

CORPORATE GOVERNANCE PANEL

MINUTES 4th August 2017

Executive Boardroom 11.00 a.m.

Panel Members: Nicole Scammell, Cllr. B Jones, Gail Williams, Paul Lewis, Rob Hartshorn, Richard Harris.

1. APOLOGIES

Apologies were received from Nicole Scammell.

2. MINUTES

The minutes of the meeting held on the 28.4.2017 were agreed as accurate.

3. UPDATE ON FINAL VERSION OF AGS

RH updated the Panel on the last minute amendments that were made to the draft AGS following the Audit Committee and suggestions made by Grant Thornton as a result of their audit work. RH explained that in paragraph 5.3 a sentence was added to provide an overall summation of the governance position which also provides some context to the areas identified for improvement.

An additional area for improvement has been included, following discussions at the Audit Committee, which is in connection with the timeliness of completing some of the agreed actions in respect of external regulator recommendations. Four specific work strands have been identified and included for ongoing monitoring by the Panel.

Following discussion of the individual issues it was agreed that officers responsible for each of the four topics be contacted by RH to make them aware that the Panel would be monitoring progress and reporting such to the Audit Committee. A meeting of the Panel would also be arranged for October so that the Panel can be formally updated on progress.

4. AREAS FOR THE PANEL TO CONSIDER ARISING FROM GRANT THORNTON AUDIT WORK

RH introduced two other suggestions made by Grant Thornton,

4.1 The production of an action plan of measureable actions to address each of the areas for improvement identified in the AGS. RH explained that the creation of an action plan setting out the required measures to address the identified areas for improvement would be a useful tool in assisting the Panel to monitor progress and in making the decision to remove an issue off the AGS. RH suggested that a previous template used by the panel could be reintroduced and could form a standing item on future agendas. The panel agreed that the template would be used to record and monitor actions identified to address the areas for improvement. RH to liaise with the relevant officers to complete the initial population of the template for the Panel to review at the next meeting. RH also asked whether it was felt the action plan should form part of the AGS and following discussions it was agreed that it was not considered appropriate to include such detail in the statement.

4.2 Undertaking an assessment of compliance with our agreed Code of Corporate Governance. RH explained the rationale behind this proposal and provided a draft document that could easily be populated by the relevant officers and then used to gauge any areas where the panel should focus its attention on. It was agreed to undertake the assessment as discussed and the document could be reviewed at the next meeting.

5. UPDATE ON PROGRESS WITH THE ORIGINAL TWO AREAS FOR IMPROVEMENT

5.1 Joanne Jones updated the Panel that most Service Areas had completed 3 key preparation tasks since 2016 (update the service's Information Asset Register; update corporate list of information sharing arrangements; and undertake an audit of what privacy notices currently exist). Some Service Areas had not yet completed these initial tasks which is concerning as further work is now required. CGP agreed that a reminder to all Service areas to complete these tasks by 31 Oct should be issued, with higher-risk Service Areas closely monitored. JJ also described the next tasks required of Service Areas to ensure they are prepared for GDPR, and talked through awareness raising activities to date.

PL emphasised that making sure information is properly managed is the responsibility of every Head of Service as Information Asset Owner. Questions were raised on how to monitor completion of elearning and it was stated that managers can currently look at iTrent for details but that this is not straightforward to check compliance across a number of individuals. PL has already initiated activity on this front and IT and HR are looking at whether a bespoke report can be written to simplify this for managers and offer team views.

5.2 GW informed the group of the background concerns that led to including this item on the AGS. A template spreadsheet has been produced which in future will be maintained and used to monitor compliance with the agreed arrangements. NS has agreed the template and it will now be going to CMT to become part of the regular monitoring regime. It was agreed that a further update will be provided at the next meeting.

6. DRAFT CODE OF CORPORATE GOVERNANCE and DRAFT REVISED TERMS OF REFERENCE FOR PANEL

RH reminded the panel that both documents will be going to the next Audit Committee and asked if anyone had any last minute changes or comments to let RH know by the end of the next week.

7. AUDIT COMMITTEE FORWARD WORK PROGRAMME

There were no additional items or comments in respect of the current version of the forward work programme.

8. A.O.B.

GW indicated that the next meeting will be in October to enable the panel to review the action plan and the Code comparison and the updated progress made on the areas for improvement. RH to arrange with Leigh Brook.