

Minutes of the Corporate Governance Group

21st January, 2019

3:30 pm – 5:05 pm

DSU Meeting Room, County Hall

Present:

Cllr. David Jenkins (DJ)	Executive Board Member (Resources) (Chair)
Cllr. Mair Stephens (MS)	Executive Board Member (HR)
Paul Thomas (PT)	Assistant Chief Executive
Helen Pugh (HP)	Head of Revenues and Financial Compliance
Chris Moore (CS)	Director Corporate Services
Alison Wood (AW)	People Services Manager
Linda Rees Jones (LRJ)	Head of Administration and Law
Helen Morgan (HM)	Economic Development Manager
Gwyneth Ayers (GA)	Corporate Policy and Partnership Manager

Apologies:

Cllr. Tina Higgins	Councillor
Wendy Walters (WW)	Director Regeneration & Policy
Randell Hemingway (RH)	Head of Financial Services
John Tillman (JT)	Information Governance and Complaints Manager
Robert James (RJ)	Performance Planning & Business Officer

Item No	Discussion / Action	Responsible Officer
1.	Apologies As noted above.	
2.	Minutes of Last Meeting and Matters Arising AGREED that the above minutes were a correct record.	
3.	Membership of Corporate Governance Group Review Wendy Walters to remain as Core Member and Gwyneth Ayers, Helen Morgan, John Tillman and Rob James to be invited to attend future meetings in order to cover subject matters when necessary.	HP
4.	Progress on 2017-18 AGS Actions The Actions were updated, as noted in Appendices 1 & 2 below. AGREED that the AGS actions be completed by Managers prior to our future meetings. HP to circulate the template.	All HP

5.	<p><u>AGS Timetable for 2018/19 and Future Years</u> The AGS timetable for current and following year :-</p> <ul style="list-style-type: none"> • 2018/19 – to be completed by March 2019 • 2019/20 – the AGS will form part of the Business Plan <p>HM to notify Robert James accordingly.</p>	HM
6.	<p><u>Corporate Assessment Action Plan – Update</u> HM referred to the Annual Improvement Report for 2017/18 and confirmed that the Wales Audit Office had provided a progress report on the Corporate Assessment during August 2018 and the outcome being “no proposals for improvement”.</p>	HM
7.	<p><u>Governance of External Regulators Reports</u> LRJ to circulate the report to the group, once it's finalised.</p>	LRJ
8.	<p><u>Information Governance Update</u> The following 2 policies i.e.:-</p> <ul style="list-style-type: none"> • Data Protection and Record Management to be posted via the Intranet and would sit alongside our regulations. <p>GA to follow up.</p>	GA
9.	<p><u>CRWG – Update</u> LRJ confirmed that she was not aware of any changes being made to the constitution and a draft letter had been devised.</p>	LRJ
10.	<p><u>Governance Arrangements – City Deal</u> Timeline for the proposal is 6 months. HP and HM to touchbase to make the necessary governance arrangements.</p>	HP / HM
11.	<p><u>Any Other Business</u></p> <ul style="list-style-type: none"> • BREXIT to be an Agenda Item in our next meeting. 	HP / RM

APPENDIX 1

UPDATE ON OUTSTANDING GOVERNANCE ISSUES IDENTIFIED IN PREVIOUS ANNUAL GOVERNANCE STATEMENTS

SOURCE	ISSUES	RESPONSIBLE OFFICER	ACTIONS/PROGRESS	STATUS
AGS 2013/14 No. 5b	Review Financial Procedure Rules and ensure Budget Managers are fully aware of their responsibilities.	Head of Audit, Risk & Procurement	Financial Procedure Rules to be updated approved by Audit Committee.	Ongoing
AGS 2014/15 No. 6	Responding to the new EU General Data Protection Regulation (GDPR) (as a replacement to the Data Protection Act 1998).	Director of Regeneration and Policy	The Authority's Data Protection Officer is working closely with ICT Services and other relevant services and departments to assess requirements and prepare for the introduction of the new regulations which take effect in May 2018. Training and support is being provided to staff as required. <i>(New regulations came into effect during May 2018)</i>	Ongoing
AGS 2014/15 No. 8	Monitor progress with implementing improvements in the management of Supporting People Grant.	Head Of Housing & Public Protection	Monitoring in place through quarterly 6 monthly reporting to the Audit Committee. Progress has been positive and changes have been implemented. Audit Committee now have requested 6 monthly reports. <i>(Monitoring to be on a 6 monthly reporting basis rather than quarterly as previous).</i>	Ongoing Still being reported to Audit Committee now on a 6 monthly basis
AGS 2015/16 No. 1	Respond to the new Well-being of Future Generations Act and develop effective working relationships to work in collaboration with PSB Partners.	Director of Regeneration and Policy	Public Services Board established in May 2016. PSB Wellbeing plan has been issued and approved.	Completed
AGS 2015/16 No. 2	Monitor compliance with Welsh Language Standards.	Director of Regeneration and Policy	New standards introduced across the Authority. Monitoring of compliance will be on-going.	Completed

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AGS 2015/16 No. 3	To ensure an Action Plan relating to proposals for improvement raised in the Corporate Assessment 2015/16 is completed and monitored.	Director of Regeneration and Policy	A 25 point Action Plan was agreed and incorporated in our 2016/17 ARIP and this was monitored throughout the year. This Action Plan featured on the CMT and PEB dashboard. The WAO Annual Improvement Report for 2016/17 includes a follow up to the Corporate Assessment.	Completed
AGS 2015/16 No. 7	Assess and monitor the impact of the Partnership City Deal on the Authority.	Director of Regeneration and Policy	The Swansea Bay City Deal was signed off by Welsh and UK Governments on the 20 th March 2017. Carmarthenshire County Council will host the Regional Office and accountable body lead role. The Joint Committee Agreement has been unanimously signed off by all 4 authorities by July 2018.	Completed
AGS 2015/16 No. 9	Develop a new Risk & Business Continuity Strategy.	Head of Audit, Risk and Procurement	Drafted and agreed with Exec Board Member (Risk Champion) – approval process now to be followed.	Ongoing (Change ongoing to completed)
AGS 2016/17 No. 1	To ensure all agreed and valid Regulatory Recommendations and Proposals for Improvement are being actioned and monitored by departments. That a dashboard/PIMS function is developed to enable this.	Director of Regeneration and Policy	A dashboard / PIMS function has been developed to enable actions to be monitored by departments	Due date - July 2018

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AGS 2016/17 No.2	For 2016/17 - To publish an Annual Report on 2016/17 performance and our progress on year two of our Corporate Strategy.	Director of Regeneration and Policy		Completed
AGS 2016/17 No.3	<p>For 2017/18</p> <ul style="list-style-type: none"> • To publicise our Well-being Objectives. • to publish our Action Plans on our Well-being Objectives for 2017/18 and monitor their implementation • to address the Corporate Governance expectations of the Well-being of Future Generations Act. <p>during the year continue to adopt and strengthen the 5 ways of working.</p>	Assistant Chief Executive (Regeneration and Policy)	<p>Objectives completed and published.</p> <p>Quarterly monitoring and reporting.</p> <p>Annual report incorporates year one of Well-being objectives.</p> <p>Commissioner published report.</p>	Completed
AGS 2016/17 No.4	To ensure our Well-being Objectives inform the budget setting process.	Assistant Chief Executive (Regeneration and Policy)	Key expectation of the Act – Corporate Strategy addresses how resources are matched to priorities. Being embedded	Ongoing
AGS 2016/17 No.5	To ensure improved integration of Service and Financial Planning as agreed with WAO in the Financial Planning Report.	Head of Financial Services	Business plans aligned to financial planning and performance data. Discussed at Member seminars.	Completed
AGS 2016/17 No.6	Review and monitor employment safeguarding	Director of Communities	Key perf measures considered quarterly.	Ongoing

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	<p>processes in relation to:</p> <ul style="list-style-type: none"> • HR Record keeping in relation to safeguarding complaints and investigations relating to staff; • Provision of references for posts involved in regulated activity; <p>Pre-employment checks for posts involved in regulated activity.</p>		<p>IA reviews arrangement again this year and identified improvement in the processes.</p>	
<p>AGS 2016/17 No.7</p>	<p>Review Recruitment and Selection Policy to ensure compliance with employment legislation and support recruitment process review.</p>	<p>People Services Manager</p>	<p>Drafted Now going through consultation. Implementation due April 2019</p>	<p>Ongoing</p>
<p>AGS 2016/17 No.8</p>	<p>Publish a Pay Policy by April 2018 in accordance with Section 38 of the Localism Act</p>	<p>Assistant Chief Executive (People Management)</p>	<p>Work commenced Already compliant with WG requirements</p>	<p>Completed</p>
<p>AGS 2016/17 No.9</p>	<p>To monitor and evaluate recommendations made by the People Performance Review Task and Finish Group</p>	<p>Assistant Chief Executive (Regeneration and Policy)</p>	<p>People Strategy Group will monitor the actions determined from their group</p>	<p>Completed</p>

APPENDIX 2

GOVERNANCE ISSUES 2017/18 ACTION PLAN					
NEW GOVERNANCE ISSUES IDENTIFIED IN THIS YEAR'S ANNUAL GOVERNANCE STATEMENT					
ISSUE REF	ACTION	RESPONSIBLE OFFICER	TARGET DATE	Action / Progress	Status
AGS 2017/18 No.1	For 2017/18 - To publish an Annual Report on 2017/18 performance against our Well-being Objectives.	Director of Regeneration and Policy.	31 October 2018	Published	Completed
AGS 2017/18 No.2	<p>For 2018/19 To publish our New Corporate Strategy that consolidates a number of plans.</p> <p>1. It supersedes the 2015-20 Corporate Strategy.</p> <p>2. It incorporates our Improvement Objectives as required by the Local Government Measure 2009.</p> <p>3. It includes our Well-being Objectives as required by the Well-being of Future Generations (Wales) Act 2015.</p> <p>4. It includes Carmarthenshire County Council's Executive Board key projects and programmes for the next 5 years as set out in 'Moving Forward in Carmarthenshire: the next 5 years'.</p>	Director of Regeneration and Policy.	June 2018	Received Wales Audit compliance before Christmas	Completed
AGS 2017/18 No.3	To ensure our Well-being Objectives inform the budget setting process.	Director of Regeneration and Policy. Head of Financial Services.	December 2018	To undertake an exercise producing an ABC Guide for budget monitoring and to continue for future years	Ongoing

GOVERNANCE ISSUES 2017/18 ACTION PLAN

NEW GOVERNANCE ISSUES IDENTIFIED IN THIS YEAR'S ANNUAL GOVERNANCE STATEMENT

ISSUE REF	ACTION	RESPONSIBLE OFFICER	TARGET DATE	Action / Progress	Status
AGS 2017/18 No.4	Publish a pay policy by April 2019 in accordance with Section 38 of the Localism Act.	Assistant Chief Executive – People Management.	April 2019	To be submitted to County Council on 6 th March, 2019 i.e. Pay Policy Advisory Panel	Ongoing
AGS 2017/18 No.5	Develop and implement pay model to accommodate national pay agreement in conjunction with trade unions.	Assistant Chief Executive – People Management.	April 2019	To be implemented 1 st of April, 2019	Completed
AGS 2017/18 No.6	Monitor and evaluate People Strategy Group/Work stream actions.	Assistant Chief Executive – People Management.	Continuous	As part of the PSGB, work streams have commenced	On going
AGS 2017/18 No.7	Introduce revised Disclosure and Barring Service checking policy.	Assistant Chief Executive – People Management.	March 2019	Went through to Executive Board on 19 th of November, 2018	Completed
AGS 2017/18 No. 8	Update the Code of Governance to ensure that it's in line with the CIPFA standards and Wellbeing of Future Generations Act.	Head of Revenues and Financial Compliance.	March 2019		Ongoing
AGS 2017/18 No.9	City Deal – monitor and assess the impact of the City Deal.	Director Regeneration & Policy. Director Corporate Services.	March 2019		Ongoing
AGS 2017/18 No.10	Post balance sheet date three companies (Llesiant, Cwm, Cartrefi Croeso) have been formed to support the service delivery for Carmarthenshire CC which are subject to clear governance structures defined in the agreed shareholders agreements	CMT	March 2019	Appointed to Governance	Ongoing