

Annual Governance Statement (AGS) Action Plan 2023/24 - Progress Update – September 2023**Key:** Green – Completed

Amber – in Progress

Issue No.	Issue Identified	Source of Evidence	Summary of Action Proposed	Progress Update
1	Statement of Accounts 2021/22 still to be signed off by External Audit	Final Statement of Accounts	Complete the necessary work required for the External Audit review	Final Statement of Accounts formal sign-off due to be completed 7 th November 2023.
2	Council Asset Register to be updated to reflect changes to the de minimis limit for the Council so that all assets are included in the Register, including any changes from sales or transfers.	Asset Register External Audit reports	Complete the necessary work required for the External Audit review	This will be reflected in the Statement of Accounts 2021/22 and further updated in the Statement of Accounts 2022/23.
3	Refresh of the Council's Strategic Risk Register (SRR) is overdue	Strategic Risk Register approved by Accounts & Audit Committee. SRR managed and monitored via Pentana. Regular reviews of SRR undertaken and reported to AAC	The SRR has been reformatted and redeveloped and is now complete. This will be presented to Accounts & Audit Committee 25 th July 2023 for endorsement to submit to Council for approval. The SRR will then be uploaded into Pentana for management and reporting efficiencies.	The SRR has been reviewed at the Accounts & Audit Committee meeting of 25 th July 2023. Members made a number of changes and recommendations, and these have been fed back to both the Corporate Governance Steering Group and relevant officers. The SRR has also now been uploaded into Pentana and updates by Risk Owners were completed as part of the quarterly performance reporting process. These updates will be reviewed and discussed as part of the quarterly Corporate Performance Clinics.
4	Complaints monitoring and reporting system inefficient and isolated within individual services. A centralised system requires full development and rollout to provide assurance of control overall	Jadu system fully developed and launched. KPI reports automated (DIR 1 - % of complaints handled within less than 15 working days)	A centralised complaints logging and reporting system has been developed and will be launched for use to all departments on 3 rd July 2023, following training being held 22/06/2023.	Centralised complaints system now in use.

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5	Recruitment / staff vacancies remain an issue in some areas	Management Assurance Statements	Services looking at in house training and staff development from Apprenticeships or Graduate trainees.	<p>Whilst there are currently no key vacancies within Resources Directorate, the current Director of Resources has resigned and will be leaving the Council at the end of the year.</p> <p>All management structure in place within Place Directorate; however, there are two key posts which are vacant within Development Management and Building Control which will soon be going out to advert. The recruitment of an Environmental Health Technical Officer and Senior Regeneration Officer are also being planned.</p>
6	Financial authorisation levels	Reviewed Financial Procedure Rules	To review and update the Financial Procedure Rules and processes	Financial Procedure Rules and processes have been reviewed, updated and adopted by Council on 28 th September 2023.
7	Ability to complete all financial statutory returns in a timely manner	Management Assurance Statements	Staff training, recruitment and retention will bring greater knowledge and efficiency each year but further staff resources would help timely completion.	Further progress is being in Finance Team to complete returns in as timely a manner as possible. Clear communication is maintained with the relevant Government Depts, i.e. DLUHC in respect of any delays.
8	Ensure Medium Term Financial Plan addresses the shortfall in funding identified in future years and formalises savings plans.	<p>MTFP</p> <p>Budget planning</p> <p>Savings plans</p> <p>Financial stability / sustainability</p>	A programme of work has been established to continue look for savings in the short, medium and long term to address the financial risks facing the Council.	<p>Councillors established a Members Budget Working Group to look at Council finance and options for savings. The Medium Term Forecast will be updated as part of the budget setting process.</p> <p>Internal Audit intend to carry a review of the MTFP process.</p>