

Year	Ref.No.	Governance Issue	Description	Lead Officer	Commentary	Timeline	Update: January 2024	Current RAG Rating
2022	22.01	Business Continuity	All departmental Business Continuity Plans to be regularly reviewed / tested during 2022/2023. Regular updates will be provided to the Corporate Leadership Team	Assistant Director of Digital and Data Services	BCP templates were issued in the summer 2022 to all departments / managers to complete. Documents have been received and will then be analysed and a overarching plan established	Jan-24	On Strategic Risk Register: YES Business continuity has not moved forward as expected. Further reminders issued in summer 2023 for updates for continuity plans and links with emergency planning. Internal Audit have completed a follow up review (reported December 2023) and there are a number of issues which remain outstanding. The Council has been targeted by cyber crime and also by ongoing technological changes which remains a key threat to continuity. ICT is central to virtually all service provision and as a result the Council is dependent on this service being delivered. Further tests are required to ensure that services can be reintroduced quickly and efficiently. There remains a gap between expectations and what can be delivered as part of this recovery process. Further works are required to establish a clear plan, which will require appropriate testing. The governance gap remains RED while testing remains ongoing.	Red
	22.02	Balanced budget and financial sustainability	The Council will continue to monitor its budget spending throughout the year and establish a MTFS early to enable for a balanced budget to be approved and moved towards financial sustainability in line with the Improvement Plans	Executive Director of Corporate Services and S151 Officer (Finance area)	Significant progress has been made on establishing balanced MTFS going forward. Monitoring of the 2022/23 budget throughout the year by CLT (and oversight by IIP) has allowed for early interventions to reprioritise / take action.	Jan-24	On Strategic Risk Register: YES The Council has a current budget which is balanced and significant progress has been made in year to achieve future sustainability. There remains ongoing volatility e.g. cost of living, inflationary factors on contracts, increased service demand within all areas. These remain a pressure for future years. While there is an inherent risk (RED), subject to the issues identified above being addressed, residual risk is currently amber.	Amber
	22.03	Council structure	To reflect the proposed Corporate Strategy, changes to the links with Cambridgeshire County Council, there is a need to realign the senior management team and then potential changes elsewhere as part of service reviews conducted internally and / or CIPFA to meet the Improvement Plans	Corporate Leadership Team	A new structure adopted, and appointments being made.	Jan-24	On Strategic Risk Register: NO Changes have been adopted and addressed.	COMPLETED
	22.04	Loss of key staff	As part of any restructures identified above or retirement and staff leaving, there will be a requirement to ensure that knowledge is not lost to the organisation. Appropriate workforce plans will be established	Corporate Leadership Team	As part of the creation of service plans, a workforce strategy is referenced. This is under development Service Delivery Plan templates have been enhanced to manage workforce delivery	Jan-24	On Strategic Risk Register: YES All departments have established Service Plans (2023). All are being updated / refreshed. As part of works with Human Resources and outcomes from a Council wide survey, an overarching Workforce Plan is under development for inclusion.	Amber

	22.05	Social Care integration	Continue to work towards greater integration between social care and health in order to maximise finite resources	Executive Director of Childrens Executive Director of Adult Services Director of Public Health	Integration and / or better alignment will be progressed within the Integrated Care System (ICS) with a particular focus on joint commissioning to create an effective and efficient system.	Jan-24	On Strategic Risk Register: YES Integration of systems remain at the forefront of delivering efficiency savings. Ongoing reviews are in place to ensure that systems remain appropriate.	Amber
	22.06	Information Governance	There is a need for continued vigilance in relation to the handling and access to data whether internally or the ability for it to be accessed from outside the Council	Assistant Director of Digital and Data Services Director of Legal and Governance and Monitoring Officer	Cyber security training mandatory and has been undertaken by 100% of the workforce. Disabled accounts where training not undertaken in the timescale. Other training delivered in relation to data protection to managers Reporting of data breaches will be included in an annual report in relation to information governance to Audit Committee	Jan-24	On Strategic Risk Register: YES Ongoing training has been provided to all employees within the Council. An annual report on Information Governance will be included on the Audit Committee agenda in July 2024.	Amber
	22.07	Climate Change	The Council has an ambitious strategy to meet climate change targets. There is a need for this to be regularly challenged and monitored	Executive Director, Place and Economy	Regular reporting to Cabinet / Committees on progress	Jan-24	On Strategic Risk Register: NO PCC has launched a number of initiatives in order to address the challenges of climate change and meet its target of net zero carbon emissions by 2030. These include: (1) An annual Council Carbon Management Action Plan which is a detailed document clearly indicating progress against the reduction in carbon emissions challenge, which acts as a useful tool to measure progress and highlight successes (2) The 2019 Climate Change Working Group was replaced by the Climate Change and Environment Scrutiny Committee in July 2022. This committee deals with the challenges of climate change and the urgent need for reduction in carbon emissions (3) A project has been put in place (externally funded) to produce a city-wide Climate Change Adaptation Plan (4) Dialogue is in place with schools, residents, parish councils and businesses to engage and develop plans to decarbonise the city (5) The Climate Change Action Plan 2023 commits to the production of a roadmap for achieving net zero emissions. This should in turn provide information on where we are now, and progress required to achieve the target. (6) Additionally, the Councils climate change work is overseen by the cross council Economy and Inclusive Growth Portfolio Board	Amber
	22.08	Project Management	Effective project management arrangements are required to assist in the ambitious Corporate Strategy and changes expected across the Council	Assistant Director of Digital and Data Services	All projects have assigned lead project managers. A separate review is looking to confirm they there is the requisite skills are in place. Further delivery of project management training will be provided, including the development of a PM Manual. (ICT have a manual but this needs to be made suitable for non-IT projects.	Jan-24	On Strategic Risk Register: YES Separate arrangements are being developed as part of the Improvement Programmes to oversee projects. Toolkits are being developed to ensure consistent approaches are in place. Performance reports are produced for CLT. Overall performance is not yet embedded across the Council and there is a review in train as to what are seen as appropriate KPIs / outcomes for the Corporate Strategy.	Amber

	22.09	Loan Financing (Empower)	With the decision to bring the solar panels etc. back in-house there is a need to ensure that there are accurate records, valuations in place to enable appropriate impairments to be recorded in the Councils records / accounts	Executive Director of Corporate Services and S151 Officer (Finance area)	Included in final accounts submitted to External Audit.	Jan-24	On Strategic Risk Register: NO Issues have been included within the draft final accounts. These are with the External Auditors for approval / sign off. (NB: EY have recently raised new questions in relation to the treatment of Empower).	Red
	22.10	Performance reporting	Continue to review and embed performance reporting through committees and Corporate Leadership Team to meet expectations set out in the Improvement Plans	Corporate Leadership Team	Establishment of Delivery Unit will oversee an improvement in internal and external monitoring and presentation of the key performance indicators delivered by PCC. Service performance and KPIs are reported to Performance CLT monthly.	Jan-24	On Strategic Risk Register: YES Separate arrangements are being developed as part of the Improvement Programmes to oversee projects. Toolkits are being developed to ensure consistent approaches are in place. Performance reports are produced for CLT. Overall performance is not yet embedded across the Council and there is a review in train as to what are seen as appropriate KPIs / outcomes for the Corporate Strategy.	Amber
	22.11	Good governance and decision making	External reviews have identified a number of areas for improvement in decision making. Changes will be implemented to streamline and make decisions more transparent (as identified in the Improvement Plan). The Councils Local Code of Governance will be refreshed during 2022	Director of Legal and Governance and Monitoring Officer	Consultation of staff on the Constitution has been raised in spring 2023 and included the narrative as well as the review of the contents. The Local Code of Governance still requires refresh. As part of the above reviews, together with this AGS, regular reports should be submitted to Audit Committee covering changes proposed, progress made and finally adopted in relation to Corporate Governance.	Jan-24	On Strategic Risk Register: NO The Local Code of Governance remains outstanding for updating. However, the supporting changes to governance through the various reviews need to be implemented / approved by Council and will then be reflected in the Local Code. The external review of governance has been completed and a number of actions established.	Amber
	22.12	Equalities	The Council has established an Action Plan to look to develop and embed appropriate policies and processes to deliver improvement in equality and diversity	Corporate Leadership Team	Ongoing monitoring is delivered to CLT. Further works are required to get PCC engaged and adopting the actions.	Jan-24	On Strategic Risk Register: NO EDI has been linked across with County throughout and is now being separately. While there is good coverage in place, it remains as an area for better take up and integration.	Amber
	22.13	Council Controls	Managers embrace internal audit recommendations and implement in line with agreed timescales	Chief Internal Auditor	Actions are followed up with all Line Managers to establish that they have been implemented or appropriate mitigation / alternatives put in place. Forms part of the Annual Opinion.	Jan-24	On Strategic Risk Register: NO Internal Audit follow up recommendations throughout the year. Any outstanding issues are referred through to the appropriate Director for action. This will be a recurring governance issue to be addressed each year, albeit with different audits.	Amber
NEW AREAS 2023:								

2023	1	Decoupling	<p>Decision taken to uncouple a number of services which are shared with County.</p> <p>This could lead to a number of services areas being under-resourced / under-staffed for a period of time of more staff are on County side.</p> <p>There is a requirement that the newly appointed Executive Directors keep up to date with the decoupling project so that service requirements remain to the fore and that any risks identified are mitigated expediently to ensure service continuity and prevent failure.</p>	<p>Executive Director of Childrens</p> <p>Executive Director of Adult Services</p>		Jan-24	<p>On Strategic Risk Register: YES</p> <p>The separation from County has been completed and posts are being filled. There are a number of areas where the resources remain stretched and these need to be addressed.</p>	Amber
	2	Debt Management	<p>Debt levels fluctuate through the year. There is a need to maintain effective arrangements between PCC / SERCO to ensure appropriate enforcement and collection arrangements are in place to minimise the loss of monies</p>	<p>Executive Director of Corporate Services and S151 Officer (Finance)</p>		Jan-24	<p>On Strategic Risk Register: NO</p> <p>There have been a number of improvements introduced into the process. The collection of debt, currently with Serco, will all revert to the Council when the service is brought inhouse in April 2024.</p>	Amber
	3	Priorities Board	<p>Following agreement of the each Boards Terms of Reference (ToR), ensure that effective challenge on each service delivery is in place to meet the Corporate Strategy priorities. This will be assisted through the Delivery Unit and regularly reported to CLT (and Cabinet)</p>	<p>Corporate Leadership Team</p>		Jan-24	<p>On Strategic Risk Register: YES</p> <p>There is a consistent approach introduced for all Boards. Regular reports are produced for CLT and the Improvement Panel.</p>	Amber
	4	Governance	<p>Complete the implementation of recommendations which arose from external reviews of:</p> <ul style="list-style-type: none"> - External organisations - Core governance <p>Review other governance activities and policies as appropriate including:</p> <ul style="list-style-type: none"> - scrutiny model - scheme of delegation - whistleblowing 	<p>Director of Legal and Governance and Monitoring Officer</p>		Jan-24	<p>On Strategic Risk Register: NO</p> <p>Link with 22.11.</p> <p>Actions plans are now established and steps are being taken to implement those changes. These include Shareholder Committee arrangements, reviews of companies, committee terms of reference and the delivery of training to ensure compliance and understanding.</p>	Amber
	5	Income generators	<p>Review the viability of services which provide income to the Council. As part of the review there should be a comprehensive fees and charges review.</p> <p>Establish a Fees and Charges Policy which determines the purpose of charging and the level of cost recovery necessary for the various services provided.</p>	<p>Executive Director of Corporate Services and S151 Officer (Finance)</p>		Jan-24	<p>On Strategic Risk Register: NO</p> <p>Routine reviews of fees and charges have been established to ensure discretionary services are not being subsidised by Council. A separate policy is under review.</p>	Amber

6	Asset Management Strategy	Regular reporting on progress to deliver the strategy – covering disposals, acquisitions etc. should be provided to the various decision makers to ensure that the AMS is being effectively managed.	Executive Director of Corporate Services and S151 Officer		Jan-24	On Strategic Risk Register: NO Thorough scrutiny is in place of all disposals so that a balanced approach is taken. The AMS is agreed by Council each year.	Amber
7	Company structures and joint ventures	A full review of current arrangements, including implementation of all recommendations in the CIPFA Governance Paper. Some existing companies will be discontinued if no longer fit for purpose.	Director of Legal and Governance and Monitoring Officer		Jan-24	On Strategic Risk Register: NO Linked to 4 above, there has been a full review of officers / Members on all companies and separate training provided as appropriate.	Amber
8	Risk Management	Works are required for ongoing development of key strategic risks for monitoring by CLT and Audit Committee. There is also a need to develop an online training tool to assist managers in understanding this area	Executive Director of Corporate Services and s151 Officer (ICT area)		Jan-24	On Strategic Risk Register: NO A new Risk Manager has been appointed and is in the process of developing a new framework together with the necessary training tools for the business. Regular reports are provided to CLT	Amber
9	Consultation	Refresh our methods and policies which are used as part of consultation with stakeholders. Particular focus should be on how the Councils engages with hard-to-reach communities	Executive Director of Corporate Services and s151 Officer (Communications area)		Jan-24	On Strategic Risk Register: NO Ongoing	Amber
10	Staff Capacity and Capabilities	with the increased frequency of reporting of service performance to CLT and various Committees, the Council will also revisit its approach to a staff appraisal process. There is a formal performance / appraisal process in place "Our Conversation" however this is not consistently followed across the Council, so it is difficult to determine if staff meet their priorities and objectives. Exit interviews may or may not happen.	Executive Director of Corporate Services and s151 Officer (Human Resources area)		Jan-24	On Strategic Risk Register: NO Link with 22.04 A new appraisal system is in development.	Amber
11	Financial Management	The Council will refresh its Financial Regulations and Contract Rules to ensure that they meet the latest delegations, constitutional needs, and best practice. Appropriate training and user guides will be developed for all Managers together with Inductions	Executive Director of Corporate Services and s151 Officer (Finance area)		Jan-24	On Strategic Risk Register: YES Link with 22.02. Under development	Red

12	Health and Safety	Health and Safety arrangements appear weak. More resources are required and a higher prominence and visibility throughout the organisation.	Executive Director of Corporate Services and s151 Officer (Human Resources area)		Jan-24	On Strategic Risk Register: YES There has been a recruitment drive within Property Services to enhance the Health and Safety service which has predominantly been lead by County. The separation from County will continue to drive this forward.	Red
13	Corporate Strategy / Plans	The Corporate Plan has now been approved and service plans have been drafted. Performance management is improving but it is not yet embedded within the organisation. Work has progressed well on the Corporate Plan and values, but Service Plans need further development and must be embedded in everything we do	Corporate Leadership Team		Jan-24	On Strategic Risk Register: NO Ongoing dialogue and workshops with employees drives the embedding and understanding of the corporate values across the Council.	Amber
14	Financial Performance	External Audit has not yet signed off for 2020/21 and 2021/22, so there is no confirmed external review of the control environment. This remains urgent. A robust timescale is required for this to be achieved before the service is retendered.	Executive Director of Corporate Services and s151 Officer (Finance area)		Jan-24	On Strategic Risk Register: NO PSAA completed consultation and issued new fees on 30/11/23. PCC new cost for EA for 2023/24 accounts is £322k. This is set aside as a pressure for the budget Additional questions / challenges are raised by EA which are being addressed. There is an expectation that the first set of accounts will be submitted to January 2024 Audit Committee.	Amber