

**Joint Report of the Chief Executive and
Executive Director, Core Services**

Audit Committee – 4th December 2019

ANNUAL GOVERNANCE STATEMENT ACTION PLAN 2018/19

1. Purpose of the report

1.1 This brief report supports the updated action plan relating to the issues identified following the Annual Governance Review (AGR) for 2018/19. The action plan is attached as Appendix 1 to this report and was approved alongside the Annual Governance Statement (AGS) by the Audit Committee at the July meeting.

2. Recommendation

2.1 It is recommended that the Audit Committee considers the progress being made against each item listed in the AGS action plan and seeks any explanations regarding any aspects of the progress detailed from the named action owner.

3. Action Plan Update

3.1 An action plan is used to track the progress of the actions necessary to deal with the issues raised through the AGG process. The action plan covers 2 areas:

- monitoring the implementation of management actions identified by the Data Protection Officer (DPO) to further improve compliance with the General Data Protection Regulations and embed good general data protection practice
- delivery of the improvement action noted within the 2019 Peer Review findings specifically to address recommendations relating to governance and risk

3.2 Progress in both areas is shown in the appendix.

3.3 The Committee will receive a report at its January meeting regarding the annual governance review process for the 2019/20 annual governance statement.

4. Background Papers

4.1 Previous Audit Committee reports covering the annual governance review process and the 2018/19 annual governance statement.

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Appendix One: Annual Governance Statement Action Plan 2018 / 19

Ref	Annual Governance Statement Action	Responsible Executive Director	Timescales	Current Position – Action Taken / Planned
1	Monitoring the implementation of management actions identified by the DPO to further improve compliance with the General Data Protection Regulations and embed good general data protection practice	Executive Director, Core Services	30/09/2019	<p><u>July 2019:</u> The Council’s compliance with the Data Protection Act (DPA) 2018 and the General Data Protection Regulations (GDPR) is being monitored through the Information Governance Board alongside other areas of information governance and management.</p> <p>The Council’s Data Protection Officer (DPO) reports to the Board, providing assurances regarding work being undertaken to embed revised procedures and processes to ensure compliance.</p> <p>A programme of independent assurance reviews has been completed that provided the Information Governance Board with information and assurances regarding compliance.</p> <p>The Information Governance Board will oversee the implementation of the agreed management actions to ensure improved compliance and the embedding of good data protection practice.</p> <p>The DPOs annual report has been considered by SMT and the Audit Committee. It is important to stress that it is the responsibility of all senior managers to ensure the personal data they use in the delivery of services is maintained in compliance with the Council’s policies, the DPA 2018 and GDPR.</p> <p><u>November 2019:</u> In keeping with the Internal Audit process, the management actions arising from the individual assurance reports have been followed-up. Progress against the management actions in relation to the individual areas covered by the assurance reviews is summarised as:</p>

Ref	Annual Governance Statement Action	Responsible Executive Director	Timescales	Current Position – Action Taken / Planned
				<p>Data Minimisation - Completed Website Review - Completed Incident Management - Completed Unannounced Visits – Substantially complete, CCTV inventory underway Phase 1 Process Mapping Compliance - Completed SARS and CFIT - Completed Cybersecurity – Partially complete, contract arrangements, cyber resilience strategy and super-user system review outstanding</p> <p>The Audit Committee will receive a specific update report from the DPO at its January meeting.</p>
2	<p>Delivery of the improvement action noted within the 2019 Peer Review findings specifically to address recommendations relating to governance and risk.</p>	Chief Executive	31/03/2020	<p><u>June 2019:</u> The Peer Review Action plan is currently being revised in response to feedback from SMT.</p> <p>The report and revised action plan is scheduled for Cabinet approval on 24th July. This is slightly later than planned to receive input from the new Chief Executive. However, a number of actions are already underway to address the key recommendations and observations in the Peer Review e.g. the review of the Strategic Risk Register.</p> <p><u>November 2019:</u> In relation to the review of the Strategic Risk Register, SMT have received a presentation regarding the proposed new approach which was endorsed in principle. A workshop type session is planned to ‘create’ a new version of the SRR reflecting live ‘concerns’, ‘issues’ and ‘areas of strategic focus’.</p> <p>The Audit Committee will receive a report at its January meeting regarding the changed approach and the first version of the new ‘SRR’.</p>

Ref	Annual Governance Statement Action	Responsible Executive Director	Timescales	Current Position – Action Taken / Planned
				<p>A review has also been undertaken of the various 'boards' and 'steering groups' in operation and their relationship with SMT. By way of example, the Information Governance Board (relevant to the AGS action above) will be revised with a smaller more strategic remit utilising 'task and finish' groups for specific pieces of work.</p>