



Audit and Standards Committee Supplement

Wyre Borough Council
Please ask for: **George Ratcliffe**
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**Audit and Standards Committee meeting on Tuesday, 14 November
2023 at 6.00 pm in the Council Chamber - Civic Centre, Poulton-le-Fylde**

7. **Internal Audit and Risk Management - Progress Report (Appendix 3)** (Pages 3 - 10)

Report of the Audit and Risk Manager, Karen McLellan.

Presented by the Audit and Risk Manager, Karen McLellan.

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ANNUAL GOVERNANCE STATEMENT 2022/23 – ACTION PLAN UPDATE (NOVEMBER 2023)

Governance Issue	Year relating to	Finding	Action required	Timescales / Officer Responsible	Position as at 10 November 2023
ICT Disaster Recovery / Cyber Resilience	C/F 2018/19	Work is ongoing to ensure the council is able to protect itself from a possible cyber-attack. Whilst work on drafting a separate cyber resilience plan has been temporarily stalled to allow the Insurance and Business Continuity to work on the insurance renewal it is hoped this will be picked back up in the summer, with a draft ready to be rolled out by the end of the year.	A draft cyber resilience plan is due to go to CMT for review before Christmas 2023.	Corporate Management Team / ICT Service Manager / Insurance and Business Continuity Officer 31 December 2023	A draft cyber resilience plan is due to go to CMT for review and approval on the 6 December 2023. Once approved this will sit alongside the council's other emergency / recovery plans and will be subject to on-going reviews and updates.
Climate Change	C/F 2021/22	Following the declared climate emergency in July 2019 the council has continued to work towards reducing the council's emissions by at least 78% by 2035. An action plan has been drafted and at present the Climate Change Working Group are monitoring the progress of this. However this may change in the near future as there is discussion	Whilst there is now two full time equivalents working to implement the projects within the current climate change action plan and key officers have been identified to lead on key projects with updates reported quarterly to CMT and management board, a decision needs to be made asap as to which member lead group will lead on the monitoring of the action plan.	Corporate Director Environment / Climate Change & Environmental Projects Officer On-going	An Overview and Scrutiny Climate Change Sub Committee has replaced the Climate Change Working Group with the first meeting held on 21 September 2023. The Climate Change Strategy and revised action plan is in draft form and following the next meeting of the Overview and Scrutiny Committee on 7 December 23, public

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		a new of Climate Change Overview and Scrutiny Sub Committee being created.			<p>consultation is due to commence.</p> <p>Work has continued to reduce the council's Carbon footprint with a 17% reduction from the 2018/19 base line.</p>
<p>Procurement / Social Value</p>	<p>C/F 2021/22</p>	<p>Whilst the Council's Constitution considers social value when procuring goods and services and gives some advice, the council does not record or monitor the impacts / outcomes of social value following the procurement of goods and services. Initial investigations were made to procure software that would assist with the recording and monitoring of social value, however it was considered excessive for the council's current needs.</p> <p>More work is required in this areas however it is noted that new legislation (Public Procurement Bill) which will come into effect in Autumn 2024 will influence changes. In the meantime the council</p>	<p>Further consideration will be given to including social value weightings in tender documentation and identifying other measures for monitoring social value outputs in contracts e.g. KPI's</p>	<p>Procurement Officer On-going</p>	<p>Spending officers have been advised that they should include as a minimum, a 5% weighting for social value for any spend above threshold contract procurements. This will be monitored by the Procurement Officer going forward.</p>

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		will continue to work within the guidelines of the Public Services (Social Value) Act 2012.			
Information Governance / Data Protection	2022/23	Following the completion of the GDPR Audit in November 2022 and a 'Limited' assurance opinion being given, the council continues to work towards ensuring full compliance with the UK GDPR. The actions arising from the audit are monitored through the GRACE risk management system and quarterly updates are submitted to both the Information Governance Group and also CMT. Whilst the majority of the recommendations can be actioned fairly quickly, it is noted that the main piece of work is around the council's suite of information asset registers and ensuring each service has a register in place and that they are a live and accurate documents. Until this recommendation has been actioned, the	<p>The GDPR action plan needs to be continually monitored by both the Information Governance Group and Corporate Management Team and regular updates must also be provided to the Audit and Standards Committee until all actions have been completed.</p> <p>Additional capacity needs to be explored to assist the DPO and their Deputy with key information governance tasks e.g. processing Subject Access and Freedom of Information requests, assisting asset owners</p>	<p>Head of Governance and Business Support On-going</p> <p>Head of Governance and Business Support 31 December 2023</p>	<p>Routine audit updates continue to be completed with the actions being recorded on the GRACE risk management system. Whilst a number of recommendations have already been completed, the main piece of work around the refresh of individual service information asset registers is still outstanding. Whilst work has started, progress is slow owing to capacity issues within the Information Governance Team. Until this work is completed the overall opinion will remain as 'Limited'.</p> <p>The Head of Governance and Business Support has now drafted a job description for a new post (subject to approval and job evaluation) – Corporate Compliance Officer, which will help with the actioning of outstanding</p>

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		assurance opinion will remain unchanged. It is noted that there are limited resources to move this forward at pace and additional resources should be considered.	compiling and maintain their services Information Asset Registers and also ensuring compliance to the Transparency Code.		recommendations and the overall improvement of GDPR compliance.
Staff Survey	C/F 2019/20	Whilst a full staff survey has not been carried out since 2017/18, there have been a number of other staff engagement / surveys that have taken place following the pandemic focusing on the new working arrangements and wellbeing. Whilst a date for the next staff survey is yet to be agreed, it is anticipated that the new Chief Executive will want to carry out another staff survey later in the year.	A date for the next full staff survey should be agreed and communicated to staff.	Chief Executive / Human Resources Manager Summer 2023	A full staff survey took place in October 2023. The results were fed back to CMT by the external consultant who carried out the survey on the 8 November 2023. Further feedback will be cascaded down to Heads of Service then to all staff as part of the listening days in December.
Competencies, behaviours and values	C/F 2021/22	The council's current values framework, which includes the expected values and behaviours, has not been reviewed following the role out of the hybrid working programme. In addition, it is felt that the 'one size fits all' competency framework is not	Following the refresh of the Council's Business Plan, work needs to recommence on refreshing the council's competencies, behaviours and values. Consideration should be given to introducing further levels of competency for managers and operational staff, however a steer from	Human Resources Manager / CMT December 2023	The draft Council Plan is due to be approved by Full Council in November 2023. The HR Manager is currently in the process of drafting higher level competencies which will be fed into the new job descriptions of the Senior Leadership Team.

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		<p>appropriate for Managers and operational staff.</p> <p>Whilst work did commence on refreshing the strategic narratives and the values framework in late 2022, this was put on hold pending the recruitment of the new Chief Executive. Once they are in post, it is expected that their first piece of work will be to refresh the council's business plan, following which a review of the council's values and behaviours will take place.</p>	<p>the new Chief Executive will be required.</p>		<p>Work on corporate values and behaviours will continue using the information from the recent staff survey and previous and future listening day sessions.</p>
<p>Regulatory Committees</p>	<p>22/23</p>	<p>The new Chief Executive has requested the amalgamation of both the Audit and the Standards Committees.</p>	<p>A new Terms or Reference needs to be drafted and agreed by Full Council.</p> <p>Training to be provided to the new committee on their new responsibilities.</p>	<p>Democratic Services Immediate</p> <p>Head of Governance and Business Support / Monitoring Officer 20 May 2023</p>	<p>Completed – A new terms of reference has been approved and included in the council's Constitution (Part 2.07).</p> <p>Completed – The Head of Governance and Business Support provided training to the new committee at their first meeting on 20 June 2023.</p>

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Learning Pool	22/23	The council has procured an e-learning tool 'Learning Pool' whilst this is now being used for corporate inductions, mandatory training (Data Protection and Cyber Security) and also a number of various Health and Safety Courses, more work is still required to continue to develop the system and take over the administrator role' which is currently being carried out by the Senior HR Advisor.	A review of resources within the HR Team needs to be carried out with the view to developing an additional resource to lead on the development of Learning Pool and carry out the role of the system administrator.	Human Resources Manager 31 December 2023	This has now been put on hold pending the outcome of the Senior Leadership Team restructure which is due to be approved by Full Council in January 2024.
Data Protection / GDPR Training	2022/23	Whilst staff are required to complete the on-line Data Protection module within Learning Pool every two years, it is noted that Elected members do not have access to this training platform and given the resourcing issues that come with the administration of the system, it is unlikely this will change any time soon.	An alternative method of training should be sourced in respect of Data Protection training for the council's newly elected members.	Head of Governance and Business Support 1 July 2023	Completed - An external consultant was appointed to deliver data protection / GDPR training for the council's newly elected members in July 2023. This will be repeated every two years in line with the Information Governance Training Programme.
Equality and Diversity	2022/23	Whilst equality and diversity training was provided to a number of officers in March	The council should consider approaching Blackpool Council with the view to	Human Resources Manager	Initial discussions have already taken place with the Equality and Diversity Officer

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		<p>2023, it is noted that the council does not have a single point of contact for equality and diversity and hasn't been able to identify any officers with the necessary skills to fill this knowledge gap.</p>	<p>providing the council with equality and diversity support going forward.</p>	<p>31 December 2023</p>	<p>at Blackpool Council with the view to carrying out a compliance report regarding the council's position on monitoring compliance with equality and diversity legislation. As part of the outcome from this report there may be the opportunity to further utilise expertise from Blackpool Council should the council need equality and diversity support in the future.</p>

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