



**IPSWICH**  
BOROUGH COUNCIL

**ANNUAL GOVERNANCE STATEMENT**  
**YEAR END 31 MARCH 2021**

## **Scope of responsibility**

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Ipswich Borough Council (IBC) is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. The Council also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.

In discharging this overall responsibility, the Council is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, and which includes arrangements for the management of risk.

IBC's Code of Corporate Governance is consistent with the principles of the CIPFA/SOLACE Framework *Delivering Good Governance in Local Government*, and this Statement explains how the Council has complied with the Code and meets the requirements of Accounts and Audit (England) Regulations 2015, which requires all relevant bodies to prepare an Annual Governance Statement.

## **The purpose of the governance framework**

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The governance framework comprises the systems and processes, culture and values by which the authority is directed and controlled and its activities through which it accounts to, engages with and leads its community. It enables the authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate services and value for money.

The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on a process designed to identify and prioritise the risks to the achievement of the Council's policies, aims and objectives, to evaluate the likelihood and potential impact of those risks being realised, and to manage them efficiently, effectively and economically.

## The governance framework

The following aligns with governance good practice and identifies with the seven core principles against which local authorities review their governance arrangements.

This Annual Governance Statement covers the period 1<sup>st</sup> April 2020 to 31<sup>st</sup> March 2021.

Evidence supporting the core principles are interchangeable throughout this Statement.

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### **Core Principle 1 - Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law**

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Standards of conduct and behaviour expected of councillors and officers of Ipswich Borough Council, its partners and the community are defined and communicated through codes of conduct and protocols. These include:

- Councillors' code of conduct
- Employees' code of conduct
- Corporate Values
- An effective performance management system
- Staff performance development review, linked to corporate and service objectives, is undertaken through the HR Performance Management System
- Anti-fraud, Anti-corruption, Anti-bribery policy
- Councillor/Officer protocols
- Audit & Governance Committee
- Strategic Overview & Scrutiny Committee.

The Council's decision-making framework and delegation arrangements to the Executive, committees and senior officers are set out in full in the Council's Constitution. The terms of reference for the two Joint Committees are also set out in the Constitution and are supplemented with a written partnership agreement that sets out the decision making and management framework for the services delivered in partnership with other neighbouring authorities. The Council's Forthcoming Decisions List provides details of the key decisions planned to be made over the next 3 months by the Executive and the Council has in place procedures and processes for consultation and receiving legal and financial advice before taking decisions.

The Council is required to keep its Constitution under review. The Monitoring Officer undertakes reviews as necessary in consultation with the Constitution Working Group and recommends any changes considered appropriate. During 2020/21 a review of the Council's Constitution took place and the proposed amendments were approved by Council in February 2021.

The Monitoring Officer is an experienced local government solicitor and the Council's Head of Governance. The Monitoring Officer for 2020/21 appointed deputies to discharge the duties in their absence. The function of the monitoring officer is described in the Council's Constitution.

The Monitoring Officer provides advice and training regarding compliance with the principles of Ethical Conduct within the Council and is supported by the Audit & Governance Committee of the Council.

During 2020/21 Councillor conduct issues were dealt with in accordance with the Code of Conduct and where appropriate discussed with an Independent Person.

Responsibility for ensuring that an effective system of internal financial control is maintained and operated by the Section 151 Officer. The systems of internal financial control provide reasonable assurance that assets are safeguarded, that transactions are authorised and properly recorded, and that material errors or irregularities are either prevented or would be detected within a timely period.

As per the 'CIPFA Statement on the Role of the Chief Financial Officer in Public Service Organisations' the Section 151 Officer is a member of the Council's senior management team. The postholder signed off all Executive and Council reports with financial implications and met regularly with the Council's Monitoring Officer to discuss any matters of concern. The S151 Officer was able to approach the Chief Executive on any matter and directly liaised with the Portfolio Holder and Leader on financial matters.

The S151 Officer oversees the following processes within the Council:

## The governance framework

- Monthly monitoring of income and expenditure against the annual budget
- Business Planning process
- The setting of annual budgets
- The Medium Term Financial Plan (rolling four years) reflecting the local government finance settlement funding agreement
- Treasury Management including arranging short- and long-term financing
- The monitoring of finances against the Medium Term Financial Plan
- Setting of financial and performance targets
- Managing risk in key financial service areas
- Clearly defined capital expenditure guidelines
- Regular reporting of the Council's financial position to Councillors
- Ensuring procurement policy is correctly applied and in line with best practice
- Production and maintenance of the Council's Capital Strategy.

Ipswich Borough Council has a duty to ensure that it acts in accordance with the law and regulations in the performance of its functions. It has developed policies and procedures for its officers to ensure that, as far as possible, all officers understand their responsibilities both to the Council and to the public. Two key documents are the Financial Regulations and the Contract Standing Orders, available to all officers via the Council's Intranet, as well as available to the public as part of the Constitution, which is published on the Council's website.

National legislation is still paramount, such as the requirement, when constructing a budget, to report on the robustness of estimates and the adequacy of the proposed financial reserves (Local Government Act Sections 25-27).

Other documentation includes corporate policies on topics such as Equality and Diversity, Domestic Violence, Data Protection and Anti-Fraud. All policies are subject to internal review to ensure these are adequately maintained. The Council keeps all staff aware of changes in key policies by means of alerting them in regular 'staff news' bulletins, and where appropriate, arranging training for all or key councillors or staff. Major policies are listed in the Council's policy framework.

In 2020/21 the following policies and strategies were reviewed and approved:-

- Constitution
- Health & Wellbeing Services Agreement
- Complaints policy
- Immobilisation and removal of Vehicle policy
- Asset Management Strategy
- Risk Management Strategy
- Climate Change Strategy and Action Plan
- Low emissions Supplementary Planning Document (SPD)
- Ipswich Local Development Scheme and Statement of Community Involvement Review
- Local List (Buildings of Townscape Interest) Supplementary Planning Document (SPD)
- Reptile Strategy Supplementary Planning Document (SPD)
- Business Rates Retail, Hospitality and Leisure discount policy
- Business Rates Nursery discount policy
- Additional Restrictions Grant policy
- Email Usage policy
- Password policy
- Protective Marking policy
- Corporate Information policy
- ICT policy – Internet usage
- Telephone usage policy
- Contaminated Land Strategy
- Taxi and Private Hire Licensing policy
- Reasonable Adjustment policy.

### Core Principle 2 - Ensuring openness and comprehensive stakeholder engagement

The IBC Constitution outlines how the Council operates, how decisions are made and the procedures which are to be followed to ensure that these are efficient, transparent and accountable to local people. The Executive is responsible for most decisions.

The Leader appoints a deputy leader and up to nine councillors to the Executive. Key decisions are required to be published in advance in the Executive's Forthcoming Decisions List and are generally discussed in a meeting open to the public. This list is published monthly.

All decisions must be in line with the Council's overall policies and budget. Any decisions the Executive wishes to take outside the budget or policy framework must be referred to full Council to decide.

The Council's Strategic Overview & Scrutiny Committee supports and monitors the work of the Executive. A "call-in" procedure allows the Committee to review Executive decisions before they are implemented, presenting challenge and the opportunity for a decision to be reconsidered. In 2020/21 there were no call-ins.

Five Area Committees provide opportunities for local people to engage with discussion and decisions affecting their neighbourhoods, although due to the Coronavirus Pandemic they have not been able to take place physically in community venues but have continued digitally. The ability for residents to ask questions has been maintained, although these must be submitted in advance. The Area Committees also discharge some executive functions in line with their terms of reference.

Council Officer Key Decisions are published on the Council's website.

The Council's website contains information and data on how public money is spent and what the council does.

The Partnership Framework sets out how partnerships should be assessed and managed to ensure effective and efficient governance systems and controls.

The Council's annual Business Planning process requires the regular review of all the partnerships in place for each service. Each review is expected to consider all governance issues and examine the effectiveness of each partnership. Continuous review and challenge of the applied process will inevitably lead to improvements to governance arrangements.

Processes continue to be strengthened to provide assurance that the systems and controls in operation over the governance of partnerships are effective and efficient in the future. A Partnership Register exists and is updated throughout the year as necessary and annually as part of the Business Planning process.

Ipswich Borough Council has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of effectiveness is informed by the work of the Heads of Service within the authority who have responsibility for the development and maintenance of the governance environment, the Head of Internal Audit's annual report, and also by comments made by the external auditors and other review agencies and inspectorates.

This review is informed by:

- the work of the Internal Auditors and the Head of Internal Audit's Annual Report
- the work of Heads of Service and operational managers within Ipswich Borough Council who have responsibility for the development and maintenance of the governance environment
- the external auditors in their Annual Audit Letter and other reports
- the results of any other external inspection reports.

A Social Media strategy is in place, together with an Equality and Diversity Policy helping to ensure that all groups in our community have a voice, can be heard and are suitably consulted (examples include Petitions, Area Committees, Equality Impact Assessments, Statement of Community Involvement). The Council publishes a list of forthcoming key Executive Committee decisions on its website with details of who to contact. In addition, Committee reports have a mandatory section for officers/councillors to complete

## The governance framework

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which explains what consultation was undertaken - and the outcome - in relation to the proposed decision to be made.

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### **Core Principle 3 - Defining outcomes in terms of sustainable economic, social and environmental benefits**

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The Council's Corporate Plan – Building a Better Ipswich - and its Priorities sit at the top of the Council's Golden Thread and all Council activities are associated with the Plan's Priorities. The current Corporate Plan was adopted by Council in March 2017 and came into effect on 1<sup>st</sup> April 2017.

The Plan sets out the Council's aspirations and priorities for Ipswich with its vision and objectives translated through service group business planning and service area operational planning. Review mechanisms are in place to monitor progress via the Corporate Plan Delivery Plan, including identifying risk at a strategic level by Corporate Management Team, and service area risk monitoring/review by Heads of Service and operations managers.

The Corporate Plan Delivery monitor was developed for Building a Better Ipswich and achievements against its Priorities and the Council's direct contributions are maintained and monitored through the performance management framework, business planning processes, annual assurance statements for each service grouping and the performance manager system.

Financial planning is underpinned by business planning, with increased expenditure in any service area being justified to the Corporate Management Team, and where necessary approved by the Executive. Key to the business planning process is a requirement to demonstrate planning for continuous improvement over several financial years. Reviews of every service provided by the Council include quality and cost considerations. All services have completed zero-based budgeting reviews and contribute to the Council's big-ticket savings targets.

Ipswich Borough Council, through its budgetary monitoring and control processes, ensures that financial resources are being used to their best advantage, via regular management reporting to the Corporate Management Team and Councillors.

The Corporate Management Team is tasked with prioritising resources to ensure that the objectives within the Corporate Plan are supported by the individual business plans, and that improvements are in line with corporate objectives.

Economic, effective and efficient use of resources is subject to thorough service reviews conducted by both Internal and External Audit. Benchmarking and use of comparative techniques is used. The Council continues to benchmark on specific metrics through the Local Government Association (LGInform) with quarterly summary reports provided by the LGA.

The Council's Complaints process was reviewed and revised in 2017. The review took into consideration internal and external customer response rates. The revised process now makes it easier for customers to submit a complaint online and track its progress due to the process being wholly electronic. Service areas have complaints 'champions' who monitor/maintain complaint information/data. Complaints data is regularly monitored by CMT via the performance dashboard.

The Council's Risk Management Strategy outlines levels of responsibility for identifying and managing risk. The document is reviewed annually by the Audit & Governance Committee.

The Council's Business Process Reengineering Schedule was completed as part of the Customer Services Access Strategy big ticket target which provided £500k efficiency savings. This was through stripping out back office inefficiencies by moving services to digital by default and removing the manual administration processes. The launch of the My Ipswich customer portal has assisted customers to complete requests/transactions online. Migration of customer contact to online has reduced face-to-face and telephony contact.

During 2018 the first phase of the Agile working programme was completed with mobile devices rolled out to all affected employees and a reduction in office space requirements in Grafton House. Vacated space has been leased generating an annual saving in service charges of £27,876 and an annual revenue of

## The governance framework

£94,720. During 2019/20, the second phase of the Agile Working programme was successfully implemented with the roll out of Office 365 and Skype for Business. This programme has enabled the Council to keep working during the Coronavirus outbreak which began at the end of the 2019/20 year and continued throughout the year 20/21.

### Core Principle 4 - Determining the interventions necessary to optimise the achievement of the intended outcomes

The Council's Risk Management Strategy and associated action plan was approved by the Executive in October 2020. A comprehensive refresh of the Strategy took place in 2020-21 as described in the significant governance issues section of the AGS. The Corporate Risk Register is regularly reviewed by the Audit and Governance Committee i.e. September 2019, October 2020, and will continue to review this fundamental area of governance in accordance with the Committees terms of reference.

Risk management is a fundamental part of all functions carried out by the Council. A risk management toolkit is also available as guidance for identifying and managing areas of risk which may impact on the Council's objectives.

Audit & Governance Committee, working alongside officers (as detailed in the Constitution) provides independent assurance to the Council that its overall governance arrangements are working effectively and reviews the arrangements that exist to safeguard the Council's money and assets and to provide proper value for money; manage the Council's exposure to risk having regard to its control environment including potential exposure to fraud and corruption and ensure the adequacy of the Council's financial reporting processes.

The Strategic Overview & Scrutiny Committee continues to review and scrutinise decisions taken by the Executive and reviews the services provided by the Council and its partners. The chair of the committee is appointed from opposition councillors and works in conjunction with all of the councillors on the committee to develop an annual work programme. The committee is supported by the Chief Executive who acts as lead officer. The Strategic Overview & Scrutiny Committee receives regular reports on Portfolio Holders performance and progress on delivery of the Council's corporate plan priorities.

Suggested topics for the work programme are discussed with the Strategic Overview & Scrutiny Committee Steering Group (steering group consists of the Chair and Vice-Chair of Strategic Overview & Scrutiny Committee plus cross-party representation), and relevant officers to prepare a scope of work. Some reviews are carried out by small Task & Finish Groups with outcomes being reported back to the main Committee, whilst other issues are considered by the full Committee. The Strategic Overview and Scrutiny Committee can make recommendations to Executive on the findings of its reviews.

The Executive is responsible for most decisions and makes decisions in line with the Council's overall major Policies framework and Budget. Should the Executive wish to make a decision which is outside the framework or budget, this must be referred to Council.

Each of the Council's Heads of Service develop annual business plans in consultation with operations managers. Plans focus on contributions to the Corporate Plan, performance, key activities for the coming year, challenges/risks covering changes affecting the service group and service group finance/budget.

Operations managers develop operational plans which set out their key service aims for the coming year together with risk, performance management and finance/budget associated with the delivery of their service.

Through performance reporting, corporate and key service objectives are monitored to ensure that performance targets and indicators are being achieved. Local performance indicators and annual key activities are individually linked to the corporate plan priorities and measured/monitored through the corporate Performance Manager System and the business and operational planning processes. All performance indicators are reviewed annually as part of the business planning process.

Internal financial control is based on a framework of management information, financial regulations and administrative procedures, which include the segregation of duties, management supervision and a system

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## The governance framework

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of delegation and accountability. Ongoing development and maintenance of the various processes may be the responsibility of other managers within the Council.

The Council's corporate plan feeds into the preparation of budgets and is accompanied by the Medium Term Financial Plan (MTFP), which includes the Capital Strategy and Treasury Management Strategy. Executive Councillors receive regular updates on performance and budget, e.g. via regular portfolio holder meetings with heads of service and operational managers and formal quarterly budget management reporting to the Executive Committee.

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### **Core Principle 5 - Developing the Authority's capacity, including the capability of its leadership and the individuals within it**

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The Council provides a programme of learning and development for councillors that includes a comprehensive induction programme for new councillors. Development representatives from each political group meet with the officers responsible for Councillor development to progress all development related issues. At this meeting Councillor development needs are identified and events planned to meet those needs. During 2020/21 relatively few training sessions were held due to the impact of the COVID-19 pandemic.

Performance reporting is maintained to Portfolio Holders and Strategic Overview & Scrutiny Committee. This process includes progress against key performance indicators and activity, together with risk management, against the corporate plan priorities during the year.

The role and duties of the head of paid service are discharged by the Chief Executive. The function of the head of paid service is described in the Council's Constitution.

As part of the year-end process a Service Assurance Statement is provided by all Heads of Service, detailing assessment of their services. They are required to give assurance that risks have been identified, sound business arrangements operate in their service areas, and that the service is subject to monitoring and review in order to assess performance. Service Assurance Statements are a key element in all Head of Service Business Plans.

Annual Operational Plans identify the service area requirements for workforce planning in the coming year. This covers workforce planning issues and actions proposed to ensure the service is delivered. Regard is paid to service area performance, employee leadership development, potential workforce issues in the coming year together with potential actions to remedy.

Employee engagement is planned and monitored through operational plans following the implementation of the Employee Survey Action Plan and employees are involved in the development of operational plans, with employee engagement plans developed and tailored to the service.

The Council continues to benchmark on specific metrics through the Local Government Association (LGInform) with quarterly summary reports provided by the LGA. In the coming year it is planned to develop a further benchmarking programme following a review of performance measures.

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### **Core Principle 6 - Managing risks and performance through robust internal control and strong public financial management**

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Risk management is a fundamental part of all functions carried out by the Council. A risk management toolkit is also available as guidance for identifying and managing areas of risk which may impact on the Council's objectives.

The Council's performance framework is regularly reviewed, and appropriate amendments made. There is a golden thread between the Corporate Plan, Heads of Service business plans and operational plans, which are all subject to review and report on the Council's performance against key priorities.



## The governance framework

The Council's Corporate Risk Register is reviewed on a monthly basis by the Corporate Management Team and any new risks are included in the Register for review and monitoring. In addition, the Register was reviewed by the Audit & Governance Committee and exception reports provided to the Executive during the year.

Heads of Service and operational managers review their service group and service area risks as part of the business and operational planning process. This review process also identifies any areas of risk which require monitoring via the Corporate Risk Register.

The committee report template includes a mandatory risk section for officers to complete - identifying risk associated with the decision being recommended, ensuring clarity for councillors and officers.

Performance is managed through a number of measures:

- Corporate Management Team monitor the CMT Dashboard on a monthly basis. The Dashboard contains four key areas of content, i.e.: Performance, Finance, key Projects, Corporate Risk.
- Quarterly and end year performance indicator reporting to Heads of Service via the Council's Performance Manager System.
- Regular performance and corporate plan delivery reporting to all Portfolio Holders and Strategic Overview & Scrutiny Committee.

Senior Information Risk Owner (SIRO) – The Council has a designated SIRO (the Head of Internal Audit) who has responsibility for the Council's information management (governance) framework and acts as the champion for information risk. The SIRO aims to mirror the model prescribed by central government (Cabinet Office). Following this 'best practice' approach allows for uniformity across the public sector as it strives to meet the competing demands of further transparency and public/private engagement in contrast to increased cybersecurity threats and the need to prevent data "leakage". Information governance has become a core part of the administrative process as the need to protect customer's information, whilst simultaneously operating in a rapidly evolving technological and information sharing age has become critical. By treating information as a business priority and not as an ICT or technical issue, we can ensure that risks are addressed, managed and capitalised upon. Ipswich Borough Council has created an outcome-focussed and holistic strategy for managing and shaping the way it uses its essential information

SIRO Annual Report - The following paragraphs represents the SIRO Annual Report. The main purpose of such reporting and management is to provide accountability and greater assurance that information risks are addressed.

Information Governance – Information is treated as a priority by the Council which acknowledges that information is of value to enable effective and efficient outcomes for all stakeholders. An Information Governance Framework is in operation.

Data Quality - The importance of data quality is communicated at all levels throughout the organisation, including an understanding provided through available workshops covering business planning and the Council's performance and risk management framework.

Designated Posts – Posts have been established and filled i.e. Data Protection Officer, Senior Information Governance Officer and ICT Security Advisor.

Policies - A number of key information governance documents have been refreshed and promoted throughout the organisation i.e. Corporate Information Security Policy, Email Usage Policy, Remote Access Policy and Password Policy.

Compliance - The Council is compliant with the Central Government Public Service Network (PSN) information security requirements (this is a mandatory annual process). The Council also acts on advice from the National Cyber Security Centre. Information is shared securely with our partners also using the Government Digital Service. The Council is also compliant with the ePayment Card Industry Standards (PCI).

## The governance framework

Data Protection Act 2018/UK General Data Protection Regulation - The Council acknowledges that information is a priority, which aids the delivery of its services effectively and efficiently. Moreover, protecting personal data is the overarching responsibility of the Council to meet obligatory legal duties and to fulfil its public service duty to each individual.

Training - Data Protection Act/UK General Data Protection Regulation and Freedom of Information Act training is compulsory for all staff and takes account of all recent changes with information laws alongside specialist training in Cyber Security Awareness training.

Data Breaches - There have been 43 Data Breaches reported to the Information Governance team this year (56 reported breaches in 2019/20). None of the incidents recorded were classified as high impact and so did not require notification to the Information Commissioners Office, but all were reviewed by members of the Corporate Management Team. No Information Security Incidents were reported.

Freedom of Information Act (FOI). A management solution using the Council's Customer Relationship Management system is in operation. Almost 700 FOI requests were received by the Council in 20/21 (Over 800 in 2019/20); 92% were answered within 20 days to the end of February. No complaints were reported to the Information Commissioners Office this year.

### **Core Principle 7 - Implementing good practices in transparency, reporting, and audit to deliver effective accountability**

Internal Audit Services - Works in accordance with the Public Sector Internal Audit Standards 2016, and the Internal Audit Team operates under a Charter. Internal Audit reviews and appraises the adequacy, reliability and effectiveness of internal control within systems and recommends improvement. It also supports management in developing systems, providing advice on matters pertaining to risk and control and governance. The controls created by management are evaluated to ensure:

- Council objectives are being achieved
- Economic and efficient use of resources
- Compliance with policies, procedures, laws and regulations
- The safeguarding of Council assets; and
- The integrity and reliability of information and data.

The Head of Internal Audit - Is responsible for reviewing and reporting on the adequacy of the organisation's control and governance environment, with a responsibility direct to the Audit and Governance Committee, including the arrangements for achieving value for money in accordance with CIPFA's 'The Role of the Head of Internal Audit in Public Service Organisations'. At Ipswich Borough Council this role reports to the Head of Governance as well as the Chief Executive when necessary, with free and open access across the entire executive and non-executive positions. The Head of Internal Audit and Audit Manager at Ipswich Borough Council are shared with East Suffolk Council via the contracted Audit Partnership arrangements.

The Head of Internal Audit Annual Opinion - Based on the work undertaken by Internal Audit Services throughout the year, in conjunction with previous years' work, current risk assessments, and the Heads of Service Assurance Statements, the Head of Internal Audit is able to place reasonable assurance on the systems of internal control in place.

External Audit - The Council's auditors, Ernst & Young LLP (EY), independently audit the Council and provide an opinion on the truth and fairness of the financial statements, the Council's use of resources and provide a value for money judgement. In reaching an opinion EY take account of statutory requirements, national standards, their own audit work and the reports of Internal Audit. The Council aims to achieve an unqualified audit opinion for the financial year 2020/21 and will respond to any improvements suggested by our Auditors.

Whistleblowing - A 'Whistleblowing' Policy is in place. The Head of Internal Audit is responsible for the policy and has oversight of the procedures and investigations; including reporting formally upon the status of any Whistleblowing cases to the Audit and Governance Committee. One Whistleblowing case was reported to the Head of Internal Audit in 2020/21.

## The governance framework

Complaints and Compliments- The Council has a complaints and compliments procedure with formal complaints monitored quarterly through Corporate Management Team.

Audit & Governance Committee - The Audit & Governance Committee's terms of reference and work programme aim to follow CIPFA best practice. The Committee receives regular updates from the Head of Internal Audit, the Chief Finance Officer and External Audit on the assurance which can be placed against various systems and processes reviewed during the year.

Local Government Transparency Code – The Council aims to comply with this Code by ensuring local people can now see (a link on the Council's Internet page) and access data covering:

1. How money is spent – for example, all spending transactions over £500, all Government Procurement Card spending and contracts valued over £5,000.
2. Use of assets – ensuring that local people are able to scrutinise how well their local authority manages its assets enabling local people the information they need to ask questions about how their authority is managing its housing stock to ensure it is put to best use.
3. Decision making – how decisions are taken and who is taking them, including how much senior staff are paid.
4. Issues important to local people – for example, parking and the amount spent by an authority subsidising trade union activity.

### Going Forward

Like all councils we are presented with many Information Governance challenges, both internal and external, with regard to assuring our digital communication aims, such as preparing for no adequacy decision being granted by the EU. The Council acknowledges the changing risks and opportunities around information governance and is actively working on continued compliance with the Information Commissioners Office and Cabinet Office guidance.

The Council maintains focus on the following areas:

- Income generation - determining and agreeing 'big ticket' items for financial savings and income generation. The Medium Term Financial Plan, agreed by Council in February 2020 identifies a range of "big ticket" items designed to achieve cost reductions or improvements in income.
- Ensure robust implementation plans for the 'big ticket' items are in place.
- The 'big ticket' items are incorporated into the monthly reporting to CMT via the performance dashboard.
- Recovery from the COVID-19 pandemic by leading and coordinating the Council's recovery activity to a new normality.

### Wholly owned Companies

At 31<sup>st</sup> March 2021 the Council had five wholly owned Companies – Ipswich Borough Assets Ltd, Ipserv Ltd, Ipswich Buses Ltd, Handford Homes Ltd and Ipserv Direct Services Ltd. Ipserv acquired a subsidiary, Stage Event Security Ltd in April 2018 and Handford Homes incorporated a subsidiary, Handford Lettings Ltd in November 2018. In January 2020 Ipswich Borough Assets incorporated a subsidiary, Ipswich Borough Assets Developments Limited. In March 2021, Executive authorised Handford Homes to also trade as Handford Developments, providing non housing development services to the Council.

Each company has up to date Articles, Schemes of Delegation, skills audits.

The Council's Executive has appointed the Head of Governance as the shareholders representative for each wholly owned company.

## The governance framework

In summary the Governance arrangements for each company are:

### Ipswich Buses

- First incorporated in 1986
- Six Directors including two independent of the Council
- Head of Governance as the Shareholder's representative
- Clear Articles of Association
- Reserved matters clearly indicating what requires a decision from the Shareholder (via an Executive meeting) or from the Shareholder's representative
- Annual report and business plan submitted to Shareholder
- Scheme of delegation
- Audited by Grant Thornton
- Part of Group accounting structure for IBC
- Has some financial relationships with IBC secured by debenture or other secured loan agreement
- Shares Company Secretary with other Council owned companies
- Intra-group agreements in place for support services.

### Ipswich Borough Assets

- First incorporated in 2016
- Five Directors
- Head of Governance as Shareholder's representative
- Clear Articles of Association and Reserved Matters
- Annual report and Business Plan submitted to shareholder
- Shares Company Secretary with other Council owned companies
- Scheme of Delegation
- Audited by Grant Thornton
- Part of group accounting structure for IBC
- Financial relationships with IBC secured through formal loan agreements
- Intra-group agreements in place for support services.

### Ipserv

- First incorporated in 2017
- Five Directors
- Head of Governance as Shareholder's representative
- Clear Articles of Association and Reserved Matters
- Annual report and Business Plan submitted to shareholder
- Shares Company Secretary with other Council owned companies
- Scheme of Delegation
- Audited by Grant Thornton
- Part of group accounting structure for IBC
- Financial relationships with IBC secured through formal loan agreements
- Intra-group agreements in place for support services
- Scheme of delegation.

### Handford Homes

- First incorporated in July 2017
- Six Directors. The sixth director was appointed by Executive in March 2021 and came into position on 1<sup>st</sup> April
- Head of Governance as Shareholder's representative
- Clear Articles of Association and Reserved Matters
- Annual report and Business Plan to be submitted annually to shareholder
- Shares Company Secretary with other Council owned companies
- Scheme of Delegation
- Audited by Grant Thornton
- Part of group accounting structure for IBC
- Financial relationships with IBC secured through formal loan agreements
- Intra-group agreements in place for support services.

## The governance framework

### Ipserv Direct Services

- First incorporated in 2018
- Five Directors
- Head of Governance as Shareholder’s representative
- Clear Articles of Association and Reserved Matters
- Annual report and Business Plan submitted to shareholder
- Shares Company Secretary with other Council owned companies
- Audited by Grant Thornton
- Part of group accounting structure for IBC
- Financial relationships with IBC secured through formal loan agreements
- Intra-group agreements in place for support services
- Scheme of delegation.

It should be noted that over the years the Council has registered a number of other companies in order to protect names should they be required in future. These are being reviewed and none are trading.

Arrangements for these companies are kept under constant informal review as the companies develop with proposals to significantly change governance arrangements submitted to the Council’s Executive.

## Improvements during the year 2020/21

In the period covered by this Annual Governance Assurance Statement, improvements have been made to the Council’s arrangements in respect of the following areas, which had been previously identified as areas for improvement or challenges for the Council to overcome:

Issue	Improvement Plan	Progress to date
Agresso Upgrade further developments	<ul style="list-style-type: none"> <li>▪ Develop menu driven reporting and educate budget managers to access regularly to conduct their own budget monitoring</li> <li>▪ Encourage better contract management using Agresso tools</li> <li>▪ Culture change programme to ensure tasks and accountabilities sit in the right place and are understood</li> </ul>	<ul style="list-style-type: none"> <li>▪ System has been further developed in particular with regard to contract reporting and enforcement of procure-to-pay.</li> <li>▪ The focus for 2021/22 is on further development of self-service for budget managers including access to reporting. An amended contract is due to be agreed which migrates the financial system to the SaaS ‘cloud’ platform. This will require robust management.</li> </ul>

## The governance framework

Issue	Improvement Plan	Progress to date
Procurement compliance and improvement	<ul style="list-style-type: none"> <li>▪ Further improve the procurement experience, deliver on timetable/pipeline and achieve savings</li> <li>▪ Breakdown the steps involved in the procurement cycle and introduce gateway stages to ensure milestones are met.</li> <li>▪ Once relevant Agresso modules implemented improve management reporting to drive savings</li> </ul>	<ul style="list-style-type: none"> <li>▪ The procurement pipeline document has been refined and dashboard reporting has been developed for Procurement Board.</li> <li>▪ Procurement Board follows gateway review principles</li> <li>▪ Procurement Big Ticket savings have been identified and captured during 2020/21.</li> </ul>
Review the Council's Corporate Plan and MTFP in light of the implications of the COVID-19 Pandemic	<ul style="list-style-type: none"> <li>▪ Review Corporate Plan</li> <li>▪ Review MTFP</li> </ul>	<ul style="list-style-type: none"> <li>▪ Review of the Corporate Plan has been on hold due to the COVID-19 pandemic and the need for the organisation to engage with, develop and co-ordinate Recovery activity.</li> <li>▪ Two interim budgets were adopted by Council during 2020/21, which included updates to the councils General Fund revenue budget, Big Ticket Programme and Capital Programme.</li> <li>▪ The 2021/22 MTFP built on these interim MTFPs and provided an update on the progress made.</li> </ul>

## The governance framework

Issue	Improvement Plan	Progress to date
<p>Review the Council's governance arrangements in relation to increased home working</p>	<ul style="list-style-type: none"> <li>▪ Review all policies and arrangements associated with home working</li> </ul>	<ul style="list-style-type: none"> <li>▪ New employees have access to a new online Corporate Induction Pack.</li> <li>▪ Employees have access to online training, and training is also being delivered virtually.</li> <li>▪ A new Buddy Scheme has been introduced to support employees who may be experiencing isolation during lockdown/homeworking.</li> <li>▪ Weekly Wellbeing Top Tips are published aimed at supporting employee wellbeing which are accessible by all.</li> <li>▪ DSE assessments have been completed for working at home.</li> <li>▪ Home working tax relief claim promoted to enable employees to claim.</li> <li>▪ Individual risk assessments have been completed to establish if employee's homeworking arrangements are suitable and or to establish if mental health is suffering due to working from home.</li> <li>▪ Employee Assistance programme available 24/7</li> <li>▪ Mental Health First Aiders available to support employees if required.</li> </ul>
<p>Review the Council's approach to risk management given the Coronavirus Pandemic</p>	<ul style="list-style-type: none"> <li>▪ Refresh the Risk Management Strategy</li> <li>▪ Refresh the Corporate Risk Register</li> <li>▪ A new Risk Management Training Programme to be designed and delivered to all relevant staff and Councillors encapsulating all the refreshed Strategy and Register</li> </ul>	<ul style="list-style-type: none"> <li>▪ Corporate Risk Management Strategy was updated during 2021. The Corporate Risk Register was also reviewed and signed off by CMT.</li> <li>▪ Risk Management Training Programme to be progressed in 2021/22.</li> </ul>

## The governance framework

Issue	Improvement Plan	Progress to date
Changes to Electoral Services	<ul style="list-style-type: none"> <li>▪ Conduct a Polling District Review to include a consultation over the summer</li> <li>▪ Recommendations to be provided from the Returning Officer to the Electoral Services Working Group</li> <li>▪ Agreed recommendations to be considered and approved at Full Council by the end of the year.</li> <li>▪ 2020 Canvass to commence on the 1<sup>st</sup> July and be completed by the end of the year in order that changes can be in place before next elections</li> </ul>	<ul style="list-style-type: none"> <li>▪ Polling district review conducted during autumn of 2020.</li> <li>▪ Recommendations agreed by Electoral Services Working group and formally signed off by Full Council in November 2020.</li> <li>▪ Canvass satisfactorily carried out.</li> </ul>
Progress emerging Ipswich Local Plan through the examination in public process	<ul style="list-style-type: none"> <li>▪ Secure appropriate professional advice</li> <li>▪ Provide professional and robust representation at Examination</li> <li>▪ Work with stakeholders to agree on any matters of dispute</li> <li>▪ Align with neighbouring authorities</li> <li>▪</li> </ul>	<ul style="list-style-type: none"> <li>▪ Public hearings completed in Nov/Dec 2020 with robust representation.</li> <li>▪ Worked with stakeholders to agree on any matters of dispute</li> <li>▪ General alignment with neighbouring authorities</li> <li>▪ Initial favourable Inspectors report received March 2021</li> <li>▪ Preparation for Main Modifications consultation underway – revisions to the Core Strategy and Allocations DPDs being prepared for entering into the online system.</li> <li>▪ Adoption expected by March 2022.</li> </ul>



## The governance framework

Issue	Improvement Plan	Progress to date
Safeguarding of Heritage Assets	<ul style="list-style-type: none"> <li>▪ Proactively manage affected IBC asset</li> <li>▪ Engage with owners of buildings at risk in order to secure necessary measures</li> <li>▪ Pursue and secure any potential external funding opportunities</li> <li>▪ Utilise planning tools where appropriate</li> <li>▪ Liaise with full service group in identifying solutions and action plans</li> </ul>	<ul style="list-style-type: none"> <li>▪ Continued reference to the adopted Urban Character / Public Realm Strategy / Conservation SPDs, and relevant Conservation Area appraisals in decisions and officer reports.</li> <li>▪ Adopted Local List SPD</li> <li>▪ Continued engagement with BAR owners</li> <li>▪ Continued repair and maintenance of corporate estate.</li> <li>▪ Provided advice to conservation team on repair works to buildings at risk.</li> </ul>
Ensuring the Council can deliver on carbon neutral 2030 pledge	<ul style="list-style-type: none"> <li>▪ Prepare a draft a Climate Change Strategy and Action Plan for consideration</li> <li>▪ Design and implement a mobile plant procurement strategy that meets the requirement to start working towards becoming carbon neutral</li> </ul>	<ul style="list-style-type: none"> <li>▪ Procurement Project for mobile plant in process to be completed and implemented 2021</li> <li>▪ Climate Change Strategy and Action Plan agreed at Executive on 3<sup>rd</sup> November 2020</li> </ul>

## The governance framework

Issue	Improvement Plan	Progress to date
<p>Structure and Governance of the Greenways Project</p>	<ul style="list-style-type: none"> <li>▪ Undertake a review of the Structure and Governance of the Greenways Project following the removal of funding from a number of partners</li> </ul>	<ul style="list-style-type: none"> <li>▪ Review being undertaken in the 21/22 Municipal year</li> </ul>
<p>Review the existing Customer Access Strategy (2018-21) to ensure it is relevant and fit for purpose in changing circumstances</p>	<ul style="list-style-type: none"> <li>▪ Ensure our customers can access the information they need and want at times that suit them in ways that ensure they and the Council can comply with new ways of working</li> </ul>	<ul style="list-style-type: none"> <li>▪ To be reviewed in 2021</li> </ul>

## The governance framework

Issue	Improvement Plan	Progress to date
<p>Scheme of Delegation and all other rules within the Constitution to be reviewed</p>	<ul style="list-style-type: none"> <li>▪ Review of the Constitution</li> </ul>	<ul style="list-style-type: none"> <li>▪ Revised Constitution approved by Council in February 2021.</li> <li>▪ The Constitution is to be continually reviewed</li> </ul>
<p>Asset Management Strategy (not Council Housing)</p>	<ul style="list-style-type: none"> <li>▪ Ensure the Asset Management Strategy is aligned to the Council's Corporate Plan</li> <li>▪ Senior Officers have agreed an improvement action plan to enable governance improvements. This is also monitored within the Corporate Risk Register and overseen by the governance arrangements in place at the Council</li> </ul>	<ul style="list-style-type: none"> <li>▪ Asset Management Strategy adopted by Council in February 2021.</li> <li>▪ Regular review meetings established, and annual review and refresh will be implemented.</li> </ul>

The Audit & Governance Committee will review this document in July 2021 and comment upon the effectiveness of the governance framework.

## The governance framework

### Significant governance issues

On the basis of assurance statements produced by the Heads of Service and the Council's Corporate Risk Register (CRR), we are satisfied that the Corporate Governance arrangements for Ipswich Borough Council are adequate and operating effectively. We always keep matters under review with the intention to improve processes in 2021/22 in the following areas: \*

Issues/Challenges Identified	Improvement Plan
Transparency of information and data held on the current Property Management Software - Uniform	<ul style="list-style-type: none"> <li>▪ Installation of new system (Propman) and ongoing review.</li> </ul>
Further developing the use of Human Resource Information System (HRIS)	<p><b>Development of:</b></p> <ul style="list-style-type: none"> <li>• Recruitment – implement onboarding, electronic signatures, digital documents. Review and improve existing process.</li> <li>• L&amp;D – recording skills and qualifications.</li> <li>• ESS - Increased use of digital payslips develop and implement an automated leaver process - including enabling employees and managers to undertake more tasks through self-service.</li> </ul> <p><b>Implementation of:</b></p> <ul style="list-style-type: none"> <li>• Performance Management</li> <li>• Case management (currently ER Tracker).</li> </ul>
Develop new operating model for after pandemic restrictions are lifted	<ul style="list-style-type: none"> <li>▪ New Operating Model developed and consulted on</li> <li>▪ New Operating Model implemented</li> </ul>
Structure & Governance of the Resource and Waste Strategy (RAWS) and consultations	<ul style="list-style-type: none"> <li>▪ Analysing strategy and structure for procurement</li> <li>▪ Continued membership of RAWS Officer Action Group – monthly cross LA meetings</li> <li>▪ Active involvement in consultations, review and feedback with key stakeholders</li> <li>▪ Best practice visits to LA's already running similar models to RAWS.</li> </ul>
Develop the governance arrangements for Capital budget management	<ul style="list-style-type: none"> <li>▪ Capital Working Group to develop an improved budget management process making better use of the contract information available in Agresso.</li> </ul>

## The governance framework

Issues/Challenges Identified	Improvement Plan
Review and update SRP Partnership agreement	<ul style="list-style-type: none"> <li>▪ Negotiate amendments to agreement</li> <li>▪ Review and further align processes to ensure continuity between the local authorities</li> <li>▪ Provide a robust and resilient service through shared resources</li> </ul>
Embedding revised Constitution	<ul style="list-style-type: none"> <li>▪ Provide additional support to Service Areas,</li> <li>▪ Thoroughly check references to the Constitution in Reports and Officer Decisions</li> <li>▪ Ensure that all Committee Processes are adapted to reflect changes in the Constitution.</li> </ul>
Social Housing White Paper (non-compliance with legislation / regulatory breaches)	<ul style="list-style-type: none"> <li>▪ Project team established across Housing Services. Review progress</li> <li>▪ List of actions and lead officers identified</li> <li>▪ Keep up to date with announcements/timescales</li> </ul>
Review governance arrangements for Leasehold Management	<ul style="list-style-type: none"> <li>▪ Review of fees, service charge accounting and debt collection processes</li> <li>▪ Refresh Leasehold Management Policy</li> <li>▪ Produce Leasehold procedures</li> <li>▪ Establish performance measures</li> <li>▪ Implement property purchase and service charge module in IHMS.</li> </ul>
Review the Council's governance arrangements in relation to Partnership Framework	<ul style="list-style-type: none"> <li>▪ Refresh the framework and process to improve ease of use to capture formal and informal partnerships.</li> </ul>
Ensuring services meet changing needs of communities post pandemic	<ul style="list-style-type: none"> <li>▪ Review each public facing service to ensure fit for purpose</li> <li>▪ Review service risk registers</li> <li>▪ Review service health &amp; safety arrangements</li> </ul>
Develop Northgate rents system	<ul style="list-style-type: none"> <li>▪ Develop self service including online repairs reporting</li> <li>▪ Refine management information processes</li> <li>▪ Procure the system support service</li> </ul>
Governance of transition to Unit 4 SaaS	<ul style="list-style-type: none"> <li>▪ Smooth transition to SaaS with minimal service disruption</li> <li>▪ Review of system governance and usage</li> </ul>

We propose over the coming year to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operation as part of our next annual review.

## The governance framework

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**Signed:** Councillor David Ellesmere  
Council Leader on behalf of Ipswich Borough Council

**Date:** 28/07/2021

**Signed:** Russell Williams  
Chief Executive on behalf of Ipswich Borough Council

**Date:** 28/07/2021