

Quarterly governance update

for Cabinet Briefing and Audit Committee

Q3 2022-23



Areas covered

- Corporate risk
- Complaints
- Information requests
- Internal audit and external audit
- Equality and inclusion
- Annual Governance Statement
- Business Continuity Plans



Risk management










- Meetings held with all service managers to ensure awareness of corporate risk management arrangements
- Improved engagement now being seen as per Q3 updates received
- Service risk registers now fully established and being reviewed regularly
- Follow up internal audit on risk management completed with all outstanding management actions completed








Corporate risk register – summary

5					
4		<ul style="list-style-type: none"> • Nutrient neutrality (Local Plan delivery) 		<ul style="list-style-type: none"> • Risk of disruption to council services • Homelessness & Housing 	
3		<ul style="list-style-type: none"> • Medium Term Financial Strategy • Transition to standalone council • Data ownership following separation 	<ul style="list-style-type: none"> • Cyber attack - data leak • Poor commercial contract negotiation • Contract - Capita • Legislative changes • Stakeholder relations 	<ul style="list-style-type: none"> • Property • IT provision: long term • Manpower • Broadmarsh sea defence • Local Plan • Environment Act 	
2		<ul style="list-style-type: none"> • Norse depot • Customer satisfaction 	<ul style="list-style-type: none"> • IT provision: short term • Regeneration inc funding opportunities • Reputational damage • Breach of state aid rules 	<ul style="list-style-type: none"> • Corporate project delivery • Emsworth Mill Pond • Contract - Environmental Services • Contingent liabilities 	
1					
	1	2	3	4	5
	Impact →				

TOP LEVEL RISKS AND RECENT MOVEMENTS

Risk	Updates	Move
Nutrient neutrality (Local Plan delivery)	Likelihood increased due to limited capacity at Warblington. Mitigations updated to reflect ongoing work to ensure scheme continues to operate effectively and to cover our needs in short term with longer term options being reviewed.	
Local Plan	Overall risk increased due to pre-submission now not likely until 2024, although successful consultation held in Oct-Nov 2022 to take forward plan	
Homelessness	Updated mitigations and remains a significant risk although opening of Brent House in Dec 2022	
Cyber attack – data leak and/or system loss	Updated to reflect continued mitigations in place. Very few successful attacks; mainly related to spear-phishing. Training and testing remain as the key mitigations	
Customer satisfaction	Updated mitigations to reflect client team in place and focussing on performance improvement (as can be seen by reduction in complaints in particular in waste area)	
Contract Management - Capita	Updated mitigations to reflect creation of contract management tool in PowerBI and improved training offer for officers to improve performance	
Property	Updated mitigations to reflect new Head joining in Feb 23 and new team structure in place and operating with new IT system planned for summer	
Risk of disruptions to Council services	Updated mitigations to reflect ongoing work (Business Continuity Plans review)	
Environment Act	Updated mitigations to reflect ongoing work	

TOP LEVEL RISKS AND RECENT MOVEMENTS

Risk	Updates	Move
Capita business model	Risk closed as no longer an issue as we approach the end of the contract and future options are being explored for future delivery	
IT provision (long term)	Scoring reduced with improved mitigations in place and delivery of the IT infrastructure paper going through Cabinet in January	
IT provision (short term)	Scoring reduced to reflect updated mitigations and team in a good position to respond to short term (P1) major issues in a timely way to keep services running	
Contract Management – Environmental Services	Scoring reduced to reflect fully established client team and work on ending of the delegation agreement with EHDC	
Transition inc data migration	Likelihood further reduced as transition project draws to a close, monitoring outstanding actions	



Complaints

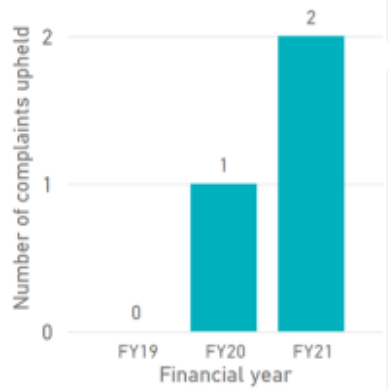


Find out more about our Complaints Policy and Procedure

Number of complaints received



Number of Local Government Ombudsman complaints upheld

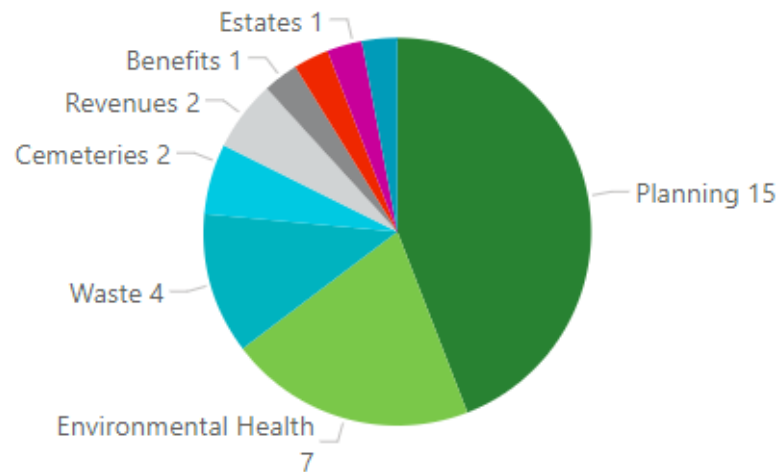


Customers who have been through Stage 1 and 2 of our Complaints Policy may refer their complaint to the Local Government Ombudsman for independent review if they are not satisfied with the council's response. Complaints are classified as upheld where the Ombudsman finds that the council was at fault.

% of complaints completed within 10 days



Outstanding complaints by service



COMPLAINTS DASHBOARD - End of Q3

Exceeded Service level

Service	Total
Planning	13
Environmental Health	7
Cemeteries	2
Revenues	2
Benefits	1
Communications	1
Estates	1
Planning Enforcement	1

Total 28

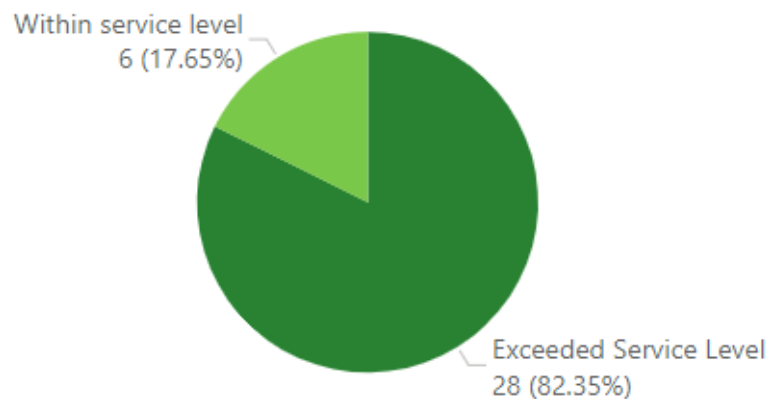
Within service level

Service	Total
Planning	2
Waste	4
Total	6

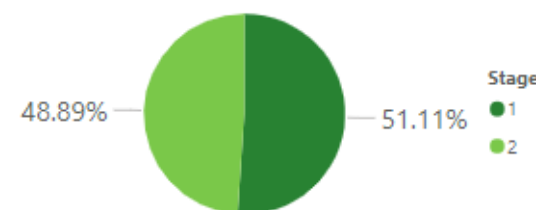
Approaching deadline

Service Total

Outstanding complaints responses



Outstanding complaints by stage



Date	Total complaints outstanding	Waste complaints outstanding
14 Oct	166	121
28 Oct	119	71
31 Dec	33	4

Home

Information requests



[Find out more about access to information](#)

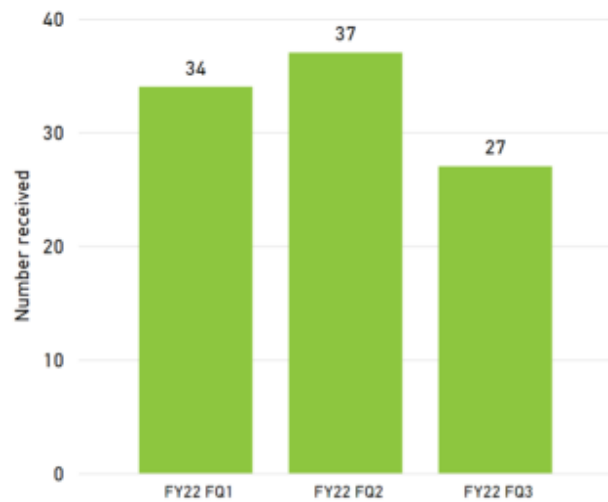
[View previous FOI requests](#)

[Reset filters](#)

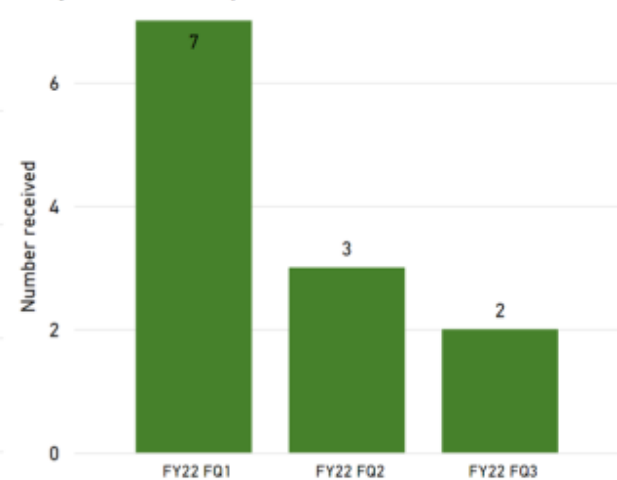
Freedom of Information requests



Environmental Information Regulations requests

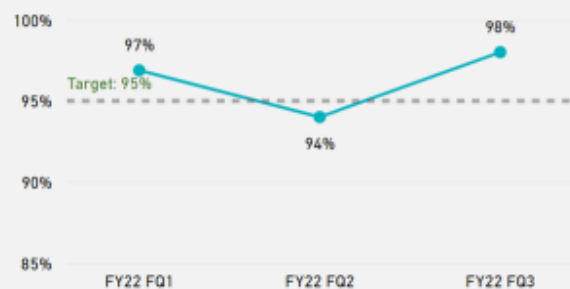


Subject Access Requests

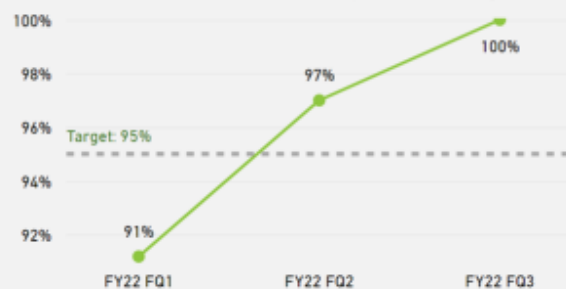


% of requests completed within the statutory timeframe

Freedom of Information requests



Environmental Information Regulations requests



Subject Access Requests



Internal & external audit summary

Internal audit

- 68 outstanding management actions which need progressing
- Internal Audit are scheduled to bring forward their next quarterly progress update to the next Audit Committee

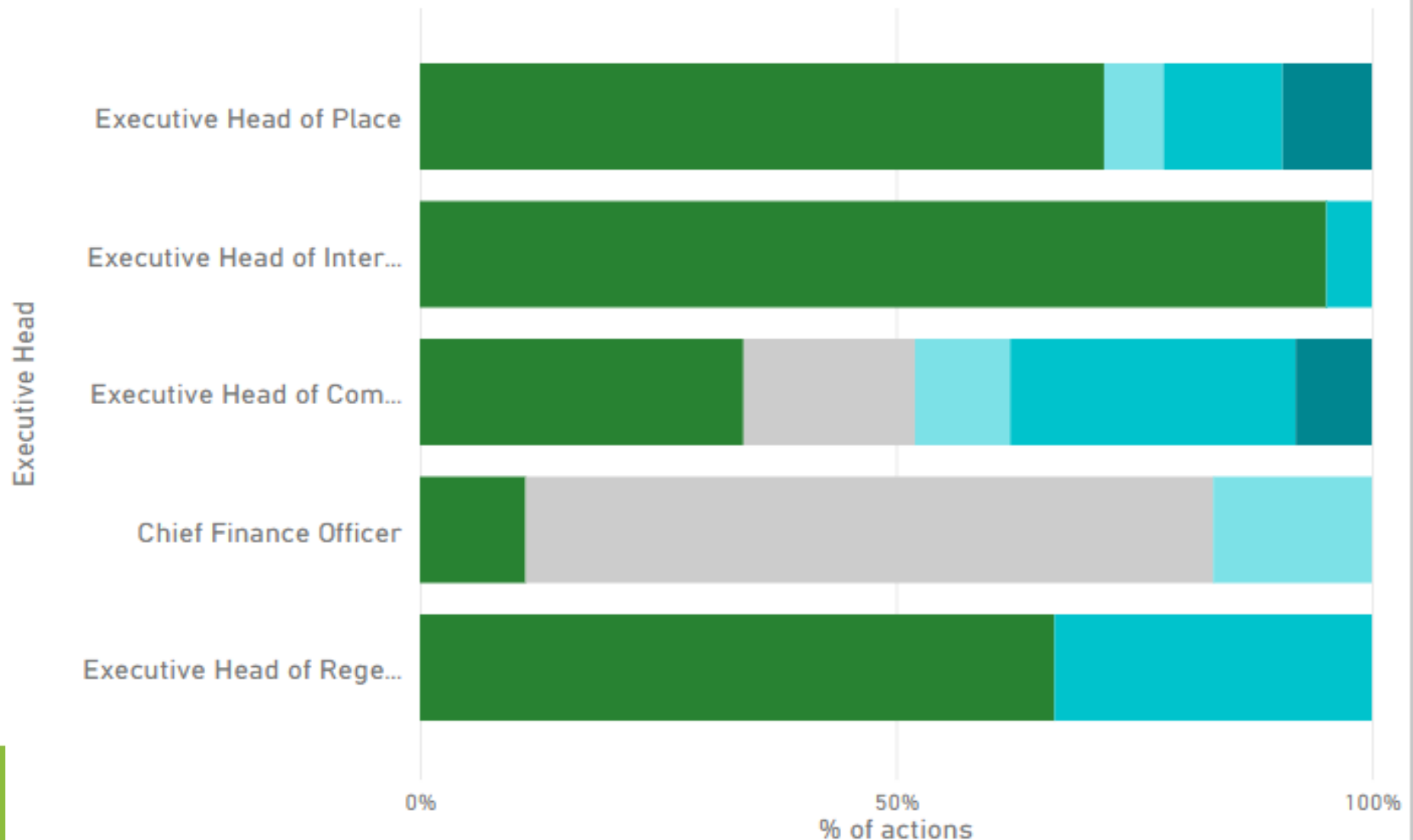
External audit

- The draft Statement of Accounts 2021/22 were published on our website with the public inspection period lasting from 17 October 2022 until 25 November 2022.
- [Draft Statement of Accounts 2021/22](#)
- External Audit have not yet confirmed a date to start the 2021/22 audit due to resourcing issues in EY.



Internal Audit – outstanding actions

● Complete ● Not Yet Due ● Overdue - Low Priority ● Overdue - Medium Priority ● Overdue - High Priority



Equality and Inclusion

- Awareness campaigns: Occupational Health, supporting parents of ADHD children, World Menopause Day, World Braille Day
- Working closely with new HR team on equalities matters and with the Elections team on new election requirements re accessibility
- Events supporting Ukrainians and hosts
- New (external) Diversity Network set up with South Hampshire Equality Diversity Officers



Equality and Inclusion

- Work planning for the internal staff Diversity and Wellbeing Group
- Drafted new committee report template to include equality and socio-economic impact awaiting Monitoring Officer sign off



Annual Governance Statement - Questionnaire

- Survey run every year to support preparation of Annual Governance Statement
- Asks staff to self-assess governance arrangements in their service
- Currently open for responses (January 2023) and analysis will be brought to Management Team in February



Annual Governance Statement

Area for improvement	Progress update as of end of December 2022
Transition to standalone Council	<ul style="list-style-type: none">• Substantial work on data transition was completed during Q3 and the vast majority of services were operating as standalone in time for the ending of the Joint Management Team Agreement in December 2022.• A small number of services will continue to be shared into 2023, pending further decision and transition arrangements – these are covered by separate Inter Authority Agreements. Project closure documentation being compiled – expenditure looks to be less than had been budgeted for.
Review of the budget and MTFS	<ul style="list-style-type: none">• The MTFS Budget Working Group has concluded its work with report to Full Council on 16 November.• Finance are currently finalising the budget for 2023/24 and updating the MTFS based on the Local Government Financial Settlement and requests from services for funding.• The overall risk on the MTFS has been reduced on the Corporate Risk Register and will be reviewed regularly in line with financial reporting
Review of corporate governance arrangements	<ul style="list-style-type: none">• Internal audit on governance completed with ‘substantial’ assurance rating and no management actions identified.• Corporate Governance Board continues to meet fortnightly to discuss reports coming forward for decision.• Updates to the Constitution to reflect new management structure will be progressed in early 2023.• Rigorous recruitment process undertaken to appoint to remaining permanent Management Team posts, with onboarding to begin shortly.

Business Continuity Plans

- Currently reviewing BCPs (both corporate and service)
- Updated Corporate BCP shared with MT
- Services updating their service BCP
- Review and testing of service BCP and impact on Corporate BCP to take place in March 23



- Questions
- Next steps
 - Annual Governance Statement
 - Presentation to Cabinet Briefing and then to next Audit Committee

