be approved by the Committee.

RESOLVED

that, subject to an amendment to the Policy Updating Procedure to require any changes to be approved by the Committee, the Covert Surveillance – Regulation of Investigatory Powers Act 2000 (Part II) (Directed Surveillance and the use of CHIS) Policy and Procedure appended to the report now submitted, be approved.

13. LOCAL CODE OF CORPORATE GOVERNANCE

With the aid of a report by the Internal Audit and Risk manager (a copy of which is appended in the Minute Book) the Committee considered proposed changes to the Local Code of Corporate Governance. The changes had been identified during a review by the Council's Management Team. During discussion on the changes, comment was made that Members' involvement in the icare value system should be explored.

RESOLVED

that the (May 2018) Local Code of Corporate Governance be endorsed.

14. WHISTLEBLOWING POLICY, GUIDANCE AND CONCERNS RECEIVED

The Committee gave consideration to a report by the Internal Audit and Risk Manager (a copy of which is appended in the Minute Book) on the outcome of a review of the Whistleblowing Policy and Guidance. The review found that only minor changes were required.

The report also referred to the whistleblowing allegations received in the year ending March 2018. No allegations had been made by Officers but six had been received from members of the public. The latter had been forwarded to the relevant sections for action.

RESOLVED

that the Whistleblowing Policy and Guidance Note appended to the report now submitted be approved.

15. INTERNAL AUDIT SERVICE: ANNUAL REPORT 2017/18

In compliance with the Public Sector Internal Audit Standards, the Committee gave consideration to the Internal Audit Service Annual Report and opinion by the Internal Audit and Risk Manager (a copy of which is appended in the Minute Book). The Report referred to the work undertaken by Internal Audit during the period 1st April 2017 to 31st March 2018 to support the opinion statement that at April 2018 the Council's internal control environment and systems of internal control provided adequate assurance over key business processes and financial systems.

The Committee discussed the audit planning process. A new approach had been introduced for 2018/19 whereby a plan covering a three month period would be produced and then updated quarterly. It was expected to be more flexible and reactive to the Council's requirements.

The Committee agreed to take into account the Internal Audit and Risk Manager's opinion when considering the Annual Governance Statement for 2017/18. Whereupon, it was

RESOLVED

that the Annual Report on the work of the Internal Audit Service and the Internal Audit and Risk Manager's opinion be noted.

16. ANNUAL REPORT OF THE COMMITTEE

Consideration was given to a report by the Internal Audit and Risk Manager (a copy of which is appended in the Minute Book) to which was appended the Committee's draft Annual Report to Council for the year ending 31st March 2018. Members endorsed the contents of the report and discussed their training requirements. It was agreed that the Internal Audit and Risk Manager would distribute a survey on their skills and requirements to Committee Members and use the findings to devise a training future programme. In addition, the Head of Resources undertook to provide training on finance.

Subject to the inclusion of an introduction by the Chairman and additional text on the audit opinion, it was

RESOLVED

- a) that the Corporate Governance Committee Annual Report to Council for the year ending 31st March 2018 be approved for submission to the Council, and
- b) that the Internal Audit and Risk Manager be authorised, after consultation with the Chairman of the Committee, to make any minor amendments to the Report.

17. CORPORATE GOVERNANCE COMMITTEE PROGRESS REPORT

The Committee received and noted a report (a copy of which is appended in the Minute Book) on progress of actions in response to decisions taken at previous meetings. In discussing its contents, the Head of Resources was requested to provide training on audit and the audit process.

RESOLVED

that the contents of the report be noted.

Chairman

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**Public
Key Decision - No**

HUNTINGDONSHIRE DISTRICT COUNCIL

Title/Subject Matter: Assistant Cabinet Members – Variation to Article 7 of the Constitution

Meeting/Date: Corporate Governance Committee – 26th July 2018
Council – 17th October 2018

Executive Portfolio: Executive Leader – Councillor G J Bull

Report by: Elections and Democratic Services Manager

Ward(s) affected: All

Executive Summary:

Following the approval by the Cabinet at their meeting on 21st June 2018 to the creation of Assistant Cabinet Members to be appointed as non-executive members to support Cabinet Members in carrying out their role, it is necessary for the Council's Constitution to be updated to reflect the new role responsibilities.

Recommendation:

The Corporate Governance Committee is

RECOMMENDED

- (a) to endorse a variation to Article 7 of the Council's Constitution as outlined in paragraph 3.3 ante to the report now submitted; and**
- (b) to recommend to Council that the necessary variation be made to the Council's Constitution.**

1. PURPOSE OF THE REPORT

- 1.1 The purpose of the report is to amend the Council's Constitution to reflect the new role responsibilities of Assistant Cabinet Members as approved at the meeting of the Cabinet on 21st June 2018.

2. BACKGROUND

- 2.1 The Council's Constitution provides the framework from within which it conducts its business. It describes who is responsible for making decisions and how decisions are made. The Council may amend its Constitution at any time to keep it up to date to reflect changes in the law or changes to Council policy and procedure.

3. ARTICLE 7 – THE CABINET

- 3.1 Article 7 of the Council's Constitution relates to the Cabinet, including its form and composition. Cabinet agreed at their meeting on 21st June 2018 to appoint Assistant Cabinet Members as non-Executive Members to advise and support Cabinet Members in carrying out their role.

- 3.2 A copy of the role description for Assistant Cabinet Members is attached as Appendix A to this report.

- 3.3 This will necessitate the following changes to Article 7 of the Constitution –

That Article 7 of the Council Procedure Rules be varied after paragraph 5 to read

Assistant Cabinet Members

The Cabinet may appoint Councillors to act as assistants to the Cabinet as the Cabinet considers reasonably necessary and appropriate. Their role will be to assist the Cabinet collectively in accordance with the detailed Role Description approved by the Cabinet on 21st June 2018.

Assistants to the Cabinet may not vote on any matters before the Cabinet, neither may they substitute for a Cabinet Member at a meeting of the Cabinet nor in any decision making role.

4. LEGAL IMPLICATIONS

- 4.1 The proposed variation will impact directly upon the current Constitution and is necessary to reflect the new role responsibilities in the Cabinet and update Article 7 of the Constitution.

5. RESOURCE IMPLICATIONS

- 5.1 The role of Assistant Cabinet Member currently does not attract a Special Responsibility Allowance and will be considered further as part of the review of Members Allowances scheduled for 2018/19.

6. REASONS FOR THE RECOMMENDED DECISIONS

- 6.1 The creation of Assistant Cabinet Members will work alongside a Cabinet Member or Cabinet Members and provide assistance for any function except decision making to widen Member participation in Council business and provide

additional support. An update to the Council's Constitution is necessary to reflect incorporation of Assistant Cabinet Members as approved at Cabinet.

7. LIST OF APPENDICES INCLUDED

Appendix 1 – Assistant Cabinet Member Role Description

BACKGROUND PAPERS

HDC Constitution

CONTACT OFFICER

Lisa Jablonska, Elections and Democratic Services Manager

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Assistant Cabinet Member Role Description

An Assistant Cabinet Member may be appointed to support a Cabinet Member or Cabinet Members in carrying out their duties in a variety of ways.

Purpose

- Assistant Cabinet Members are Members appointed by the Cabinet to work with a Cabinet Member or Cabinet Members and assist them with any function except decision-making subject to the limitation below.
- This includes taking forward particular projects or programmes. Most Assistant posts will range across the functions of the Cabinet Member but it is a matter for each individual Cabinet Member, after discussion with the Executive Leader, to establish any limits or conditions on the ways in which the Assistants will operate.

Duties and Responsibilities

Assistant Cabinet Members may:

- Undertake specific task, research and investigations and attend meetings, as requested by the Cabinet Member, so as to keep abreast of current policy and development initiatives;
- Assist the Cabinet Member in establishing and maintaining professional, effective and efficient working relationships with opposition groups, Chairman of Committees/Panels and with other Councillors;
- Attend Cabinet briefings on behalf of a Cabinet Member;
- Undertake such responsibilities as may arise or be required from time to time other than decision making;
- Substitute as required for the Cabinet Member within the limits or conditions set by the Cabinet Member where this does not require direct Executive decision making;
- Assist the Cabinet Member to manage their workload and deal with such issues or projects (whether long term or time limited) as shall be agreed with them;
- Develop direct, effective working relationships with Corporate Management Team, Assistant Directors and Heads of Service and their staff and external partners, and assist the Cabinet Member with maintaining effective policy and management links with them;
- Advise and support the Cabinet Member on particular and ad hoc issues and opportunities arising from their own participation in Council activity and externally, and also on strategic issues;
- Help to promote specific media opportunities relating to key projects, with regular feedback to the Cabinet Member.

However, an Assistant to a Cabinet Member cannot:

- take decisions;
- deputise for a Cabinet Member at Council, Cabinet, Committee and Panel meetings;
- be a member of an Overview and Scrutiny Panel

These duties and responsibilities are in addition to those detailed in the role description for an elected Member.

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**Public
Key Decision - No**

HUNTINGDONSHIRE DISTRICT COUNCIL

Title/Subject Matter:	Change to the Constitution - HDC Ventures Limited – Shareholder Representative and Reference Group
Meeting/Date:	Corporate Governance Committee – 26th July 2018 Council – 17th October 2018
Executive Portfolio:	Executive Member for Resources
Report by:	Managing Director
Ward(s) affected:	All

Executive Summary:

The Council has established a Local Authority Trading Company, HDC Ventures Limited. Its purpose is to enable the Council to participate in commercial trading activities. This is increasingly common amongst local authorities.

The day-to-day operation of the company is the responsibility of the Directors. The Council is the sole Shareholder and it is necessary to establish a mechanism for decisions to be taken on behalf of the Council as the Shareholder. It is proposed to delegate this responsibility to a Shareholder Representative. It is also proposed to create a Shareholder Reference Group, who the Shareholder Representative will consult with on matters within his/her Terms of Reference. The Shareholder Reference Group will comprise four Members and be politically balanced.

The Shareholder Representative will be advised by the Managing Director, Section 151 Officer, Monitoring Officer, Corporate Director – Services, acting in their capacity as Officers of the Council, and any other advisers as required.

The Shareholder Representative will take decisions on behalf of the Council that are of a routine nature on such matters as changes to the Articles of Association and borrowing. Strategic issues relating to the overall company direction will still be a matter for full Council.

To secure the position of the Shareholder Representative and the Shareholder Reference Group, it is recommended that their existence, roles and responsibilities are incorporated into the Constitution. Text for insertion into Part 3 Responsibility for Functions appears in the report.

Recommendations:

The Council is

RECOMMENDED

To approve the insertion of Arrangements for the Shareholder Representative and Shareholder Reference Group into Part 3 Responsibility for Functions of the Constitution.

1. PURPOSE OF THE REPORT

- 1.1 The purpose of this report is to incorporate into the Constitution a mechanism for decisions to be taken by the Council as Shareholder of its Local Authority Trading Company, HDC Ventures Limited.

2. WHY IS THIS REPORT NECESSARY/BACKGROUND

- 2.1 The Council needs to be able to exercise its role as Shareholder of any company it owns in a timely and expedient manner, reflecting the needs of the trading company to be responsive to its commercial environment. Inclusion of the necessary arrangements in the Constitution creates a sound legal basis for decisions to be taken.

3. OPTIONS CONSIDERED/ANALYSIS

- 3.1 The Council has received legal advice from its advisers, Trowers and Hamlins LLP, that this is a recommended way of fulfilling the shareholder role. In addition, it is regarded as national best practice.

- 3.2 The Shareholder Reference Group will have direct input into the decision-making process. Specifically, it will:

- understand and advise on the significant issues relating to the operation and development of the Company;
- make recommendations to the Shareholder Representative on his/her responsibilities, which are contained in the Terms of Reference, and
- support effective communication about the Company

- 3.3 The text proposed to be inserted into Part 3 Responsibility for Functions of the Constitution appears in an Appendix hereto.

4. LINK TO THE CORPORATE PLAN, STRATEGIC PRIORITIES AND / OR CORPORATE OBJECTIVES

Implementing our Transformation Programme.

Commercialisation will be an important part of the way HDC functions in the future. The creation of de facto trading entities is one of the key elements of the transformation plan.

Identifying new opportunities for income generation, where appropriate.

This will be achieved via the development of a 'commercial culture' across the Council, alongside a systematic approach to evaluating and developing commercial projects.

Having a more engaged and motivated workforce.

Commercial activities will introduce new ways of thinking and working into the Council, which will provide opportunities for professional and personal development across the organisation.

5. LEGAL IMPLICATIONS

- 5.1 The proposed action is in response to a recommendation by the Council's legal advisers, Trowers and Hamlins LLP, that the Shareholder role should not fall to any of the Council's existing Member forums. It is common for Councils that

have established Local Authority Trading Companies to form a separate Shareholder decision-making mechanism and, indeed, it is considered to be best practice.

- 5.2 Trowers and Hamlins, together with the Council's external advisor, also have advised on the arrangements and Terms of Reference. These are standard terms and are common amongst other councils that have Local Authority Trading Companies.

6. WHAT ACTIONS WILL BE TAKEN/TIMETABLE FOR IMPLEMENTATION

- 6.1 The text contained in the Appendix will be incorporated into the Constitution.
- 6.2 Political Group Leaders will be asked to nominate representatives to sit on the Shareholder Reference Group. A programme of meetings will be established. Ad hoc meetings also may be convened as and when necessary.

7. REASONS FOR THE RECOMMENDED DECISIONS

- 7.1 A mechanism is required for decisions to be taken on behalf of the Council as the Shareholder of its Local Authority Trading Company. Legal advice and nationally recognised best practice indicate that separate arrangements should be established to exercise the Shareholder role and the appointment of a Shareholder Representative together with a Shareholder reference Group will achieve what is required in a way that best serves the circumstances of the Council.

LIST OF APPENDICES INCLUDED

Appendix – Shareholder Representative – Arrangements and Terms of Reference

BACKGROUND PAPERS

None

CONTACT OFFICER

Tony Roberts, Democratic Services
Tel No: 01480 388015
Email: anthony.roberts@huntingdonshire.gov.uk.

SHAREHOLDER REPRESENTATIVE - ARRANGEMENTS AND TERMS OF REFERENCE

Overview

The Shareholder Representative will exercise the Council's role as shareholder in any company, limited by shares wholly or partly owned by the Council for the purposes of service provision and/or trading activities. The Representative will be appointed by the Cabinet and acts with delegated authority ensure the performance of any such company is satisfactory.

Any reference in these terms of reference to "Company" is defined as a company in which the Council holds shares.

Purpose

The Shareholder Representative will have the power to approve:

1. Any minor change in the nature of the Business or the jurisdiction in which it is managed and controlled.
2. The issue or allotment of any shares in the capital of the Company or any Subsidiary Undertaking of the Company or the creation of any security or the grant of any option or rights to subscribe in respect thereof or to convert any instrument into such shares.
3. The reduction of the share capital or variation of the rights attaching to any class of shares in the capital of the Company or any Subsidiary Undertaking of the Company or any redemption, purchase or other acquisition by the Company of any shares or other securities of the Company or any Subsidiary Undertaking of the Company; the sale, transfer or disposal of the whole or a substantial part of the Business, or any dilution of the Company's interest in any Subsidiary Undertaking.
4. The formation of any Subsidiary Undertaking or the acquisition of or investment in any other company or business.
5. The approval and/or adoption of any Business Plan or annual budget or any variation of the Business Plan; or annual budget from time to time.
6. The entering into any purchase, sale, lease or licence of any freehold or leasehold property (other than in accordance with the Business Plan).
7. The disposal of any assets of the Company or any Subsidiary Undertaking.
8. Any changes to the Articles of the Company or any Subsidiary Undertaking of the Company.
9. Entering into any arrangement, contract or transaction between the Company or any Subsidiary Undertaking of the Company and any third party which has an annual contract value in excess of £150,000 (or the equivalent amount in any other currency).
10. Any change of the Company's name, auditors, bankers, accounting reference date; entering into an agreement to do any of the foregoing.
11. The appointment and removal of Company Directors.
12. The exercise of any reserved powers in the Articles of a Company.
13. The distribution of any surplus or the issue of any dividends from a Company.
14. Any recommendation from Company Directors to cease trading.
15. Reports to the Council annually on trading activity.
16. Reviews of the risks associated with trading activities.

The Shareholder Representative will not have operational control over Companies. All decisions regarding the day to day operation of each Company, its business development and commercial opportunities, staff terms and conditions and the development and implementation of its internal procedures, rest with the Directors of each Company.

Operation

The Cabinet has delegated to the Shareholder Representative the authority to take decisions in respect of the Council's shareholding in any Company. The Shareholder Representative will exercise the powers defined in the previous section.

The Shareholder Representative, in fulfilling the role, will have regard to the views of the Shareholder Reference Group.

The Managing Director, Section 151 Officer, Monitoring Officer and Corporate Director - Services, acting in their capacity as Officers of the Council, will be advisors to the Shareholder Representative to provide open and strong technical advice. Additional advisors may be invited to attend the Board as required.

Any decisions made by the Shareholder Representative must be notified to the Company's directors and the Shareholder Reference Group as soon as reasonably practicable following such decision being taken.

In cases of urgency, a decision may be made by the Shareholder Representative after consultation with the Managing Director. Any urgent decisions made by the Shareholder Representative must also be notified to the Shareholder Reference Group as soon as reasonably practicable following such decision being taken.

The Shareholder Representative will review the Terms of Reference annually.

Relationship to Overview and Scrutiny Committee

The Council's relevant Overview and Scrutiny Committee will retain its scrutiny function in relation to the Shareholder Representative. Overview and Scrutiny will be able to call the Representative to account for progress in relation to any Company for which the Council is a shareholder and any returns it is making.

Scope

In respect of Teckal-compliant companies The Shareholder Representative will:

1. Monitor Teckal compliance at least annually.
2. Ensure the Business Plan of a Teckal compliant Company is aligned to the corporate objectives of the Council.

In respect of non Teckal-compliant wholly Council-owned companies The Shareholder Representative will also:

1. Seek to optimise returns on investment from trading activities.
2. Ensure trading activities are conducted in accordance with the values of the Council.

In respect of any shareholding and/or joint ventures The Shareholder Representative will:

1. Evaluate the return and benefits of the shareholding against the values of the Council.
2. Where appropriate, exercise influence over the company and /or joint ventures in accordance with the values of the Council.

Operation of the Shareholder Reference Group

1. The Shareholder Reference Group will comprise four Members and will be politically balanced.
2. The Shareholder Reference Group will meet with the Shareholder Representative quarterly, or as required.
3. No substitutes will be permitted.
4. All information received by Members arising from participation in the Shareholder Reference Group shall be deemed confidential.
5. Anthony Roberts will act as Secretary to the Shareholder Reference Group.

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Public
Key Decision – No

HUNTINGDONSHIRE DISTRICT COUNCIL

Title: Internal Audit Plan Quarter 2 - 2018/19
Meeting/Date: Corporate Governance Committee – 26 July 2018
Executive Portfolio: Cllr J Gray (Resources)
Report by: Internal Audit & Risk Manager
Wards affected: All wards

Executive Summary:

Committee agreed on a trial basis that for 2018/19 the internal audit plan should be prepared on a quarterly rather than annual basis, This report asks the Committee to consider and then approve the quarter two audit plan.

The plan includes reviews of the following areas:

- 3C IT procurement
- Freedom of information
- Homelessness prevention pilot
- IT disaster recovery procedures
- Payment card industry data security standards

In addition, time has also been allowed for work in the following areas:

- Identifying key controls within the new financial management system (Technology 1) ahead of undertaking quarterly assurance reviews.
- Using data analysis to identify potential fraud or error in supplier payments.
- Early involvement in the new processes and procedures that are to be introduced for evaluating CIL bids and allocating funds.

The report also provides a summary of the work that has been completed against the quarter one plan.

Recommendation

That the Corporate Governance Committee approve the Internal Audit plan for quarter two, 2018/19.

1. PURPOSE OF THE REPORT

- 1.1 To allow the Committee to consider and approve the Internal Audit (IA) audit plan for quarter two 2018/19.

2. BACKGROUND

- 2.1 The Accounts and Audit Regulations 2015 require that the Council ‘...must undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking into account Public Sector Internal Audit Standards (PSIAS) or guidance’. The Council have adopted the PSIAS through the Committees Terms of Reference.
- 2.2 The Council requires the Internal Audit & Risk Manager (IARM) to “establish risk-based plans to determine the priorities of internal audit activity, consistent with the organisations goals”. The risk based-plan must also:
- take into account the requirement to produce an annual internal audit opinion;
 - incorporate a strategic high-level statement of how the internal audit service will be delivered and developed and how it links to the Council’s objectives and priorities;
 - explain how internal audit’s resource requirements have been assessed; and
 - include the approach to using other sources of assurance and any work required to place reliance upon those other sources.

Furthermore, the IARM must review and adjust the plan as necessary, in responses to changes in risks, operations, programs, systems, and controls.

3. ANALYSIS

Available resources

- 3.1 It is estimated that 55 days (excluding the days to be delivered by BDO, the internal audit computer audit supplier) will be available for delivering the Qtr. 2 audit plan.

		Qtr. 2 Plan
Total days available		104
Less Leave, sickness	8	
Staff development & training	3	
Management	14	
PSIAS/Shared Service/Lean	5	30
		74
Less Risk Management & Ins.	6	
General advice	4	
Corporate Governance Cttee	3	
Follow-up reviews	3	
4action – reporting	2	
Ann. Gov. Statement	1	19
Delivery of the audit plan		55

- 3.2 The 55 days available has been provisionally allocated across the following areas.

Internal Audit & Assurance Plan 2018-2019 - Quarter 2

Audit area	Commentary
3C IT procurement	To review the opportunities for improving the efficiency of IT procurement through the adoption of one Code of Procurement across the 3Cs. This audit has commenced and will be concluded in Qtr. 2.
Freedom of Information	To review the administration processes associated with receiving and responding to freedom of information requests. The audit will also consider the thoroughness of responses provided and the opportunities for making more information available on the Council's website so reducing the need to respond individually to requests.
Homelessness prevention pilot	This review will consider the robustness of the homelessness pilot scheme. The Council is piloting a new approach to combat homelessness by intervening with those identified as a risk at a much earlier stage and then offering access to support such as advice on employment & training or debt management. Homelessness has been recognised in the 2017/18 AGS as a significant issue.
Tech 1 - New FMS	<p>Identifying key controls across all the Technology 1 modules prior to completing quarterly assurance reviews.</p> <p>This work was due to be undertaken in Qtr.1 but postponed due to the on-going implementation of T1. T1 became 'live' on 9 July. Once any issues following 'go-live' have been identified and resolved, the IA&RM will then determine the timing of this piece of work.</p>
<p>In addition to the audits noted above, time has been allocated in the Qtr. 2 audit plan for undertaking work in the following areas.</p>	
Improving data analysis	The IA team use data analysis and file interrogation software (IDEA) to examine datasets during audit reviews. A review of payments made to suppliers is to be undertaken to identify any anomalies in payments and cases of potential fraud or error.
Community Infrastructure Levy.	Early involvement in the new processes and procedures that are to be introduced for evaluating CIL bids and allocating funds.
<p>Internal audit reviews to be undertaken by BDO.</p>	
Disaster recovery	The purpose of this audit is to provide assurance that the IT disaster recovery arrangements are sufficient to recover critical IT services.
Payment Card Industry Data Security Standard (PCI-DSS) Project Management	As a Merchant responsible for accepting credit and debit card payments, the Council is required to comply with the requirements of PCI-DSS. The purpose of this audit is to provide assurance that the delivery of the PCI-DSS project will result in the Council complying with the requirements of the Standard.

- 3.3 In addition to reviewing the areas listed above, time has also been included in the Qtr. 2 work plan to provide for the following:
- providing help and advice to managers;
 - follow-up reviews of agreed audit actions introduced;
 - attendance at quotation openings,
 - managing whistleblowing allegations; and
 - the quality assessment of audit work undertaken and file review.
- 3.4 The audit plan for Qtr. 1 was agreed by the Committee at the March 2018 meeting. Progress made to the 30 June against that plan is set-out below.

Audit area	Current position
<p>Small works contracts To review the contract management processes supporting the small works contracts and its use.</p>	The work in this area has been completed and a report is currently being prepared.
<p>3C IT procurement To review the opportunities for improving the efficiency of IT procurement through the adoption of one Code of Procurement across the 3Cs.</p>	This audit has commenced and will be concluded in Qtr. 2.
<p>Main financial systems : Qtly reviews Accounts Payable Accounts Receivable Council Tax / NNDR Main Accounting system</p>	<p>Reviews have been completed in respect of the key controls associated with the financial systems listed above. Each of the four areas received an adequate assurance opinion.</p> <p>In addition work has been undertaken to identify the key controls associated with the payment and recovery of housing benefits. Once agreed, these areas will be reviewed on a quarterly basis.</p>
<p>Energy costs To review the process for the procurement of energy and water. Annual expenditure in this area is of the region of £850k.</p>	<p>This review did not go-ahead. The Head of Operations has appointed a specialist consultant to review energy use.</p>
<p>Tech 1 - New FMS Identifying key controls across all the Technology 1 modules ahead of quarterly assurance reviews.</p>	This work was due to be undertaken in Qtr.1 but postponed due to the on-going implementation of T1.
<p>IT policy management To review the IT policy management software system including procedures for amending, the appropriateness of content and managing the roll-out to staff and their take-up of it.</p>	This review has been postponed due to the software supplier updating the security policies to capture changes in legislation and standards over the past year. The review is due to be undertaken by BDO, our IT audit supplier.

- 3.5 As two audit reviews that were due to be undertaken by the in-house internal audit team did not go ahead, audit reviews planned for later in the year were brought forward. Progress made on these areas is set out below.

Audit area

Current position

Hired staff

The 2018/19 budget shows that the level of spend on hired staff will reduce from £1.5m in 2017/18 to £182k in 2018/19. This review is to examine the management of this budget across all services.

Discussions have been held with a sample of managers who incurred hired staff expenditure in 2017/18 and the measures that they are putting to place to manage hired staff costs identified. The audit has been put on-hold until Qtr. 3 when it will be revisited.

Legal debt recovery procedures

To review the debt collection procedures followed by 3C Legal for the collection of the Council's general debts that have been referred to them by the Resources income team.

The work in this area has been completed and a report is currently being prepared.

Mobile phone contract

To review the management of the mobile phone project across the 3C partner authorities. The review will consider the procurement process, project management and the establishment of procedures to support compliance with mobile phone policies going forward.

This audit has commenced and will be concluded in Qtr. 2.

Internal Audit performance measures

- 3.6 At the time of preparing the Qtr. 1 audit plan, performance measures for 2018/19 had not been agreed with the Head of Resources. Since that time, performance measures have been agreed and included in the IA Service Plan. They are set out below.

- Results of end of audit survey forms (85% rating for service quality good or better).
- 100% of suggested audit actions agreed or the Corporate Management Team agree to accept the risk identified.
- Deliver 2018/19 audit plan by 30 April 2019.

- 3.7 In addition, there are four further performance measures that are reported internally that relate to the progress of individual audits.

- Complete audit fieldwork by the date stated on the audit brief (75%).
- Issue draft audit reports within the period stated on the audit brief (80%).
- Meet with customer and receive response allowing draft report to progress to final within 15 working days of issuing draft report (75%).
- Issue final audit report within 5 working days of receiving full response (90%).

4. LINK TO THE CORPORATE PLAN

4.1 The Internal Audit Service through the audit plan contributes to all the strategic themes and outcomes. Specifically it supports Corporate Management Team and Heads of Service by undertaking reviews that provide assurance that:

- significant risks identified in the risk register are managed effectively;
- laws and regulations are being met,
- business and financial processes and systems are managed effectively; and
- assets are safeguarded.

It also improves the performance of the Council by assessing current risks, considering emerging risks, identifying efficiency gains and process improvements.

5. RESOURCE IMPLICATIONS

5.1 There are no resource implications over and above those set out in the 2018/19 budget.

6. REASONS FOR THE RECOMMENDED DECISIONS

6.1 The Committee's terms of reference require it to approve the IA plan.

BACKGROUND PAPERS

The Public Sector Internal Audit Standards

CONTACT OFFICER

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Public
Key Decision – No

HUNTINGDONSHIRE DISTRICT COUNCIL

Title: Non-implementation of Internal Audit Actions.
Meeting/Date: Corporate Governance Committee – 26 July 2018
Executive Portfolio: Strategic Resources: Cllr J Gray
Report by: Head of Resources
Wards affected: All wards

Executive Summary:

The Committee approved a new framework in May 2017 for the reporting of the non-implementation of internal audit actions. This framework has been followed since its introduction. Committee have requested they be informed of all red actions and all amber actions where the Head of Resources considers their non-implementation poses a significant risk to the internal control and financial framework.

As at the time of preparing this report, for the year ending 30 June 2018 there are six actions outstanding (one red and five amber) from the 116 that were due to be implemented.

Having reviewed the five outstanding amber actions, the Head of Resources does not consider that their non-implementation poses a significant risk. They have been included in the report for completeness. All should be implemented by the end of October 2018.

Recommendation

It is recommended that the Committee consider the report and the action taken by the Head of Resources.

1. PURPOSE OF THE REPORT

- 1.1 In accordance with the Framework agreed by Committee in May 2017, this reports informs the Committee of the outstanding internal audit actions as at 30 June 2018 which pose a threat to the internal control and financial framework.

2. BACKGROUND

- 2.1 Appendix 1 contains information in respect of the one red action and five amber actions that are outstanding.
- 2.2 The following decision has been taken in respect of the red action:
- **Network Security.** This is a composite action summarising the actions required from the five network security reviews completed in 2017/18. The individual actions contained in each of the individual audit reports have either been completed or extended. In the circumstances, whilst a red action would not normally be granted an extension of time it is appropriate to grant an extension of time so that this composite action aligns to the individual actions. It is anticipated that the action will be completed by 30 September 2018.
- 2.3 With regard to the five amber actions, acceptable extensions have been granted based on fair justifications for delays.

3. KEY IMPACTS

- 3.1 It is important that the Council maintains a sound internal control environment. Actions that the Internal Audit Service propose to address risk and control weaknesses are discussed with Heads of Service and if appropriate Directors and agreement reached as to any corrective action that needs to be taken. Internal audit actions are not imposed on management.

4. WHAT ACTIONS WIL BE TAKEN?

- 4.1 Action has already been taken as set out above. Further updates on the progress that has made will be reported to future Committee meetings.

5. LINK TO THE CORPORATE PLAN

- 5.1 The Internal Audit Service provides independent, objective assurance to the Council by evaluating the effectiveness of risk management, control, and governance processes. It identifies areas for improvement across these three areas such that Managers are able to deliver the Corporate Plan objectives as efficiently, effectively and economically as possible. It also improves the performance of the Council by assessing current risks, considering emerging risks, identifying efficiency gains and process improvements.

6. REASONS FOR THE RECOMMENDED DECISIONS

- 6.1 The Committee require assurance that agreed internal audit actions are being implemented on time and internal control weaknesses are being addressed.

APPENDIX 1

Summary of outstanding internal audit actions as at 30 June 2018.

BACKGROUND PAPERS

Audit actions contained in the 4Action system.

CONTACT OFFICER

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OUTSTANDING INTERNAL AUDIT ACTIONS AS AT 30 JUNE 2018

APPENDIX 1

	Manager Responsible	Head of Service Position Statement		Responsible Financial Officer		
		Reason for Delay	Revised Implementation Date	RFO Opinion on Impact on Control/Financial Framework	Going Forward Action	
HEAD OF 3C's ICT						
AUDIT	NETWORK SECURITY 17.18					
Agreed Action (1)	Management should implement a procedure to routinely review the efficacy of the Council's IT network security arrangements, which includes but is not limited to : a) Firewall configuration and network activity b) Anti-malware configuration c) Vulnerability scanning procedures and patching arrangements d) Intrusion detection and prevention controls. e) Arrangements shall be put in place for penetration tests to be performed on a routine basis.	Alex Young	The network security audit consisted of 4 audits, (Firewall configuration and network activity, Anti-malware configuration, Vulnerability scanning procedures and patching arrangements and Intrusion detection and prevention controls). This audit action is the composite action for each	Extension of time to 30/09/2018.	This is a composite action summarising the actions required from the network security suite of reviews completed in 2017/18. The individual actions contained in the specific audit reports have either been completed or extended. In the circumstances, whilst this is a red action and a further extension would not normally be granted I feel that is appropriate to grant an extension of time so that this composite action aligns to the individual actions.	No further extension past September 2018.
Implementation	31/06/2018					

OUTSTANDING INTERNAL AUDIT ACTIONS AS AT 30 JUNE 2018

APPENDIX 1

		Manager Responsible	Head of Service Position Statement		Responsible Financial Officer	
			Reason for Delay	Revised Implementation Date	RFO Opinion on Impact on Control/Financial Framework	Going Forward Action
Date						
Agreed Action Status	Red		of the actions named. The majority now closed. When I applied for an extension I neglected to apply one to this action. The deadline has now been extended in line with the remaining associated open actions.			

OUTSTANDING INTERNAL AUDIT ACTIONS AS AT 30 JUNE 2018

APPENDIX 1

	Manager Responsible	Head of Service Position Statement		Responsible Financial Officer		
		Reason for Delay	Revised Implementation Date	RFO Opinion on Impact on Control/Financial Framework	Going Forward Action	
AUDIT	IT DISASTER RECOVERY 16.17					
Agreed Action (3)	Management should produce technical recovery plans for all IT infrastructure, hardware and systems that are necessary to provide an IT service to the Council in the event of a disaster. These technical actions plans should be appended to the IT Disaster Recovery Plan and made available in the event of a disaster.	Edward Keech	Much has been accomplished; the backup/restore is complete and documented, however the business continuity aspects associated with the server room project have stifled the progress a little in that a large portion of the necessary audit documentatio	An extension has been granted to 30/09/2018.	Much progress has been made to achieve this action; however there is some frustration with the vendor in them completing, and submitting, the relevant information. This is limited impact on the Councils internal control framework.	No further extension.
Implementation Date	30/04/2018 Original Date: 30/06/2017					
Agreed Action Status	Amber					

OUTSTANDING INTERNAL AUDIT ACTIONS AS AT 30 JUNE 2018						APPENDIX 1
	Manager Responsible	Head of Service Position Statement		Responsible Financial Officer		
		Reason for Delay	Revised Implementation Date	RFO Opinion on Impact on Control/Financial Framework	Going Forward Action	
			n is held by the vendor as they installed the system. We will apply more pressure to obtain from them what is required to fulfil this action.			
HEAD OF RESOURCES						
AUDIT	BANK RECONCILIATION					
Agreed Action (1)	The Finance Manager should liaise with the Development Manager (IMD) to ensure that the changes to the systems / processes that are needed to improve the efficiency and transparency of the income reconciliation are agreed, scheduled and completed.	Paul Loveday	Action will now need to be picked up by Paul Loveday, Interim Finance Manager. He will not have been aware of the action and will need time	Request extension to 30/09/2018	As part of the TechnologyOne implementation, all modules (including cash) have been reconciled. When is now required is the development of appropriate documentation. This is limited impact on the Councils internal control	No further extension.

OUTSTANDING INTERNAL AUDIT ACTIONS AS AT 30 JUNE 2018

APPENDIX 1

		Manager Responsible	Head of Service Position Statement		Responsible Financial Officer	
			Reason for Delay	Revised Implementation Date	RFO Opinion on Impact on Control/Financial Framework	Going Forward Action
Implementation Date	30/04/2018 Original Date: 30/09/2016		to address the action.		framework.	
Agreed Action Status	Amber					
AUDIT	PAYROLL 17.18					
Agreed Action (2)	A formal review of the car loan agreement will be undertaken to ensure that the authority is sufficiently protected in the event of staff defaulting on the loan terms.	Clive Mason	Work pressures (T1, Accounts Closure and Restructures) have meant that this deadline has not been achieved. The current scheme needs a full review and it's important that this is done properly.	Request extension to 30/10/2018	The car loan scheme generates a surplus for the council at very marginal cost. However, there is a risk of default within the scheme if someone leaves the council without repaying any outstanding balance – although the risk is marginal. However, all the current controls are operating as expected.	No further extension.
Implementation Date	31/03/2018					
Agreed Action Status	Amber				This is limited impact on the Councils internal control framework.	
AUDIT	FORECASTING ACCURACY AND ASSUMPTIONS					

OUTSTANDING INTERNAL AUDIT ACTIONS AS AT 30 JUNE 2018

APPENDIX 1

		Manager Responsible	Head of Service Position Statement		Responsible Financial Officer	
			Reason for Delay	Revised Implementation Date	RFO Opinion on Impact on Control/Financial Framework	Going Forward Action
Agreed Action (3)	Formal procedure notes will be documented for forecasting processes approximately one month prior to the implementation of the new FMS system. Guidance will cover the duties of finance staff, the approach that should be taken within the team, and will also include any roles and responsibilities of service managers, including timeframes for key elements of the process.	Paul Loveday	The forecasting module of T1 will be in place by mid-July, user guidelines are being developed. Planned to have "cascade" training by service accountants to managers in respect of forecasting.	Request extension to 30/09/2018	The TechnologyOne 'Budgeting and Forecasting' module has taken considerable development. However, with its imminent implementation the procedure notes will be produced when it is rolled-out to services. This is limited impact on the Councils internal control framework.	No further extension.
Implementation Date	31/03/2018 Original Date: 31/12/2017					
Agreed Action Status	Amber					

OUTSTANDING INTERNAL AUDIT ACTIONS AS AT 30 JUNE 2018

APPENDIX 1

	Manager Responsible	Head of Service Position Statement		Responsible Financial Officer		
		Reason for Delay	Revised Implementation Date	RFO Opinion on Impact on Control/Financial Framework	Going Forward Action	
AUDIT	MANAGEMENT OF ILL HEALTH AND SICKNESS 16.17					
Agreed Action (6)	Stress management training Line managers will be suitably trained on stress management awareness so they are better equipped to tackle workplace/other issues that may be causing undue stress and sickness. A review of the Stress Management Policy could be considered at the same time as the review of training to ensure they are aligned.	Cheryl Ward	Stress awareness e-learning module ready to be released, awaiting agreement from Head of Leisure and Health and the Wellbeing Team. Specific actions were taken to target stress within Development and this has been followed up.	Request extension to 31/07/2018	Expected to be implemented imminently, therefore limited impact on the Councils internal control framework.	No further extension.
Implementation Date	31/03/2018 Original Date: 31/01/2017					
Agreed Action Status	Amber					

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CORPORATE GOVERNANCE COMMITTEE PROGRESS REPORT

Committee	Decisions	Date for Action	Action Taken	Officer Responsible	Delete from future list
07/12/2016	<p><u>Skills, Knowledge and Effectiveness Review</u></p> <p>The Corporate Governance Committee resolved:</p> <p>i. that a training programme be devised; and</p> <p>ii. that an effectiveness review be undertaken.</p>		An Informal Corporate Governance Committee was held on 25 January 2017 for a self-assessment review of its own effectiveness.	Internal Audit and Risk Manager	No
24/05/17	New Members to receive the training survey. IRAM to submit report on training options.	12/07/17	Report submitted and training event agreed.	Internal Audit and Risk Manager	
12/07/17	Training to be provided on the values of good governance, external audit and internal audit.	12/09/17	Training arranged.	Internal Audit and Risk Manager.	
17/01/18	Further training to be undertaken in the new Municipal Year.	See below		Internal Audit and Risk Manager.	
13/06/18	Members to receive the training survey. Training to be organised.	07/18		Internal Audit and Risk Manager	

CORPORATE GOVERNANCE COMMITTEE PROGRESS REPORT

Committee	Decisions	Date for Action	Action Taken	Officer Responsible	Delete from future list
	Training to be provided on finance and on audit and the audit process.	TBA		Head of Resources	
13/06/18	<p><u>CGC Annual Report</u></p> <ul style="list-style-type: none"> • Annual Report approved for submission to the Council, • Internal Audit and Risk Manager authorised to make amendments to the Report after consulting the Chairman 	27/07/18	Annual report to be included in the Agenda for the Council.	Internal Audit and Risk Manager.	Yes
12/07/17	<p><u>Annual Review of Thresholds – Disposals and Acquisitions Policy</u></p> <p>Policy endorsed. Further review to take place in 24 months.</p>	07/2019	Review to be undertaken in 2019	Head of Resources	No
13/6/18	<p><u>Local Code of Corporate Governance</u></p> <p>Members' involvement in the icare value system to be explored.</p>	07/18	Referred to Political Leadership.	Cabinet Policy and Support Officer	Yes