



Report Reference Number: A/20/24

To: Audit and Governance Committee
Date: 27 January 2021
Status: Non-Key Decision
Ward(s) Affected: All
Author: Karen Iveson; Chief Finance Officer (s151)
Lead Executive Member: Cllr Cliff Lunn
Lead Officer: Karen Iveson; Chief Finance Officer (s151)

Title: Annual Governance Statement 2019/20 – Action Plan Review

Summary:

To review progress on the Annual Governance Statement (AGS) 2019/20 Action Plan approved in November 2020.

Recommendations:

It is recommended that progress against the Action Plan for the Annual Governance Statement for 2019/20 be noted.

Reasons for recommendation

To ensure the necessary actions have been carried out in accordance with the approved Annual Governance Statement and action plan.

1. Introduction and background

- 1.1** Good governance is important to all involved in local government; however, it is a key responsibility of the Leader of the Council and of the Chief Executive.
- 1.2** The preparation and publication of an annual governance statement in accordance with the CIPFA/SOLACE Framework was necessary to meet the statutory requirements set out in Regulation 4(2) of the Accounts and Audit Regulations which requires authorities to “conduct a review at least once in a year of the effectiveness of its system of internal control” and to prepare a statement on internal control “in accordance with proper practices”.
- 1.3** To meet the requirement to review the AGS an Action Plan has been agreed and is subject to half yearly review by the Audit and Governance Committee.

2. The Report

- 2.1** The present Action Plan for review is attached as Appendix A. Progress against the approved action plan has been made although there are some actions on-going which will be monitored by Leadership Team over the remaining months of the year in order to ensure actions are delivered to the agreed revised deadlines.

3. Alternative Options Considered

Not applicable.

4. Implications

4.1 Legal Implications

None as a direct result of this report.

4.2 Financial Implications

None as a direct result of this report.

4.3 Policy and Risk Implications

Significant control weaknesses present risk for the Council and therefore it is important that agreed actions are implemented.

4.4 Corporate Plan Implications

Ensuring an effective governance and control framework supports the Council in delivery of its 'great value' priority.

4.5 Resource Implications

Resources to deliver the agreed actions are within the approved budget and policy framework.

4.6 Other Implications

There are no other notable implications beyond those set out in the report and associated action plan.

4.7 Equalities Impact Assessment

Not applicable.

5. Conclusion

- 5.1** The AGS and scrutiny of the Action Plan represents progress towards setting the highest Corporate Governance standards and meets the requirements of the Accounts and Audit Regulations.

6. Background Documents

None.

7. Appendices

Appendix A – AGS 2019/20 Action Plan Progress Update January 2021

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APPENDIX A

Issue Identified	Source of Evidence	Update/Summary of Action Taken & Proposed	By whom and by when	Current Position
Non-compliance with the Payment Card Industry Data Security Standard (PCI DSS)	Internal Audit report	New software purchased as old system ceased to be supported. Implementation of new software should resolve PCI DSS issues. Management responsibility has been defined. Responsibility for completing annual PCI DSS assessment to be assigned.	Head of Business Development and Improvement Revised date to 31 July 2021 (previously 31 December 2020).	We have procured a new income management system from Civica that will enable PCI DSS compliance. Originally it was hoped that this would be implemented by September. However, whilst the work has commenced, delays due to Covid-19 mean Civica will now be unable to complete this until July 2021.
Performance Management	Internal Audit Report	<ul style="list-style-type: none"> • PDR guidance to be reviewed and updated. • HR to undertake QA review of sample of PDRs. • Return rate of PDRs to be monitored and all PDRs reviewed and returned to manager if not complete. • Training plan to be completed promptly following PDR process. 	Head of Business Development and Improvement Revised date 30 June 2021 (previously December 2020)	A review of capability/performance management policy and procedure forms part of the council's plans to review and update all principal HR policies. This review of policies has been delayed due to the Covid-pandemic response and ensuring staff are safe and supported in these new working arrangements. Attendance management and disciplinary policies have now been reviewed and signed off and capability/performance management is next. We expect to complete this work in the first half of 2021. will be updated in advance of the next round of PDRs, to be completed at the end of 2020/21.