

Appendix A – 2017/18 Annual Governance Statement Action Plan

| No. | Links to Council's vision | Governance framework that identified issue | Commentary on significant AGS issue | Action plan | Responsibility |
|-----|---------------------------|--|---|--|--|
| 1. | All | Management Assurance Statement and c/f with updates from 2016/17 | <p><u>Cyber Security</u></p> <p>From ransomware attacks against the NHS, to cyber-attacks on parliamentary email accounts, it's safe to say that the threat of a successful cyber-attack remains high in the public sector (as indeed in every other sector).</p> <p>Public sector organisations across every service stand to potentially lose valuable data which is vulnerable to criminals. These attacks have also highlighted the damaging impact a cyber-attack can have on an organisation. They can result in service down-time, poor staff morale, a hefty fine from the Information Commissioner's Office, and of course, reputational damage and loss of public confidence.</p> | <p>1) The Council utilises the services of a skilled and professional Certified Ethical Hacker (CEH) who understands and knows how to look for weaknesses and vulnerabilities in target systems. They use the same knowledge and tools as a malicious hacker, but in a lawful and legitimate manner to assess the security posture of a target system(s). The CEH credential certifies individuals in the specific network security discipline of Ethical Hacking from a vendor-neutral perspective.</p> <p>2) The Council regularly upgrades its antivirus software.</p> <p>3) The statutory annual</p> | <p>Information and Digital Services (IDS) reporting to Head of Finance and Business Services and Corporate Director.</p> <p>Ultimately, all officers and Members have a responsibility to be informed and act with due care.</p> |

| No. | Links to Council's vision | Governance framework that identified issue | Commentary on significant AGS issue | Action plan | Responsibility |
|-----|---------------------------|--|--|---|----------------|
| | | | <p>Issues holding back public sector cyber security include budget constraints and failure to prioritise and invest in cyber security as it is often not seen as a business enabler. The WannaCry attack, for example, which crippled the NHS, was able to spread due to a failure to patch a known exploit.</p> <p>In addition, fostering a culture of security amongst employees at every level is key to putting a stop to preventable cyber-attacks and must be factored into any cyber security program. It is vital that organisations prioritise educating employees about the dangers of phishing and social engineering. This means encouraging employees to update systems regularly and to be wary of suspicious emails and links. There is also a need to close the widening cyber security skills gap.</p> <p>With extensive and significant use of</p> | <p>penetration tests required for PSN compliance inform a schedule of regular scans of both the internal network and the external network.</p> <p>4) IDS Infrastructure Team meet weekly to review security, share knowledge and plan actions.</p> <p>5) User Education – in addition to mandatory information security courses on Learning Pool, Junglemap information security 'nano learning' service will be introduced for all staff. .</p> <p>6) IDS are part of the National Local Authority Warning, Advice and Reporting (NLWARP) network and receive regular security and threat email bulletins.</p> | |

| No. | Links to Council's vision | Governance framework that identified issue | Commentary on significant AGS issue | Action plan | Responsibility |
|-----|---------------------------|--|--|--|--|
| | | | <p>electronic devices and electronic communications, including financial transactions, the Council must ensure that its IT systems and data are protected from theft or damage, including protecting against harmful attacks by sophisticated and unethical hackers.</p> | | |
| 2. | All | Internal Audit, Management Assurance Statement and c/f with updates from 2016/17 | <p><u>Disaster Recovery, Resilience and Business Continuity</u></p> <p>The Council's business continuity processes, as well as emergency service / disaster recovery arrangements, are not sufficiently robust. This is mainly due to the reduction in government grants and an ongoing issue of lack of organisational capacity.</p> <p>The Council's disaster recovery is closely linked with local sites and therefore this poses a concern in light of local terrorist or natural disaster in the vicinity. A local option, SunGard,</p> | <p>1) Business Continuity – Continued implementation of the eight recommendations and agreed management actions identified in the Business Continuity Final Audit Report. The two high priority recommendations related to the completion of Service Continuity Plans and testing of Business Continuity Plans.</p> <p>2) Procurement of partner to support migration of key</p> | <p>Chief Officers Board</p> <p>Chief Officers Board with</p> |

| No. | Links to Council's vision | Governance framework that identified issue | Commentary on significant AGS issue | Action plan | Responsibility |
|-----|---------------------------|--|--|--|--|
| | | | <p>was looked at for both business continuity and disaster recovery purposes however the disaster recovery element was not financially viable. A partnership solution with Learning Grid for Learning (LGFL) was explored but LGFL were not able to meet the Council's requirements.</p> <p>In November 2017, full Council approved the build of an extension to the offices at the Cranborne Waste Depot Potters Bar to provide a training/meeting space and, in the event of a major incident, a business continuity area.</p> <p>The Society of IT Managers (SOCITM) completed a review of disaster recovery requirements and an audit of the Councils IT infrastructure. They recommended that key business critical systems are migrated from the current on premise servers to a public cloud provider. This will enable these systems to be</p> | <p>business systems to a public cloud provider using Crown Commercial Services framework RM3733 lot 2.</p> <p>3) There are two planning applications for the project application 18/0194/FUL which is for the infill extension to the depot and 18/0195/FUL which is for temporary mess facilities whilst the construction phase takes place. Both these applications are to be heard at the planning meeting of the 17th May both with officer recommendation to approve.</p> <p>4) A building regulations application has been submitted and is going through the approval process.</p> <p>5) The tender documents are complete and the tender will go</p> | <p>Head of Finance and Business Services and IDS Manager</p> <p>Chief Officers Board with Development Manager and Engineering Services and Asset Manager (3 - 6)</p> |

| No. | Links to Council's vision | Governance framework that identified issue | Commentary on significant AGS issue | Action plan | Responsibility |
|-----|---------------------------|--|--|---|----------------|
| | | | <p>accessed from multiple locations (subject to security protocols) including the Potters Bar Depot.</p> <p>Executive approved the procurement of a partner to assist with this migration project.</p> | <p>out next week to the three contactors on Lot 1 of our construction framework works less than £1 million, the framework awarded at the Executive of the 18 April 2018, the tender will be back mid-June and awarded shortly after as the criteria will be price and programme delivery.</p> <p>6) It is normal for a month lead in before works commence on site so an August start depending on the availability of personnel, the other unknown at the moment is the lead in period for the delivery of the steel frame and this may affect the completion , the works are expected to take around 12 to16 weeks.</p> | |
| 3. | All | Internal Audit, Management Assurance | <u>General Data Protection Regulations (GDPR)</u> | | |

| No. | Links to Council's vision | Governance framework that identified issue | Commentary on significant AGS issue | Action plan | Responsibility |
|-----|---------------------------|---|---|--|--|
| | | Statement and c/f with updates from 2016/17 | <p>The General Data Protection Regulations (GDPR) has been enacted by the European Union and comes into force in the UK on 25 May 2018.</p> <p>GDPR represents the biggest change to data protection in 20 years and the challenges can be summarised as the requirement to appoint a suitably qualified Data Protection Officer, the implementation of the 'right to be forgotten', 'privacy by design' including the carrying out of mandatory privacy impact assessments before any personal data is shared with third parties.</p> <p>The GDPR affects every organisation that processes EU residents' personally identifiable information (PII) and supersedes national laws such as the UK Data Protection Act (DPA). The Regulation mandates considerably tougher penalties than the DPA: breached organisations can</p> | <ol style="list-style-type: none"> 1) Complete the Council wide data audit to identify how personal data is collected, how it is used, the legal basis for such collection and use, where personal data is stored and how it is kept secure. Training from APSE has been received and the emphasis has now shifted to Heads of Service and Service Managers to feed in their service specific data audits to a central repository. 2) Document the systems that collect, use and store personal data and to ensure that any proposed material changes in how those systems function and operate will be the subject of privacy impact assessments at the design stage. 3) Create a central register for all data sharing agreements / assurance statements from third | Chief Officers Board with the Monitoring Officer (Head of Legal and Democratic Services) |

| No. | Links to Council's vision | Governance framework that identified issue | Commentary on significant AGS issue | Action plan | Responsibility |
|-----|---------------------------|--|---|---|----------------|
| | | | <p>expect fines of up to 4% of annual global turnover (N.B. turnover, not profit) or €20 million – whichever is greater.</p> <p>Article 35 of the GDPR states that data protection officers must be appointed for all public authorities and certain companies. The GDPR does not specify credentials necessary for data protection officers, but does require that they have “expert knowledge of data protection law and practices.”</p> <p>In light of the above, and as reported last year, the lack of a suitably qualified Information Officer places the Council at risk of not complying in a timely and accurate manner with its Data Protection Act obligations in terms of responding to subject access requests and data sharing requests.</p> <p>However, by far the biggest challenge</p> | <p>parties who either process data on behalf of the Council or with whom personal data has been lawfully shared.</p> <p>4) Finally, the Council needs to establish a rolling review programme to continually test services and systems for compliance.</p> <p>5) In this regard the recent GDPR Preparedness audit conducted by the Shared Internal Audit Service gave limited assurance to the Council's compliance arrangements, but did identify the issues the Council needs to address to secure GDPR compliance. The Monitoring Officer has responded to the audit report with an implementation plan which will be presented to the next Chief Office Board so that the actions in the Plan can be approved,</p> | |

| No. | Links to Council's vision | Governance framework that identified issue | Commentary on significant AGS issue | Action plan | Responsibility |
|-----|---|--|--|--|----------------------------|
| | | | is arguably the obligation imposed on data controllers to demonstrate compliance. | resourced and implemented. A post GDPR follow-up audit has been included in the 2018/19 Internal Audit Plan to review implementation of actions. | |
| 4. | All | Management Assurance Statement and c/f with updates from 2016/17 | <p><u>Newberries Car Park Development</u></p> <p>Since the project has been put on hold, this may carry a significant risk as the money spent so far may not be realised and the expenditure could prove to be an abortive cost unless the Council decides to proceed to planning consent. Following the planning consent, other options could be explored to salvage the spend cost. Additionally, the Council's objective to earn significant returns to fund future budgetary gaps may also be in significant jeopardy.</p> | 1) Officers and Members are working together to find a way forward on the most appropriate solution. | Members and Chief Officers |
| 5. | Planning for the Future to "help increase | Management Assurance Statement | <p><u>Homelessness and Temporary Accommodation</u></p> <p>Local housing authorities in England</p> | 1) Implementation of actions | Chief Officers |

| No. | Links to Council's vision | Governance framework that identified issue | Commentary on significant AGS issue | Action plan | Responsibility |
|-----|--|--|--|--|--|
| | the supply of affordable housing to meet local need" | | <p>have a duty to secure accommodation for unintentionally homeless households in priority need under Part 7 of the Housing Act 1996 (as amended). Authorities have an absolute duty to secure accommodation only for households who are deemed to be unintentionally homeless and in priority need.</p> <p>Where an absolute duty to secure accommodation exists, a household may have to spend a period of time in temporary accommodation before a final offer of accommodation is made. The length of time spent in temporary accommodation will largely depend on the availability of suitable accommodation in the authority's area.</p> <p>For the period 2014/15 to 2017/18, the Council has experienced a significant increase in the number of homelessness applications, the number of households placed in</p> | <p>contained in the Housing Improvement Plan arising from the outcomes of the East of England Local Government Association Housing Peer Review completed during 2017/18.</p> <p>Specific action areas include:</p> <ul style="list-style-type: none"> a) People challenges in terms of skills, capacity and structure, b) Social housing supply, including testing the strength and quality of the working relationships with principal housing partners, and c) Homelessness in terms of new legislation, current demand and temporary accommodation strategy, including financial resilience, escalating costs and the limited supply of temporary accommodation, but more significantly around the new | Board with Head of Partnerships and Community Engagement |

| No. | Links to Council's vision | Governance framework that identified issue | Commentary on significant AGS issue | Action plan | Responsibility |
|-----|---------------------------|--|--|--|----------------|
| | | | <p>temporary accommodation and the number of households placed outside of the borough. This has been accompanied by escalating costs and a net deficit position as the Council recovers only circa 75 to 80% of the costs as it is only able to recharge the Local Housing Allowance rates which are significantly below the costs of accommodation in the private sector.</p> <p>The Housing budget was overspent for the 2017/18 financial year despite additional funding of £100,000 allocated (Council Report C/17/33 refers) due to increasing demands in relation to homelessness and temporary accommodation costs. Additional funding has been allocated for 2018/19 budget.</p> <p>The Homelessness Reduction Act 2017 comes into force from April 2018, with £61million of government funding behind the Act. Councils will use the funding to pay for the series</p> | <p>legislation and what needed to be put in place to address the new requirements.</p> | |

| No. | Links to Council's vision | Governance framework that identified issue | Commentary on significant AGS issue | Action plan | Responsibility |
|-----|---------------------------|--|---|-------------|----------------|
| | | | <p>of new responsibilities they must meet under the Act. The Act places a legal duty on councils to give people meaningful support to try to resolve their homelessness, as well as introducing measures to prevent people becoming homeless in the first place.</p> <p>Some of the key changes relate to definitions of the threat of homelessness, the duty to provide advisory services, the duty to assess every eligible applicant's case and agree a plan, duties in cases of threatened homelessness, initial duty owed to all eligible persons who are homeless, duties to the intentionally homeless, ending duty – final accommodation offer, ending duty – deliberate and unreasonable refusal to co-operate and referral to another authority.</p> <p>The Council faces the challenge of delivering its homelessness duties</p> | | |

| No. | Links to Council's vision | Governance framework that identified issue | Commentary on significant AGS issue | Action plan | Responsibility |
|-----|---------------------------|--|---|--|--|
| | | | and responsibilities in a different way. | | |
| 6. | All | Management Assurance Statement and Strategic Risk Register | <p><u>Workforce Capacity, Succession Planning and Use of Temporary Staff</u></p> <p>Against the continued backdrop of cost pressures and the need to deliver savings, the Council faces significant workforce challenges.</p> <p>These include maintaining sufficient number of professional staff, addressing skills shortages, investment of time and resource in succession planning, recruiting to vacant posts, departure of key personnel, an ageing workforce and private sector job availability increasing and being more attractive. The latter is particularly acute due to the Council's proximity to London.</p> <p>The potential risk of these challenges include a downturn in service levels, service viability, increased likelihood of errors or omissions, potential</p> | <p>In addition to continuing with existing actions and initiatives such as middle managers development programme which covers people management, trials of homeworking to achieve a good work/life balance and maximise staff productivity, health and wellbeing days, on-line training programmes (learning pool), the Council is also taking the following actions:</p> <ul style="list-style-type: none"> a) New workforce strategy for 2019-21 to be developed and agreed, b) Employment of apprentices and use of career grades to "grow your own", c) Apprenticeship levy used as a lever to get managers to consider jobs for apprenticeships and can be | Chief Officers Board, with Head of HR and Customer Services and other Heads of Service |

| No. | Links to Council's vision | Governance framework that identified issue | Commentary on significant AGS issue | Action plan | Responsibility |
|-----|---------------------------|--|--|--|----------------|
| | | | <p>failure to undertake a regulatory duty, loss of staff morale and goodwill, increased challenges of Officer decisions and high staff turnover and retirements from key management posts and areas of recruitment difficulty.</p> <p>Outcomes for the Council where these risks materialise includes an increase in recruitment costs, complaints, grievances, loss of knowledge when officers leave, legal costs in defending decisions, payment of compensation/fines, increased staff sickness levels, and failure to reduce dependence on agency / temporary staff.</p> | <p>used for the development of existing staff on higher level apprenticeships, as well as to support succession planning,</p> <p>d) One to one and appraisal systems to identify priority training needs and inform effective staff development and training programmes,</p> <p>e) Restructure teams and departments to meet changing needs and provide development opportunities,</p> <p>f) Person specifications in Job Descriptions to be reviewed,</p> <p>g) Use internal staff to fill vacant posts wherever possible to promote succession planning,</p> <p>h) Exploration of shared services wherever possible, and engagement with those staff</p> | |

| No. | Links to Council's vision | Governance framework that identified issue | Commentary on significant AGS issue | Action plan | Responsibility |
|-----|---------------------------|--|-------------------------------------|--|----------------|
| | | | | <p>over 60 to discuss retirement plans, flexible retirement and succession planning.</p> <p>i) Enhance opportunities for flexible working including agile working, mobile working and home working to meet the aspirations of job seekers, especially in professional roles that are hard to recruit to.</p> | |