

Appendix 1 Annual Governance Statement 2020/21 Action Plan and Progress Update

Green - Completed

Amber - Ongoing

| | Control area | Governance issue | Action | Responsible owner | Timescale | Update |
|----|--|--|--|---------------------------------|-----------------------------------|---|
| 1. | Access to information for members | Improvements required to access to information for Members | Adopt Access to Information Protocol Commence publication of Forward Plan | Director of Legal (MO) | January 2022 December 2021 | Revised Access to Information Procedure Rules approved by Council in March 2022. Access to Information Protocol added to constitution following agreement to recommend adoption by Ethics Committee in December 2021. The Forward Plan and schedule of deadlines is now published. |
| 2. | Anti-fraud, corruption, whistleblowing | Review of anti-fraud and corruption policy overdue | Review and revise anti-fraud and corruption policy and strategy | Corporate Director of Resources | November 2021 - Complete | Anti-Fraud & Corruption Strategy approved by GPAC in November 2021 |
| 3. | Anti-fraud, corruption, whistleblowing | Review of whistleblowing policy and training overdue | Review and revise whistleblowing policy and implement training programme | Corporate Director of Resources | December 2021 - Complete | Whistleblowing policy and associated summary launched on intranet in May 2022. Presentations for staff and managers to introduce revised policy prepared. Training for Designated Assessors took place in July. |
| 4. | Audit | Strengthen the effectiveness of General Purposes | Recruit Independent Chair for General | Corporate Director of Resources | COMPLETED - September 2021 | Completed |

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| | | and Audit Committee as a source of independent assurance. | Purposes and Audit Committee | | | |
| 5. | Audit | Rapid review recommendation to produce a more robust assurance framework | Benchmark the Council's assurance framework against the National Audit Office 'Three Lines of Defence' model | Corporate Director of Resources | March 2022 - Complete | Governance Framework drafted against the National Audit Office 'Three Lines of Defence' model. |
| 6. | Audit | Ensure appropriate corporate ownership of and engagement with the Annual Governance Statement | Develop new process for 2021/22 | Corporate Director of Resources | March 2022 - Complete | New process developed and ownership with the Monitoring Officer |
| 7. | Audit | Ensure senior oversight of delivery of internal audit management actions | Monthly reviews at CLT of management actions arising from internal audit reports | Corporate Director of Resources | September 2021 - Complete | In place and ongoing, monthly meeting of CMT |
| 8. | Financial management | Recommendations arising from independent review of the Council's financial management arrangements | Implement Croydon Finance Review Finance training for non-finance managers | Corporate Director of Resources | March 2022 March 2022 | Review being managed by Director of Finance with oversight by the FRA ICB Finance training develop and manged by Director of Finance |

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| 9. | Capital finance management | Recommendations arising from independent review of the Council's financial management arrangements | <p>Establish Capital Board</p> <p>Review capital programme, establish monthly capital monitoring and strengthen capital project management</p> <p>Financial appraisal skills training for project leads</p> | <p>Corporate Director (SCRER)</p> <p>Corporate Director of Resources</p> | <p>July 2021</p> <p>March 2022</p> <p>Complete</p> <p>March 2022</p> | <p>Capital Board established in 2021 and is receiving monthly capital updates and steps are in place to move to tighter project management of the Capital Programme which will involve highlight reporting across the key domains of time/cost/quality, including risks/issues, etc.</p> <p>The FRA ICB is currently determining how to proceed with this and how to interface with reporting on RIPI/ PFA's oversight of governance improvements</p> |
| 10 | Governance | Code of governance not reviewed since 2015/16 | Review Code of governance alongside Annual Governance Statement | Corporate Director of Resources | November 2021 - Complete | The Code of Governance has been reviewed. |
| 11 | Governance | Review of Constitution overdue | Review Constitution, informed by Constitution Working Group and wider engagement as appropriate, | Corporate Director of Resources | March 2022 Complete | Constitution reviewed following move to Mayor and Cabinet model. Items for further consideration identified and Work programme being developed for ongoing constitution review |

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| | | | supporting development of member/ officer awareness of good governance and clarify senior officer ownership | | | |
| 12 | Governance | RIPi requirement to strengthen governance of the Council's external entities | Croydon Companies Supervision and Monitoring Panel established | Corporate Director of Resources | COMPLETED - July 2021 | Completed and meeting regularly |
| 13 | Health and safety | Review of effectiveness of health and safety arrangements overdue | Review effectiveness of Health and Safety Board and implement actions arising | Corporate Director (SCRER) | March 2022 | Corporate Health and Safety Board is reviewing health and safety processes and implementing actions arising |
| 10. | Information Management | Review of record retention policy and procedures overdue Staff training required to ensure consistent implementation of policies Appropriate capacity required to | Restructure Information Management team and complete recruitment Develop and implement programme of work to ensure all policies and training are updated and backlogs addressed. | Assistant Chief Executive | March 2022 | Restructure of Information Management team nearing completion including recruitment. Backlogs being addressed. Programme of work will be developed once recruitment has been completed. |

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| | | deliver improvement work | | | | |
| 11. | Leadership | Executive Leadership Team postholders all on temporary/ interim contracts | Appointment of permanent Chief Executive Implementation of senior management restructure | Leader of the Council Chief Executive | COMPLETED - July 2021 November 2021 | Complete |
| 12. | Leadership | Assure compliance in relation to the largest/ highest risk contracts | Establish quarterly statutory officers meetings Review terms of reference to include review of compliance and potential conflicts of interest | Chief Executive | COMPLETED - June 2021 November 2021 Complete | Complete Terms of reference review completed in July |
| 13. | Member/ officer conduct | RIPi requirement to review Member and Officer Codes of Conduct (and to reflect recommendations of Committee for Standards in Public Life) | Review and adopt new Member Code of conduct Review and adopt new Officer Code of Conduct Review and adopt new Councillor / | Corporate Director of Resources | October 2021 October 2021 March 2022 | Member Code of Conduct reviewed reflecting recommendations of Committee for Standards in Public Life. Training given to all members. Officer Code of Conduct reviewed. Officer e-learning module developed and will be launched in July |

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| | | | Officer Working Protocol | | Complete | Protocol on Staff – Councillor Member Relations agreed by Council in March 2022 and has been included in the constitution |
| 14. | Member/ officer conduct | Provide signposting for staff to take action in situations causing them concern in the workplace | Introduce Guardians programme | Assistant Chief Executive | COMPLETED - July 2021 | Completed |
| 15. | Member skills and development | Requirement for member development programme to address recommendations of RIPI | Implementation of member development programme, linked to scrutiny improvements and budget scrutiny | Corporate Director of Resources | March 2022 | Member induction programme has been implemented. Essential items will be complete by the end of July. Further training has been identified through to the end of November. Ethics Cttee will consider what more needs to be done. |
| 16. | Officer skills and development | Officer induction programme currently paused | Revise and reintroduce officer induction programme | Assistant Chief Executive | November 2021 | Resumed officer induction programme. Mayor's vision to be incorporated in pack and final sign off from CMT to be obtained. |
| 17. | Performance management | RIPI action to introduce regular reporting of performance and risk to Cabinet and Scrutiny | Develop and publish a corporate performance report for review by Cabinet and Scrutiny | Assistant Chief Executive | COMPLETED - October 2021 | Completed |

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| 18. | Procurement | Develop strategic commissioning and ensure appropriate oversight | Establish Strategic Commissioning and Contracts Board and contracts and commissioning pipeline Maintain Board and pipeline ongoing | Assistant Chief Executive Corporate Director of Resources | June 2021 Ongoing | Completed The Strategic Commissioning and Contracts Board meets regularly. |
| 19. | Procurement | Address areas for improvement in procurement and contracting identified by Internal Audit | Adopt Contracts Improvement Plan Maintain improved practice ongoing | Assistant Chief Executive Corporate Director of Resources | COMPLETED - September 2021 Ongoing | Completed Ongoing. |
| 20. | Risk management | Ensure all CMT and directors understand their roles and responsibilities in relation to risk management | CMT to review 'red' risks monthly 1:1 refresher training for all CMT and directors, update risk management guidance. | Corporate Director of Resources | April 2021 March 2022 | Ongoing Completed Completed |
| 21. | Risk management | Benchmark against best practice standards in public sector risk | Implement actions arising from RIPI relating to risk | Corporate Director of Resources | March 2022 | An external assurance review is underway |

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| | | management (in particular HM Treasury 'Orange Book') | Implement further actions arising from benchmarking | | | |
| 22. | Scrutiny | Areas for improvement in the scrutiny function | Adoption and implementation of scrutiny improvement programme, including budget scrutiny | Corporate Director of Resources | March 2022 | Scrutiny forms part of the member induction programme and further development will be ongoing through 2022/23. |
| 23. | Service planning | Lack of service-level plans linked to Croydon Renewal Plan | Develop process and approach to service planning for 2022/23 | Assistant Chief Executive | March 2022 | Service Planning template and guidance has been developed and approved by CMT. The approach has been communicated to senior managers, and Heads of Service have been required to complete service plans for 2022/23. |
| 24. | Transparency | Publication Scheme information not current | Establish and implement processes to ensure Publication Scheme appropriately updated | Assistant Chief Executive | March 2022 | Restructure of Information Management team nearing completion including recruitment. Then this action will be dealt with. |