

## AGS ACTION PLAN FOR 2019/20 FOR IMPLEMENTATION DURING 2020/21 – AUDIT COMMITTEE UPDATE

No	Findings	Actions	Lead Officers	Update as at December 2020
1.	<p>Ongoing savings proposals and continued strategic management of organisational changes to continue particularly in light of COVID19.</p> <p><i>(Part) Follow on from 2018/19 AGS action plan.</i></p>	<p>Continued management/reduced budgets, revised structures and commercial/ business approach which links to the continued development and implementation of revised governance framework.</p> <p>Recovery, Reform and Reset Group set up to look at financial impact of COVID19 and drive the Council's recovery strategy.</p> <p>Further consultations on future savings.</p>	<ul style="list-style-type: none"> <li>• Chief Executive</li> <li>• SMT</li> </ul>	<p>Regular financial monitoring and active budget management are undertaken by managers across the organisation. Latest projections are that the budget for 2020/21 should out-turn broadly on target despite the significant pressures caused by the pandemic.</p> <p>The 2021/22 Service &amp; Financial Planning Strategy which is currently being consulted upon drives ongoing management of the organisation's budget in the face of continuing uncertainty over the ongoing impacts of the pandemic and likely reforms to the local government finance system nationally.</p>
2.	<p>All internal audits consist of an ethics questionnaire that is sent to a sample of staff in the team/areas being audited to demonstrate their understanding of key corporate policies and whether staff feel supported.</p> <p>Results of these questionnaires in 2019/20 demonstrate that:</p> <ul style="list-style-type: none"> <li>• Some staff do not feel that they have had a proper induction</li> <li>• Some staff do not have regular 1:2:1 supervision or team briefs</li> </ul>	<p>Induction process to be reviewed and re-publicised.</p> <p>Further guidance for managers in respect to completion of regular 121's, supervision and team briefs.</p> <p>Organisational Delivery &amp; Development work on revised strategic service planning linking corporate objectives through to APPD's – the golden thread. This will include workforce development and training.</p>	<ul style="list-style-type: none"> <li>• SMT/SDM</li> <li>• Organisational Delivery &amp; Development Manager</li> </ul>	<p>Attendance at all managers meetings throughout December to raise awareness of 'how to get the best out of your APPD', 1:1s and managers Sharepoint site.</p> <p>Monthly training sessions have been available to managers and employees on APPDs has been made available and communicated.</p> <p>All Directors have a Service Strategy linked to new Council Priorities. These set out high level aims and performance measures. All SDMs have business plans which set out how the service strategy will be</p>

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	<ul style="list-style-type: none"> <li>Some staff feel they do not receive adequate training</li> </ul> <p>These findings have been shared when discussing individual audit reports with relevant SDM's and Directors and taken to SMT as part of reporting corporate recommendations.</p>			<p>delivered. Business Plans have been developed by SDMs with their teams and should be used in conjunction with the APPD process.</p> <p>Resources issues inc. skills were included as part of the business planning process. Where skills issues were identified – these were fed to the L&amp;D Manager who spoke to the relevant manager to assist in taking these issues forward inc. the development of the corporate learning and development offer.</p>
3.	<p>Results of the Internal Audit questionnaires also indicated some lack of awareness in some areas of key corporate policies such as the Gifts &amp; Hospitality Policy and Whistleblowing Policy.</p>	<p>Campaign to be led by Audit &amp; Governance aiming to raise the profile of key corporate policies.</p>	<ul style="list-style-type: none"> <li>SMT/SDM</li> <li>Organisational Delivery &amp; Development Manager</li> </ul>	<p>Whistleblowing Policy has been refreshed and publicised across the Council. This is in addition to the production of online fraud training.</p> <p>Reminders on Gifts &amp; Hospitality will be publicised leading up to Christmas.</p>
4.	<p>The results of the annual governance certification process highlighted that in some service areas there were reductions in appropriate skilled staff numbers creating single points of failure.</p> <p>Service Delivery Managers are aware of these issues and where possible are putting measures in place to try and mitigate this.</p>	<p>As part of strategic planning process, ODD to record resource needs from SDM and work with them to identify ways to address this eg. apprenticeship strategy, management and leadership development and similar</p>	<ul style="list-style-type: none"> <li>Chief Executive</li> <li>Director of Finance &amp; Human Resources</li> <li>Organisational Delivery &amp; Development Manager</li> </ul>	<p>All Directors have a Service Strategy linked to new Council Priorities. These set out high level aims and performance measures. All SDMs have business plans which set out how the service strategy will be delivered. Business Plans have been developed by SDMs with their teams and should be used in conjunction with the APPD process.</p> <p>Resources issues inc. skills were included as part of the business</p>

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	<p><i>Follow on from 2018/19 AGS action plan</i></p>			<p>planning process. Where skills issues were identified – these were fed to the L&amp;D Manager who spoke to the relevant manager to assist in taking these issues forward inc. the development of the corporate learning and development offer.</p>
5.	<p>The results of the annual governance certification process has highlighted that service areas have experienced data breaches and potential near misses in respect to personal data.</p> <p>Where data breaches have been experienced, these have been reported to the Information Governance Team and managers have changed processes and procedures, where possible, based on lessons learned to prevent similar breaches occurring.</p> <p>It should be noted that the Information Commissioners Office has not taken any action against the Council during this time.</p>	<p>Information Governance to:</p> <ul style="list-style-type: none"> <li>• Update data protection training modules in 20/21 to ensure all officers are appropriately trained.</li> <li>• To refresh and re-publicise its Information Security Breach Procedure.</li> <li>• To ensure lessons are learnt after each breach and suggested improvements communicated corporately where applicable.</li> </ul>	<ul style="list-style-type: none"> <li>• SIRO/SMT</li> <li>• SDM's</li> </ul>	<p>Information Governance in partnership with Organisational Development and Delivery have developed additional data protection related training relating to home working which is available to all staff. The IG Basics Course is also being reviewed for re-launch in April 2021.</p> <p>The Information Security Breach Procedure has been updated and is available on the Councils intranet. This has been publicised to all staff.</p> <p>A new reporting tool has been developed that allows staff to report breaches using a computerised template. The template includes a field for lessons learnt which is a mandatory field.</p>
6.	<p>The annual governance certification process demonstrated that some service areas are aware that their web pages are not up to date but</p>	<p>Customer Relations leading on periodic testing on Council web pages and lessons learnt will be fed back.</p>	<ul style="list-style-type: none"> <li>• SMT</li> <li>• SDM's</li> </ul>	<p>The Council's mystery shopper programme to drive customer service standards, explores service web pages. Since July 2020, the programme has explored 5 services</p>

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	<p>they are in the process of updating them.</p> <p><i>Follow on from 2018/19 AGS action plan</i></p>	<p>Web authors and SDM's to be sent reminders on importance of keeping web content up to date.</p>		<p>including their webpages: housing, planning, jobs, schools and waste service. The web pages of these services have the greatest "footfall".</p> <p>In addition, all services are currently reviewing their webpages to ensure that they comply with accessibility standards. Content is being reviewed as par tof this process.</p>