

Annual Governance Statement 2020/21 Action Plan

Control area	Governance issue	Action	Responsible owner	Timescale	Update – June 2022
Access to information for members	Improvements required to access to information for Members	Adopt Access to Information Protocol	Corporate Director of Resources	January 2022	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.
		Commence publication of Forward Plan		December 2021	The Forward Plan and schedule of deadlines is now published.
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	Anti-Fraud & Corruption Strategy approved by GPAC in November 2021
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	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 taking place in July.
Audit	Strengthen the effectiveness of General Purposes and Audit Committee as a source of independent assurance.	Recruit Independent Chair for General Purposes and Audit Committee	Corporate Director of Resources	COMPLETED - September 2021	Completed

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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	Governance Framework drafted against the National Audit Office 'Three Lines of Defence' model. Will be considered as part of the AGS
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	New process developed and ownership with the Monitoring Officer
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	In place and ongoing
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 PFA ICB Finance training develop and managed by Director of Finance
Capital finance management	Recommendations arising from independent review of the Council's financial management arrangements	Establish Capital Board Review capital programme, establish monthly capital monitoring and	Corporate Director (SCRER) Corporate Director of Resources	July 2021 March 2022	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.

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		strengthen capital project management Financial appraisal skills training for project leads		March 2022	The PFA ICB is currently determining how to proceed with this and how to interface with reporting on RIPI/ PFA's oversight of governance improvements
Governance	Code of governance not reviewed since 2015/16	Review Code of governance alongside Annual Governance Statement	Corporate Director of Resources	November 2021	The Code of Governance has been drafted and will be aligned and cross-referenced with the AGS.
Governance	Review of Constitution overdue	Review Constitution, informed by Constitution Working Group and wider engagement as appropriate, supporting development of member/ officer awareness of good governance and clarify senior officer ownership	Corporate Director of Resources	March 2022	Constitution reviewed following move to Mayor and Cabinet model. Work programme being developed for reconvening Constitution Working Group/ process for ongoing constitution review
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
Health and safety	Review of effectiveness of health and safety	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

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	arrangements overdue				
Information Management	<p>Review of record retention policy and procedures overdue</p> <p>Staff training required to ensure consistent implementation of policies</p> <p>Appropriate capacity required to deliver improvement work</p>	<p>Restructure Information Management team and complete recruitment</p> <p>Develop and implement programme of work to ensure all policies and training are updated and backlogs addressed.</p>	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.
Leadership	Executive Leadership Team postholders all on temporary/ interim contracts	<p>Appointment of permanent Chief Executive</p> <p>Implementation of senior management restructure</p>	<p>Leader of the Council</p> <p>Chief Executive</p>	<p>COMPLETED - July 2021</p> <p>November 2021</p>	Complete
Leadership	Assure compliance in relation to the largest/ highest risk contracts	<p>Establish quarterly statutory officers meetings</p> <p>Review terms of reference to include review of compliance and potential conflicts of interest</p>	Chief Executive	<p>COMPLETED - June 2021</p> <p>November 2021</p>	<p>Complete</p> <p>Terms of reference review will be completed in July</p>

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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 / Officer Working Protocol	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 Protocol on Staff – Councillor Member Relations agreed by Council in March 2022 and has been included in the constitution
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
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.
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.
Performance management	RIPI action to introduce regular	Develop and publish a corporate performance	Assistant Chief Executive	COMPLETED - October 2021	Completed

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	reporting of performance and risk to Cabinet and Scrutiny	report for review by Cabinet and Scrutiny			
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.
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.
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
Risk management	Benchmark against best practice standards in public sector risk management (in particular HM	Implement actions arising from RIPI relating to risk	Corporate Director of Resources	March 2022	The PFA ICB is considering a proposal to commission an external assurance review.

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	Treasury 'Orange Book')	Implement further actions arising from benchmarking			
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.
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.
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.