

SIGNIFICANT GOVERNANCE ISSUES 2021/2022

No.	Governance issue	Proposed Action	Timescale	Responsible Officer/Group	Current Position as at 28 February 2023
1.	Community Infrastructure Levy (CIL) – governance arrangements	Overall governance arrangements to be formalised between partners.	March 2023	Head of Development Services	The three JCS Local Authorities are in the process of reviewing and considering formal arrangements.
2.	Local Code of Corporate Governance	Development and approve a new code of governance.	March 2023	Head of Corporate Services	Work has yet to commence due to other priorities. Will be taken forward within the new Audit and Governance service.
3.	Effective recovery of the internal audit function	Deliver the team's recovery actions including: <ul style="list-style-type: none"> • Completion of audit assignments. • Delivery of Quality Assurance and Improvement Programme (QAIP). • Ensure the team remains adequately resourced. 	June 2023	Head of Corporate Services (Chief Audit Executive)/ Head of Finance and Asset Management	The Internal Audit team has been operational for 2022/23. The work undertaken will enable an opinion to be made on the Council's internal control environment within the CAE annual report. The creation of an Audit and Governance service provides additional resilience. The QAIP will be reported to Committee in July.

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4.	Compliance with the CIPFA Financial Code	Deliver outstanding actions identified within the self-assessment.	March 2023	Head of Finance and Asset Management	The annual report to Audit & Governance Committee on the FM code will be presented in March and will confirm good progress in delivering identified actions. Further actions are being identified to drive continuous improvement and this will effectively be business as usual going forward with annual updates to committee.
5.	Licensing service review	Deliver the work streams identified within the service review project plan.	June 2023	Head of Community Services	Much progress has been made in the Licensing Service review including getting much needed processes in place, updating and agreeing the Licencing, Gambling and Private Hire and Hackney Carriage policies. A draft service structure has been agreed and the budget for this structure signed off by Council. Implementation of the new structure is now underway.

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6.	UK Shared Prosperity Fund	Ensure there are sound governance arrangements in place to oversee and support delivery of the investment plan.	December 2022	Head of Finance and Asset Management Head of Development Services	At Executive 16 November 2022 it was resolved: That authority be delegated to the Head of Development Services, in consultation with the Head of Finance and Asset Management, the Lead Member for Economic Development/Promotion and the Lead Member for Community, for the decisions needed to develop and implement the action plan arising from the UK Shared Prosperity Fund and Rural Prosperity Fund, or subsequent funds, or vary it in response to circumstances which may arise as a consequence of the need, including authority to enter into agreements, notices and other legal documents as necessary.

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7.	Equality and diversity	Review and update the current policy and produce a supporting action plan.	December 2022	Head of Corporate Services	A draft policy has been written. In terms of an action plan, the Local Government Association has produced an Equality Framework for Local Government (EFLG). Covering four modules, it has three levels of achievement, the first level being 'developing'. Delivery of the action plan will be considered by the new management team prior to formal approval of the policy.
8.	Fraud risk registers	Produce service specific registers for high-risk areas.	March 2023	Head of Counter Fraud and Enforcement Unit	Checklists drafted – to be issued to Corporate Governance Group with recommendations regarding areas of weakness for inclusion on the CFEU work plan. Suggested timetable relating to service area risk register delivery be presented to Corporate Governance Group for work to commence in Q1 2023/24.