

ANNUAL GOVERNANCE ACTION PLAN 2022/2023

Notes and key

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

Green	On target
Amber	Off target but action being taken to ensure delivery (where this results in a reviewed target date, this is made clear in the table)
Red	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 2021/22 which are coordinated and monitored by the Local Management Team.

Key to officers

Responsible Officer (Job Title)	Responsible Officer (Name)	Accountable Officer (Job Title)	Accountable Officer (Name)
Business Manager – Business Continuity, Governance and Risk	Cheryl Sloan	Director of Governance and Development (Monitoring Officer)	Angela Claridge
Business Manager – Finance	Debra Goodall	Chief Executive	Rob Weaver
Senior Procurement Business Partner	Ciaran O'Kane	Deputy Chief Executive and Section 151 Officer	David Stanley
Business Manager – Democratic Services	Andrew Brown		

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	Key Area of Focus	Actions	Responsible Officer	Accountable Officer	Completion due by	Progress
1. GREEN	Raising awareness of the contract procedure rules	<ul style="list-style-type: none"> New Contract and Procurement Strategy to be approved and published to all officers, linking to the Contract Procedure Rules Planned audit of contract and procurement by SWAP will cover officer awareness of the contract procedure rules 	Publica Senior Procurement Business Partner	S.151 Officer	November 2022	<p>September 2022 Contract and Procurement Strategy to be presented to Cabinet for approval in the Autumn.</p> <p>April 2023 Update Audit Committee endorsed the Contract and Procurement Strategy in April 2022. This will be considered by Cabinet in June 2023</p>
2. GREEN	Member development	<p>A training programme for Members to be developed</p> <ul style="list-style-type: none"> A training programme is to be developed in conjunction with West Oxfordshire and the Forest of Dean District Councils. 	Publica Business Manager for Democratic Services	Monitoring Officer		<p>April 2023 Update Training Programme for Members has been developed and discussed at Council as part of Peer Review Action Plan. Members Development Steering Group (Cllrs Cunningham, Ind & Spivey) supported by officers in place. Training programme to be delivered from May 2023</p>

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3. GREEN	Budget management	<ul style="list-style-type: none"> Review of approvers on 'Business World' to ensure only the approved budget holder (or line manager) is able to approve spending. 	Publica Business Manager for Finance	Section 151 Officer		<p>Included as part of a bigger review on Business World</p> <p>April 2023 Update C/F to 2023/24 s151 Officer will review appropriateness of the current controls.</p>
4. GREEN	Risk management training	<ul style="list-style-type: none"> Training package to be finalised and rolled out. Full training package and other material covering the risk and opportunity guidance to be published on the Publica portal. Planned audit of risk and opportunity management by SWAP will cover officer awareness of guidance. 	Publica Strategic Support Officer - Risk and Compliance SWAP Audit	S.151 Officer S.151 Officer	October 2022 October 2022	<p>Following the appointment of the new Learning and Development Manager work on developing a training package is now underway.</p> <p>April 2023 Update C/F to 2023/24 There is a Google classroom on risk management. This will be reviewed and updated in-line with any change we make to the Risk management process</p>
5. GREEN	Compliance with audit recommendations	<ul style="list-style-type: none"> Improved reporting of outstanding audit recommendations to Local Management Team, Audit Committee and Publica's Audit Risk and Compliance Committee (ARAC). 	Publica Executive Director/ SWAP Audit	Chief Executive	December 2022	<p>Outstanding recommendations are a regular feature on the local management team agenda.</p> <p>April 2023 Update Standing item on LMT Agenda with outstanding actions reviewed by SWAP Audit and s151 on a monthly basis</p>

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6. GREEN	Business Continuity Plans development and testing	<ul style="list-style-type: none"> ● Completion of Business Impact Analysis ● Revised strategic and tactical plans to be developed ● Review of all operational plans prior to a complete desktop exercise ● New programme and plans to be approved 	Publica Business Manager for Corporate Responsibility	Chief Executive	October 2022	<p>Business Impact Analysis is almost complete and revised plans are being developed.</p> <p>Operational plans are being updated.</p> <p>Testing of the plans is scheduled for 3 October 2022</p> <p>SWAP is currently undertaking a Business Continuity Audit.</p> <p>April 2023 Update C/F to 2023/24</p> <p>A BCP desktop exercise was carried out in October 2022 and lesson learnt have been implemented.</p> <p>BCPs have been updated in March 2023 and now include power outage.</p> <p>Work is being undertaken with GCC to identify the key BCP risks and to test / challenge these. This is planned for circa Sept 2023.</p>
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ACTIONS BROUGHT FORWARD FROM 2021/2022

	Key Area of Focus	Actions	Responsible Officer	Accountable Officer	Completion due by	Progress
I. A M B E R	Procurement and contract management.	Ensure all contract conditions are being monitored and fulfilled.	Publica Senior Business Manager for Procurement	Chief Executive	March 2002	<p>A training plan is currently being developed internally.</p> <p>April 2023 Update Mandatory Commissioning and Procurement Training has been rolled out to service areas. This will be refreshed once the Procurement and Contract Management Strategy has been approved by Cabinet in Q1 2023/24. It should be noted that Publica provided Procurement and Contract Management training to specific Business areas such as Planning in February this year</p>
2. C L O S E	Constitution and officer schemes of delegation.	A training programme for Members to be developed.	Monitoring Officer	Monitoring Officer	C/F TO 2022/2023	<p>Outstanding - training programme being developed in conjunction with WODC & FoDDC.</p> <p>This has been closed as this is now item 2 in the 2022/23 action plan</p>

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3. A M B E R	Operational Risks.	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.	Publica Business Manager for Corporate Responsibility	Chief Executive	C/F TO 2022/2023	<p>Although a new policy and guidance has been put in place, there is still a need to improve the processes of escalating and monitoring risks and opportunities. Therefore, risk and opportunity management will remain as an area of focus for improvement in the 2022/2023 AGS Action Plan.</p> <p>April 2023 Update Risk Management arrangements in relation to project and programme management for the Council and Publica have been discussed as part of the quarterly Risk Management meeting and at the newly established Local Project Board. The s151 Officer is updating the Strategic Risk Register and will include reference to aligning project risk reporting update to the committee at their next meeting in July 2023.</p>
4. C L O	Budget management	Review of approvers on 'Business World' to ensure only the approved budget holder (or line manager) is able to approve spending.	Publica Business Manager for Finance	S.151 Officer	C/F TO 2022/2023	Included as part of a bigger review on Business World

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S E						This has been closed as this is now item 3 in the 2022/23 action plan
5. A M B E R	Project and programme management.	High level project risks to be escalated to Strategic/Corporate register.	Publica Strategic Support Officer - Risk and Compliance	Chief Executive	C/F TO 2022/2023	<p>Much progress has been made but there is a recognition that there is still work to be done in order to ensure that project risks are identified and escalated, that project reporting is timely, complete and the depth of underlying project information is consistent across all projects.</p> <p>April 2023 Update Risk Management arrangements for the Council and Publica have been discussed as part of the quarterly Risk Management meeting. The s151 Officer is updating the Strategic Risk Register and will update the committee at their next meeting in July 2023.</p>