

## SIGNIFICANT GOVERNANCE ISSUES 2018/19

No.	Governance issue	Proposed Action	Timescale	Responsible Officer/Group	Current Position as at 30 November 2018
1.	Risk Management	<ul style="list-style-type: none"> <li>Develop and approve strategy</li> <li>Implement corporate risk register</li> <li>Member and senior officer session on risk appetite</li> </ul>	December 2018	Head of Corporate Services	<p>A draft strategy has been written, supported with the development of a new corporate risk register. It is the intention to present both at Audit Committee in December 2018.</p> <p>Risk management awareness training including the exploration of a corporate risk appetite was held over two sessions in June and November 2018.</p>
2.	Constitution	<ul style="list-style-type: none"> <li>Review and update the Constitution</li> </ul>	December 2018	Head of Democratic Services	<p>Progress has been made on the review of the Constitution and a first draft, including the Scheme of Delegation, is expected to be ready for consultation early in the New Year prior to consideration by Council for implementation in April 2019.</p>
3.	Business Continuity	<ul style="list-style-type: none"> <li>Finalise and test draft corporate plan</li> </ul>	September 2018	Head of Corporate Services	<p>Plan will be finalised and tested in the final quarter of the year and by January 2019 latest. The management cohort within corporate services is now fully resourced to facilitate this.</p>

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4.	Audit Committee effectiveness	<ul style="list-style-type: none"> <li>• 'Role of the Audit Committee' training to be programmed</li> <li>• Review Terms of Reference and name of Committee</li> <li>• Increase the profile of the Audit Committee e.g. production of annual report, six monthly newsletter</li> </ul>	March 2019	Head of Corporate Services	<p>Role of the Audit Committee, 'Meet the Internal Audit Team' and Statement of Accounts training have taken place.</p> <p>The peer review of the internal audit function took place in November 2017. An excellent session was held with the Audit Committee to go through the action plan and agree improvements to the audit process.</p> <p>The name and Terms of Reference of the current Committee are being reviewed as part of the update of the Constitution.</p> <p>An Audit Committee annual report for 2017/18 was approved and presented at Council by the Chair of the Committee.</p> <p>Quarterly meetings are held between the Internal Audit team, Chair of the Committee, Lead Member and Support Member for Corporate Governance.</p> <p>The role of internal audit and the Committee has been added as an item for the new Council induction programme.</p>

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5.	General Data Protection Regulations	<ul style="list-style-type: none"> <li>Respond to and resolve promptly any breaches</li> <li>Ongoing compliance monitoring through reviewing GDPR process and procedures</li> <li>Monitor Privacy Impact Assessment</li> <li>Monitor Action Plan</li> </ul>	March 2019	Head of Corporate Services	Ongoing compliance with GDPR is monitored through a corporate Information Board. The board is chaired by the Chief Executive, the Council's designated Senior Risk Information Officer. Compliance is supported through the work of internal audit.
6.	Workforce Development Strategy	<ul style="list-style-type: none"> <li>Develop and approve strategy</li> </ul>	December 2018	Human Resources Manager	<p>First draft completed and discussed with Management Team, Operational Managers Group and TU Liaison meeting (8/11/18).</p> <p>Comments being incorporated for second draft.</p> <p>Agreed with Corporate Leadership Team that timescale for completion is quarter 4 2018/19. The strategy is scheduled within the Overview and Scrutiny Committee Work Programme.</p>
7.	Local Code of Corporate Governance	<ul style="list-style-type: none"> <li>Develop and approve a new code of governance</li> </ul>	March 2019	Head of Corporate Services	The Policy and Communications team will look to research and develop a new code within quarter 4 of the financial year (2018/19).

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8.	Licensing	<ul style="list-style-type: none"> <li>Delivery of licensing action plan</li> </ul>	April 2019	Head of Community Services	<p>Whilst the majority of actions have been completed, there are four actions that require further work. These are as follows:</p> <p><b>The requirement to provide LOLER certificates</b> - This requires an amendment to the Council's Hackney Carriage (Taxi) and Private Hire Policy which is currently being reviewed.</p> <p><b>Safeguarding Training for Taxi Drivers</b> - Safeguarding training was provided for the majority of the taxi drivers in March and April. Further training sessions are being arranged for November.</p> <p><b>Cost recovery of fees associated with animal boarding establishments</b> - Since the original audit was carried out in October 2017, the Animal Welfare Regulations have come into force. These regulations introduce a new inspection and rating regime and a new charging scheme is currently being developed as a result.</p>

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					<p><b>Requirement to carry out inspections of licensed premises and introduce risk rating to these premises</b> - It had been intended to incorporate the inspection regime into the food inspection regime; however, the Environmental Health Team has been under-resourced for much of the year. Recruitment to vacant posts is now underway.</p>