

## ANNUAL GOVERNANCE ACTION PLAN 2021/2022

**Notes and key**

Each action in the plan is marked with a 'traffic light' as follows:

<b>Green</b>	On target
<b>Amber</b>	Off target but action being taken to ensure delivery (where this results in a reviewed target date, this is made clear in the table)
<b>Red</b>	Off target and no action has yet been agreed to resolve the situation

**Completed** actions are marked as such in the 'Date' column and are shaded grey

This action plan contains actions from the Annual Governance Statement 2020/2021 which are coordinated and monitored by the Local Management Team.

**Key to officers**Accountable officer

Monitoring Officer: Angela Claridge  
 Chief Executive: Rob Weaver  
 S.151 Officer: Jenny Poole

Responsible officer

Publica Strategic Support Officer - Risk and Compliance: Mike Butler  
 Publica Business Manager for Corporate Responsibility: Claire Hughes  
 Publica Business Manager for Finance: Debra Goodall  
 Publica Senior Procurement Business Partner: Ciaran O'Kane  
 Publica Executive Director (Services): Frank Wilson  
 Publica Business Partner - Health and Safety: Katrin Richardson

	Key Area of Focus	Actions	Responsible Officer	Accountable Officer	Completion due by	Progress
1. GREEN	Audit recommendations	<p>Managers to ensure compliance with agreed timescales to implement recommendations</p> <ul style="list-style-type: none"> <li>Level 1 &amp; 2 recommendations to be monitored and reported quarterly to Audit Committees. Managers will give feedback where there has been an unacceptable delay.</li> <li>All recommendations to be reported quarterly to the Council Management Team. Managers will give feedback where there has been an unacceptable delay.</li> </ul>	<p>SWAP Audit</p> <p>Publica Strategic Support Officer - Risk and Compliance</p>	<p>S.151 Officer</p> <p>S.151 Officer</p>	<p>November 2021</p> <p>November 2021</p>	<p>Reported by Internal Audit at each Audit Committee</p> <p>Reporting to begin in October 2021</p>
2. GREEN	Procurement and contract management.	<ul style="list-style-type: none"> <li>Compliance with new strategy for procurement and contract management.</li> <li>Ensure all contract conditions are being monitored and fulfilled.</li> </ul>	<p>Publica Business Manager for Procurement</p> <p>All budget holders</p>	<p>S.151 Officer</p> <p>Chief Executive</p>	<p>March 2022</p> <p>March 2022</p>	<p>Procurement and Commissioning Board established and meets monthly to review upcoming procurements. S151, Group Managers, Business Managers and Commissioners in attendance. The purpose of the Board is to ensure effective Commissioning takes place prior to Procurement. Procurement Strategy on hold pending update from Central Government advice on post Brexit on Public Contract Regulations.</p> <p>A training plan is currently being developed internally</p>

		<ul style="list-style-type: none"> <li>Financial management training to cover procurement and commissioning.</li> </ul>	Publica Business Manager for Procurement / Publica Business Manager for Finance	S.151 Officer	March 2022	A training plan is currently being developed internally
3. GREEN	Constitution and officer schemes of delegation.	<ul style="list-style-type: none"> <li>Schemes of delegation to be updated.</li> <li>Training to be provided where appropriate for Officers given delegated authority.</li> <li>A training programme for Members to be developed.</li> </ul>	Monitoring Officer	Monitoring Officer	March 2022	Outstanding
			Monitoring Officer	Monitoring Officer	March 2022	Outstanding
			Monitoring Officer	Monitoring Officer	March 2022	Outstanding
4. GREEN	Operational Risks.	<ul style="list-style-type: none"> <li>Governance Group to carry out a quarterly review of operational risk registers to ensure that they are being appropriately populated and that emerging high level risks are being escalated to strategic/corporate register.</li> </ul>	Publica Business Manager for Corporate Responsibility	Chief Executive	November 2021	Process to be implemented from October 2021
5. GREEN	Responsibility and accountability of the Council's Senior Leadership Team and Publica Management Team	<ul style="list-style-type: none"> <li>Clarify and embed responsibility and accountability between the Council's Senior Leadership Team and Publica's Management Team.</li> <li>Clarify responsibility and accountability of Publica Officers.</li> </ul>	Executive Director (Services)	Chief Executive	March 2022	Local Leadership Team including Lead Director for Publica.
			Executive Director (Services)	Chief Executive	March 2022	Reaffirmed the roles between Commissioning and Delivery.

6.	GREEN	Budget management	<ul style="list-style-type: none"> <li>Review of approvers on 'Business World' to ensure only the approved budget holder (or line manager) is able to approve spending.</li> </ul>	Publica Business Manager for Finance	S.151 Officer	March 2022	Included as part of a bigger review on Business World
			<ul style="list-style-type: none"> <li>Provide financial management training to cover budget management.</li> </ul>	Publica Business Manager for Finance	S.151 Officer	March 2022	Provided as and when needed.
7.	GREEN	Project and programme management.	<ul style="list-style-type: none"> <li>New framework for project and programme management to be rolled out.</li> </ul>	Publica Business Manager for Corporate Responsibility	Chief Executive	March 2022	The framework was launched in Oct 2020 and has been in use since then. The roll out of a Project Management Framework support library to support use of the framework is being rolled out from mid October 2021.
			<ul style="list-style-type: none"> <li>High level project risks to be escalated to Strategic/Corporate register.</li> </ul>	Publica Strategic Support Officer - Risk and Compliance	Chief Executive	January 2022	Monthly project updates on the project register provide a mechanism to flag that there is a new/increased project risk to raise. The Governance Group will look at a sample of project risk registers at their meetings to check that they are being completed and that risks are being escalated appropriately
8.	GREEN	Health and Safety	<ul style="list-style-type: none"> <li>Health and safety audits to be refreshed as we come out of 'lockdown' and work on an increasingly agile basis.</li> </ul>	Publica Business Partner - Health and Safety	Chief Executive	Complete	A schedule of audits has been compiled which will cover all service areas over a four year cycle. This includes follow up audits to ensure any necessary actions have been put in place.
			<ul style="list-style-type: none"> <li>Fire Risk Assessments to be refreshed as we come out of 'lockdown' and work on an increasingly agile basis.</li> </ul>	Publica Business Partner - Health and Safety	Chief Executive	Complete	Fire risk assessments refreshed and will be updated in 2022. Quarterly review meetings held with Chief Executive.

