

APPENDIX 1a - ACTION PLAN IN RESPONSE TO THE REPORT IN PUBLIC INTEREST OCTOBER 2020 – PROGRESS AGAINST ACTIONS SINCE Q3, REPORTED AT MARCH 2022

1. The Council has fully accepted all recommendations made by the external auditor (R1-R20)
2. The Council has added additional recommendations LBC1-4.
3. There are 9 high priority recommendations from the external auditor for the Council to urgently address:
4. Actions marked as “GPAC/SOC” recommendation came from their input following consultation carried out in Dec 2020/Jan 2021

| High Priority Actions | High Priority Actions |
|----------------------------------|--|
| R1a Children’s Social Care | R12 Revolving Investment Fund |
| R1b Adult Social Care | R14 Treasury Management |
| R2 Adequacy of Council Reserves | R18 Ongoing investment in Brick by Brick |
| R3 Use of Transformation Funding | R20 Governance of subsidiaries |
| R9 Budget Challenge/Rigour | |

A note has been made against actions that do not represent “one-off” measures but instead represent actions, principles and values that should be continually delivered or established as repeating tasks. These actions will be marked as Business as Usual (BAU) in the “Status/Updated Deadline” column.

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Overall accountability for the action plan rests with the Chief Executive

| Recommendation 1a – HIGH PRIORITY | | | | |
|--|-------------------------------|--|--------------------------------|---|
| The Executive Director Children Families and Education needs to address the underlying causes of social care overspends in children’s social care and take effective action to manage both the demand and the resulting cost pressures. | | | | |
| Cabinet Member Accountability: Councillor Flemming, Cabinet Member for Children, Young People and Learning | | | | |
| Action | Original Deadline | Progress made to March 2022 (Quarter 4) | Status/Updated Deadline | Accountability |
| iii) The progress report will be routinely presented to the Children’s Improvement Board, Executive Leadership Team, Cabinet, General Purposes and Audit Committee and Scrutiny & Overview Committee which will bring a greater level of control and transparency (see Recommendation 5 which will also be incorporated into this process). The first report to members will be accompanied by detail outlining the statutory and non-statutory areas of service and the impact of demand management across the service. | Original Deadline: March 2021 | The Corporate Finance, Performance and Risk report will provide an update on improvement actions across the Council including Children’s. (1a-ii) Training will be offered to members on the nature of statutory and non-statutory service (See LBC3-i) Updates have been provided to GPAC on 25th November 2021, Scrutiny on 18th January 2022, Childrens Continuous Improvement Board on 19th January 2022 and the Corporate Director updates CMT as part of the regular weekly updates. | In-progress | Interim Executive Director, Children Families and Education |
| v) Data set used to inform progress report to be collated, updated and shared with GPAC to allow members to monitor progress on managing demand within social care. | | Dataset developed and being progressed further. The Corporate Finance, Performance and Risk report draws upon this data and provides GPAC with the relevant information per this action. | In-progress | Interim Corporate Director, Children Families and Education |

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| Recommendation 1b – HIGH PRIORITY | | | | |
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| The Executive Director Health, Wellbeing and Adults needs to address the underlying causes of social care overspends in adults social care and take effective action to manage both the demand and the resulting cost pressures. | | | | |
| Cabinet Member Accountability: Councillor Campbell, Cabinet Member for Families, Health and Social Care | | | | |
| Action | Original Deadline | Progress made to March 2022 (Quarter 4) | Status/Updated Deadline | Accountability |
| vi) Progress will be governed by reporting to the Executive Leadership Team, Cabinet, General Purposes and Audit Committee and Scrutiny & Overview Committee which will bring a greater level of control and transparency. The first report to members will be accompanied by detail outlining the statutory and non-statutory areas of service and the impact of demand management across the service. | Original Deadline: May 2021 | <p>The Corporate Finance, Performance and Risk report will provide an update on improvement actions across the Council including HWA's (1b-v).</p> <p>Training will be offered to members on the nature of statutory and non-statutory service (See LBC3 – i).</p> <p>Budget and demand papers have been to Health and Social Care Scrutiny Sub-Committee:- Budget proposals 21/22 (Jan 21); Autism Strategy (Mar 21); Overview of 21/22 Adults Budget (May 21); Overview of ASC 21/22 Finance Performance (June 21); Overview of the Transitions Service (Sep 21); ASC budget and savings briefing (Nov 21); and, ASC Budget Deep Dive (Jan 22). The last report specifically focussed on (1) impact of reviews; (2) managing demand; and (3) the ASCH Strategy, which the committee gave broad support to, and noted its role in tracking and requiring progress updates moving forward. The ASCH Strategy was approved at Cabinet on 7th February 2022.</p> | Substantially complete | Executive Director Adult Social Care |

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| | | <p>To date, there have been no requests to take anything to GPAC, asides from the CareCubed report (placements negotiations tool), which will be presented on 16 February GPAC.</p> <p>S.151 officer commented on the significant progress made and has requested ASC&H take progress to GPAC to allow this task to be marked as complete.</p> | | |
| <p>ix) Data set used to inform progress report to be collated, updated and shared with GPAC to allow members to monitor progress on managing demand within social care</p> | | <p>A finance and performance work-stream has been established and meets fortnightly. The key objectives for this work-stream are to ensure dashboards are developed to enable the senior management team to track activity against the benchmarking forecasts set out in the adults improvement plan; and against the move towards both London (younger adults) and England (older adults) averages.</p> <p>Bettergov have been commissioned to help finalise dashboard and benchmarking modelling. 2 dashboards are to be utilised one focused on activity which is complete and another on finances which is in development.</p> <p>The MTFs tracker is currently updated weekly.</p> <p>The Corporate Finance, Performance and Risk report draws upon this data and provides GPAC with the relevant information per this action.</p> | <p align="center">Substantially complete</p> | <p>Executive Director Adult Social Care</p> |

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| | | To date, there have been no adults only Finance, Performance and Risk requests to take anything to GPAC, Directorate understanding is that GPAC sets its own agenda and invites reporting; and that the Corporate KPIs report that ASCH contributes to, is what has been taken to GPAC. The CareCubed report (placements negotiations tool), will be presented on 16 February GPAC following a request in December 2021. | | |
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| Recommendation 3 – HIGH PRIORITY | | | | |
| The Chief Executive should oversee a review of the outcomes achieved from the use of transformation funding to demonstrate that the funding has been applied in accordance with the aim of the scheme. | | | | |
| Cabinet Member Accountability: Councillor King, Cabinet Member for Croydon Renewal | | | | |
| Action | Original Deadline | Progress made to March 2022 (Quarter 4) | Status/Updated Deadline | Accountability |
| i) A review of all schemes previously funded from transformation capital receipts be undertaken and a report produced that assesses whether the funding has been applied in accordance with the scheme. | Original Deadline: January 2021 | This work is completed following discussions with the external auditor. Grant Thorntons external audit update report which refers to transformation monies in 19/20, went to GPAC in October 2021. An update will be made to GPAC as part of the report on the 2019/20 accounts. | In-progress | Interim Director of Finance (Deputy S151) |
| ii) Training to be delivered to relevant members on transformation funding to raise understanding. | | Training on transformation funding is covered in the overall training referenced in recommendation 2(iii) The Medium Term Financial Strategy (MTFS) reporting / February 22 included a section on | In-progress Q4 | Interim Director of Finance (Deputy S151) |

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| | | <p>transformation funding to ensure members have a full understanding.</p> <p>Informal briefings have been held with members.</p> <p>There will be training in May for new members.</p> | | |
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| <p>Recommendation 4 The s151 Officer should set out the strategy for applying capital receipts for transformation annually as part of the budget setting process.</p> | | | | |
| <p>Cabinet Member Accountability: Councillor King, Cabinet Member for Croydon Renewal</p> | | | | |
| Action | Original Deadline | Progress made to March 2022 (Quarter 4) | Status/Updated Deadline | Accountability |
| <p>iii) There will be an annual report to the Scrutiny & Overview Committee and GPAC on the use of transformation funding and the delivery of schemes. A corporate strategy needs to be developed to assess future transformation projects prior to funding. This should include a requirement to identify the intended outcomes, risk exposure, ongoing affordability, how success will be measured, how progress will be tracked, and any interdependencies with other projects and any wider benefits.</p> | <p>December 2021 updated deadline June 2022</p> | <p>A report was taken to Council in July 21 detailing a list of transformation projects with intended savings to the Council. The July 2021 Council paper indicated that the Council's capital receipts may be used to fund the Transformation schemes, as allowed under the Flexible Use of Capital Receipts legislation.</p> <p>Based on the capital receipts the Council will receive in 21/22 further bids for transformation funding is being considered and information gathered to test the need for this funding to deliver further savings. Capital Direction information is going in Budget report which is being taking to Scrutiny between despatch to Cabinet and the actual meeting.</p> | <p>Complete Q4</p> | <p>Interim Corporate Director of Resources (Section 151)</p> |

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| | | <p>An established process is now in place for transformation funding to be considered, approved and reviewed. The finance team will continue to provide annual reports in this basis.</p> <p>The Transformation Funding proposals for 2022/23 will be a section in the MTFS report that will go to GPAC on the 16th Feb. [check]</p> <p>Transformation funding used in 2021/22 will be part of the closure of accounts report in the summer.</p> <p>Report will be done on an annual basis with the first one due in June 2022.</p> <p>Report needs to be taken back to Scrutiny and GPAC in July 2022.</p> | | |
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Recommendation 5

The General Purposes and Audit Committee should receive reports on the actions being taken to address the Dedicated Schools Grant deficit and challenge whether sufficient progress is being made.

Cabinet Member Accountability: Councillor Flemming, Cabinet Member for Children, Young People and Learning

| Action | Original Deadline | Progress made to March 2022 (Quarter 4) | Status/Updated Deadline | Accountability |
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| iv) Implement the 'New Approach to Special Educational Needs delivery' strategy working with schools to ensure that more of our Special Educational Needs pupils are educated in mainstream provision to include: | <p>Early adopter Locality areas from September 2020</p> <p>Ongoing discussions with current provider (Croydon College) for 2020/21 academic year</p> | <p>Project widened to include further two locality areas.</p> <p>Model being incorporated into SEND Governance Model</p> <p>Further modelling on this being a borough wide model is and will always be in progress.</p> | In-progress | Director of Education |

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| <ul style="list-style-type: none"> Developing more capacity within the post-16 provision Opening of new Special Educational Needs free schools | <p>Opened September 2020 in temporary location and from September 2021 in substantive location</p> | | | |
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Recommendation 6

The Executive Director Children, Families and Education needs to review the services provided to UASC and to identify options to meet their needs within the grant funding provided by the Home Office.

Cabinet Member Accountability: Councillor Flemming, Cabinet Member for Children, Young People and Learning

| Action | Original Deadline | Progress made to March 2022 (Quarter 4) | Status/Updated Deadline | Accountability |
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| <p>ii) Negotiate with the Home Office and Department for Education to secure the same financial support provided to other port of entry authorities such as Kent and Portsmouth to cover the exceptional overhead costs caused by the volume of unaccompanied asylum seeking children received in the Borough.</p> <ul style="list-style-type: none"> Full cost recovery for exceptional overheads provided by Croydon such as age assessments, the social care duty service at Lunar House and legal fees. Due to volumes in the Borough from its port of entry position, these cannot be absorbed within normal overhead cost as per all other local authorities. Increased funding for children cared for over and above the voluntary national | <p>Initial meeting had in November 2020</p> | <p>Confirmation of grant funding of £2.35 million received from the Home Office and DfE at the end of August for the current financial year in recognition of the exceptional additional costs to Croydon.</p> <p>Further representations planned to address the projected shortfall in 2022/23 and 2023/24.</p> <p>A report went to cabinet in June 2021 and a further report is going to cabinet on 21 February 2022.</p> <p>This now sits inside normal service planning as part of BAU.</p> | <p>Complete Q4</p> | <p>Interim Corporate Director, Children Families and Education</p> |

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| rate to match the funding of Croydon's children in care. | | | | |
| Recommendation 7 | | | | |
| The Executive Director Children, Families and Education needs to identify the capacity threshold for the numbers of UASC that it has the capacity to deliver safe UASC services to. | | | | |
| Member Accountability: Councillor Flemming, Cabinet Member for Children, Young People and Learning | | | | |
| Action | Original Deadline | Progress made to March 2022 (Quarter 4) | Status/Updated Deadline | Accountability |
| ii) Present options for the Council to deliver safe services within the capacity threshold to the Children's Improvement Board, Cabinet and General Purposes and Audit Committee and Scrutiny & Overview Committee to increase levels of control and improve transparency. | Original Deadline: February 2021 | A Cabinet paper on the Council's approach to caring for UASC will be presented on June 7 th 2021. More substantive comment required from officer. | Substantially complete | Interim Corporate Director, Children Families and Education |
| Recommendation 10 | | | | |
| The General Purposes and Audit Committee must challenge officers on the progress in implementing the Financial Consultant's recommendations to improve the budget setting, monitoring and reporting process and actions to address the Head of Internal Audit's concerns on internal controls. | | | | |
| Member Accountability: Councillor Karen Jewitt, Chair of General Purposes and Audit Committee | | | | |
| Action | Original Deadline | Progress made to March 2022 (Quarter 4) | Status/Updated Deadline | Accountability |
| i) Delivery of the Financial Consultant's recommendations and the Head of Internal Audit's concerns will be reported to the General Purposes and Audit Committee and to the Improvement Board as part of the Croydon Renewal Plan. | October 2020 Actions should be embedded into regular cycle by March 22 | As Reported to General Purposes and Audit Committee (16 th Sep 2021), 48 of the recommendations have been embedded into business as usual or completed as required one-off tasks. This includes all the priority 1 to 3 tasks 27 tasks remain to be fully completed or embedded and are designated as amber risk as they remain to be completed | In-progress Q4 | Interim Corporate Director of Resources (Section 151) |

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| | | <p>These remaining tasks largely relate to activities that take place once a year as part of budget setting or year-end work and are thus pending.</p> <p>There will be an update to GPAC in April [incl. date]</p> | | |
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Recommendation 11
 The s151 officer needs to revisit the Growth Zone assumptions following the pandemic and make recommendations to Cabinet and Council for the continued investment in the scheme.

Cabinet Member Accountability: Councillor King, Cabinet Member for Croydon Renewal

| Action | Original Deadline | Progress made to March 2022 (Quarter 4) | Status/Updated Deadline | Accountability |
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| iv) The Council needs a mechanism in place to review projects to use the learning to inform any future work. This should be extended across all areas of the Council, with learning retained centrally as a corporate resources. | March 2022 | <p>The Programme Management Framework has been developed and published on the intranet and shared with the Community of Practice. Further work is needed to embed the process across the organisation.</p> <p>Internal Audit have flagged the process put in place as not fully embedded.</p> | In-progress Q4 | Director of Policy, Programmes and Performance |

Recommendation 12 – HIGH PRIORITY
 The s151 officer should review the financial rationale and associated risks and make recommendations to Cabinet and Council on whether the Revolving Investment Fund should continue.

Cabinet Member Accountability: Councillor King, Cabinet Member for Croydon Renewal

| Action | Original Deadline | Progress made to March 2022 (Quarter 4) | Status/Updated Deadline | Accountability |
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| ii) Recommendations to be presented alongside budget review in Feb 2021 to Cabinet, General Purposes and Audit Committee and Scrutiny and Overview | February 2021 | <p>As requested, budget position and proposals / risks will be presented to GPAC.</p> <p>Internal Audit have flagged the process put in place as not fully embedded. Status has been moved from complete to in-progress.</p> <p>Whilst reports have not been provided to all the committees listed, the fund is closed and therefore this action is considered to be complete.</p> <p>A report will be submitted to Cabinet in May.</p> | Complete Q4 | Interim Director of Finance (Deputy S.151) |
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Recommendation 13

The s151 officer should review the purchase of Croydon Park Hotel to identify lessons learned to strengthen future due diligence arrangements.

Cabinet Member Accountability: Councillor King, Cabinet Member for Croydon Renewal

| Action | Original Deadline | Progress made to March 2022 (Quarter 4) | Status/Updated Deadline | Accountability |
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| ii) Recommendations, including lessons learned, will inform changes required to governance arrangements and training/development that might be required. These recommendations to be presented alongside budget review in February 2021 to Cabinet, General Purposes and Audit Committee and Scrutiny and Overview. | January 2021 | <p>A paper is being presented to the Cabinet Member for Croydon Renewal and the Cabinet Member lead for Resources on 21 December 2021. The objective is that this paper is progressed to General Purposes and Audit Committee at the earliest opportunity. The focus of the paper is:</p> <ul style="list-style-type: none"> Review of lessons learned from the acquisition of Croydon Park Hotel with a view to strengthen due diligence and governance arrangements going forward. This has been reviewed by | In-progress Q4 | Interim Director of Commercial Investment |

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| | | <p>IAP, with useful commentary and provided to Corp Dir Resources & Deputy s151 for comments, which area awaited. This draft is with Cabinet Member Croydon Renewal & Cabinet Member for resources whom are meeting on this 14/02 in order that it can then move to GPAC to complete the process, as Part B due to commercial sensitivities.</p> <ul style="list-style-type: none"> • Property Investment Performance - in particular focussing on the performance of Colonades, Vulcan Way & Imperial Way, as well as reflection on why L.B. Croydon investment performance might differ from private sector investment performance. This will include matters such as the imposition on our operators of London Living Wage, selection of occupiers aligned to corporate objectives and administration. • Update on emerging Asset Strategy, which shall update and continue the work from the Interim Asset Disposal Strategy (Feb 2021). • Commercial Performance / Lessons learnt from Croydon Park Hotel. | | |
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| <p>iii) Review and re-write the asset investment strategy that was approved by Cabinet in October 2018 incorporating advice from each of the Strategic Reviews. The review will explicitly consider best practice from the sector and lessons learned from other local authorities, the external auditor and the National Audit Office on effective investment practice.</p> | <p>March 2021 Updated deadline March 2022</p> | <p>A consultant has been appointed and progress is being made. However there will be an 8 week delay in taking the strategy to Cabinet. The strategy is now scheduled to go to March 22 Cabinet.</p> <p>An external consultant has been appointed to produce the asset investment strategy which remains in progress and in line with the revised timetable.</p> | <p>In-progress Q4</p> | <p>Interim Director of Commercial Investment</p> |
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Recommendation 16
The s151 officer should revisit the Minimum Revenue Provision policy to demonstrate that a prudent approach is being taken.

Cabinet Member Accountability: Councillor King Cabinet Member for Croydon Renewal

| Action | Original Deadline | Progress made to March 2022 (Quarter 4) | Status/Updated Deadline | Accountability |
|---|----------------------|--|-------------------------|---|
| <p>i) Link Asset Management has been commissioned to carry out a review of the Minimum Revenue Position policy. The report with recommendations will be discussed with General Purposes and Audit Committee and then on to Cabinet.</p> | <p>December 2020</p> | <p>Minimum Revenue Provision being re-calculated and forecast based on capital proposals and likely capital receipts and is being determined in accordance with regulations pertaining to MRP and policy.</p> <p>Work in progress (MRP policy) – Update to Cabinet is scheduled for February 22.</p> <p>This is covered in the MTFs and Treasury Strategy that are being submitted to Cabinet in February and then full Council.</p> | <p>Complete Q4</p> | <p>Interim Director of Finance (Deputy S.151)</p> |

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Recommendation 17
The Cabinet and Council should reconsider the financial business case for continuing to invest in Brick by Brick before agreeing any further borrowing.

Cabinet Member Accountability: Councillor Hamida Ali, Leader of the Council

| Action | Original Deadline | Progress made to March 2022 (Quarter 4) | Status/Updated Deadline | Accountability |
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| i) PwC has been commissioned to undertake a strategic review of Brick by Brick with completion expected in November 2020. The report with recommendations regarding the financial business case will be reviewed by the Scrutiny and Overview Committee prior to being presented to Cabinet. | December 2020 | The decision to wind the company down but complete key sites between now and 2023/24. The PwC report was taken to Scrutiny...xx | Complete Q4 | Interim Director of Commercial Investment |
| | | | | |

Recommendation 19
The s151 officer and monitoring officer should monitor compliance with loan covenants with Brick by Brick and report any breaches to Members.

Cabinet Member Accountability: Councillor King Cabinet Member for Croydon Renewal

| Action | Original Deadline | Progress made to March 2022 (Quarter 4) | Status/Updated Deadline | Accountability |
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| i) Loan covenants are within scope of the PwC strategic review and will be considered as part of the overall recommendations. A review of the existing loan covenants and their governance is to be undertaken. Learning from this review, a new system of control for all loan agreements entered into by the Council will be presented to Members and this will form part of the new | Original Deadline: January 2021 | Loan agreements to be redrafted to provide a comprehensive single agreement The February Cabinet report agreed that detail of the revised loan scheme be delegated to the Chief Executive after consultation with the leader and appropriate lead members. Taken to cabinet in November. | Complete Q4 | Interim Corporate Director of Resources (Section 151) Interim Director of Finance (Deputy S151) |

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| <p>Corporate Finance, Performance and Risk reporting system.</p> <p>The review and the proposed new system for loan covenants will be presented to GPAC & Scrutiny and Overview Committee prior to being presented to Cabinet for approval.</p> | | <p>Presented to GPAC & Scrutiny and Overview Committee in xxx</p> | | |
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| <p>Recommendation 20 – HIGH PRIORITY</p> | | | | |
| <p>The Cabinet and Council should review its arrangements to govern its interest in subsidiaries, how the subsidiaries are linked, and the long-term impact of the subsidiaries on the Council’s financial position and how the Council’s and taxpayers’ interest is safeguarded.</p> | | | | |
| <p>Cabinet Member Accountability: Councillor Young, Cabinet Member for Resources and Financial Governance</p> | | | | |
| Action | Original Deadline | Progress made to March 2022 (Quarter 4) | Status/Updated Deadline | Accountability |
| <p>v) Essential mandatory training will be undertaken on an annual basis and the retention of the director role for each Councillor and Council official will rely on completion of the recommended training.</p> | <p>March 2021</p> | <p>Company Director training with the Council’s external legal partners was delivered on 1 February 2022.</p> <p>Responsibility to continue as BAU.</p> <p>The first CCSMP report is expected to be presented to Cabinet in March 2022.</p> | <p>In-progress Q4</p> | <p>Interim Corporate Director of Resources (Section 151)</p> |
| <p>vi) The impact of these changes will need to be reflected in the Council’s Constitution and relevant protocols.</p> | <p>March 2021</p> | <p>Changes to the constitution will be considered as part of the wider changes to be implemented for the constitution.</p> <p>CCSMP will liaise with the relevant working group dealing with the Council’s constitution changes.</p> <p>The first CCSMP report is expected to be presented to Cabinet in March 2022.</p> | <p>In-progress Q4</p> | <p>Interim Corporate Director of Resources (Section 151)</p> |

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| | | Get update from Heather Wills | | |
| vii) Support for the effective governance of the Council's subsidiaries and retaining a corporate overview of activity of individual companies and the whole group of companies is to be developed. | March 2021 | <p>Responsibility to continue as BAU.</p> <p>The first CCSMP report is expected to be presented to Cabinet in March 2022.</p> <p>CCSMP will meet monthly to retain overview over subsidiaries.</p> <p>These recommendations were addressed via the establishment of a working group to address the recommendations in the PwC review of Companies. This review focused on the following areas:</p> <ul style="list-style-type: none"> • BxB • AIF • RIF • Growth Zone <p>The first order of business for the group was a decision to expand the remit to all council companies.</p> <p>This group presented a report to Cabinet in September last year, establishing themselves as an internal control board (Croydon Companies Supervision and Monitoring Panel – CCSMP).</p> <p>CCSMP is chaired by the s151 and meet monthly. The Panel provides formal updates to both Cabinet & GPAC/Scrutiny. I have attached the actions and minutes from the</p> | In-progress Q4 | Interim Corporate Director of Resources (Section 151) |

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| | | last meeting (the next meeting is on 14 th February 2022). | | |
| viii) Raise awareness of the timing of the Annual General Meetings of subsidiaries amongst Members. | GPAC/SOC Recommendation | <p>Responsibility to continue as BAU.</p> <p>The first CCSMP report is expected to be presented to Cabinet in March 2022.</p> <p>These recommendations were addressed via the establishment of a working group to address the recommendations in the PwC review of Companies. This review focused on the following areas:</p> <ul style="list-style-type: none"> • BxB • AIF • RIF • Growth Zone <p>The first order of business for the group was a decision to expand the remit to all council companies.</p> <p>This group presented a report to Cabinet in September last year, establishing themselves as an internal control board (Croydon Companies Supervision and Monitoring Panel – CCSMP).</p> <p>CCSMP is chaired by the s151 and meet monthly. The Panel provides formal updates to both Cabinet & GPAC/Scrutiny. I have attached the actions and minutes from the last meeting (the next meeting is on 14th February 2022).</p> | In-progress Q4 | Interim Corporate Director of Resources (Section 151) |

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| <p>ix) Cost effective mechanism to publish Board membership of Council subsidiaries to be investigated</p> | <p>GPAC/SOC Recommendation</p> | <p>Responsibility to continue as BAU.</p> <p>The first CCSMP report is expected to be presented to Cabinet in March 2022.</p> <p>These recommendations were addressed via the establishment of a working group to address the recommendations in the PwC review of Companies. This review focused on the following areas:</p> <ul style="list-style-type: none"> • BxB • AIF • RIF • Growth Zone <p>The first order of business for the group was a decision to expand the remit to all council companies.</p> <p>This group presented a report to Cabinet in September last year, establishing themselves as an internal control board (Croydon Companies Supervision and Monitoring Panel – CCSMP).</p> <p>CCSMP is chaired by the s151 and meet monthly. The Panel provides formal updates to both Cabinet & GPAC/Scrutiny. I have attached the actions and minutes from the last meeting (the next meeting is on 14th February 2022).</p> | <p>In-progress Q4</p> | <p>Interim Corporate Director of Resources (Section 151)</p> |
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APPENDIX 1a - ACTION PLAN IN RESPONSE TO THE REPORT IN PUBLIC INTEREST OCTOBER 2020 – PROGRESS AGAINST ACTIONS SINCE Q3, REPORTED AT MARCH 2022

| LBC Recommendation 1 | | | | |
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| Given the challenges ahead there will need to be improvement of the Council's approach to risk management to enable a satisfactory turnaround of the financial position. | | | | |
| Cabinet Member Accountability: Councillor King Cabinet Member for Croydon Renewal | | | | |
| Action | Original Deadline | Progress made to March 2022 (Quarter 4) | Status/Updated Deadline | Accountability |
| i) An externally led review of the Council's appetite for risk needs to be undertaken with Members and Officers to ensure that the council's financial capacity for managing risk is fully understood. | January 2021 | <p>The Council has undertaken benchmarking in relation to ear-marked and General Fund reserves and our general reserves compare favourably to outer London Boroughs.</p> <p>An external review will be undertaken at a future date once we've fully completed internal reviews.</p> <p>Risk factors are being incorporated into monthly monitoring reports and throughout budget setting process.</p> <p>Level of risk and appetite is being assessed and is being incorporated into the strategy of rebuilding general and earmarked reserves accordingly.</p> | In-progress | Interim Director of Finance (Deputy Section 151) |
| iii) Risk considerations to be made at the outset of all new decisions will ensure the Council has capacity, capability and financial resources needed to deliver. The assessment of risk is on the individual decision and its impact on the whole of the Council. | November 2020 | <p>Corporate Risk register has been further developed with monthly review of all corporately rated red risks/financial risks taking place at CMT to ensure top level leadership.</p> <p>All new projects will take into account level of all risks and appetite.</p> <p>All financial risks associated with budget changes are scrutinised via Star Chamber</p> | Complete Q4 | Interim Director of Finance (Deputy Section 151) |

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| | | <p>budget setting process. Financial and other risks are outlined in Cabinet reports.</p> <p>This now sits as part as standard service planning in BAU.</p> | | |
| iv) Develop training for Members and Officers to understand effective risk management. | January 2021 (updated to May 2021) | <p>Further LGA lead training for Members of GPAC committee took place on 22 November 2021.</p> <p>The Member training and development plan has been prepared but there are significant risks in ensuring its ownership and delivery.</p> <p>One to one risk management refreshers and access to the JCAD risk management system are being provided to every Director and Corporate Director.</p> | Complete Q4 | Interim Corporate Director of Resources (Section 151) |
| v) The Council to review the terms of reference in regards the General Purposes and Audit Committee and Scrutiny & Overview Committee with regards to risk management to ensure there are no gaps in governance, to remove silo thinking and that both committees have a clear understanding of their responsibilities. This will include new guidance and joint training | March 2021 | <p>Terms of reference of General Purposes and Audit Committee will be reviewed as part of constitutional changes brought to GPAC prior to full Council in March: a separate Audit Committee is proposed with terms of reference based on the CIPFA model.</p> <p>The Member training and development plan has been prepared on the respective roles of Audit and Scrutiny and will be delivered in the member induction programme from May 2022 onwards (including joint training) but there are significant risks in ensuring its ownership and delivery.</p> | Complete Q4 | Interim Corporate Director of Resources (Section 151) |

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| | | Review of terms of reference will be complete in March, training/ guidance to follow in May/ June This now forms part of the BAU. | | |
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| LBC Recommendation 2 Clarifying member and officer roles to support good governance arrangements | | | | |
| Cabinet Member Accountability: Councillor Young Cabinet Member for Resources and Financial Governance | | | | |
| Action | Original Deadline | Progress made to March 2022 (Quarter 4) | Status/Updated Deadline | Accountability |
| ii) The Member/Officer protocol is to be reviewed to ensure that it gives clarity on the respective roles and responsibilities for both Members and officers. The protocol should also explicitly place the seven principles of public life, known as the Nolan principles, at its heart. https://www.gov.uk/government/publications/the-7-principles-of-public-life . Training will be held for all Councillors and senior officers to develop good practice. | March 2021 | A Member / Officer Task & Finish Group has prepared a revised protocol for consideration by Ethics Committee on 9 th February, prior to the preparation of proposals for constitution changes by GPAC and full Council in March. The Protocol references the Nolan principles and builds on the member and officer codes of conduct, which have the Nolan principles at their heart. The Member and officer training and development plan has been prepared and will be provided to members as part of the member induction from May 2022 onwards but there are significant risks in ensuring its ownership and delivery. As part of the senior restructure, job descriptions for CMT and Directors have directly incorporated the Nolan principles. | Complete Q4 | Interim Corporate Director of Resources (Section 151) |

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| | | <p>This now forms part of the BAU.</p> <p>Review of protocol will be complete after Ethics Committee 9th February. Training to follow in March - June 2022.</p> | | |
| iv) Development sessions for Members and officers to better understand each other's respective roles. | March 2021 | <p>The Member and officer training and development plan has been prepared and will be provided to members as part of the member induction from May 2022 onwards but there are significant risks in ensuring its ownership and delivery.</p> <p>As part of the move to the Mayoral model of governance, staff briefings have been held and additional training is being considered.</p> <p>This now forms part of the BAU.</p> | Complete Q4 | Interim Corporate Director of Resources (Section 151) |
| v) Review the level of support and advice Scrutiny & Overview Committee and the General Purposes and Audit Committee receives from the Head of Paid Services, Section 151 Officer and Monitoring Officer to ensure that the advice is in line with their statutory responsibilities. With this include clarification on the ability and process for members to request information. | March 2021 | <p>The role of statutory chief officers attending Scrutiny and General Purposes and Audit Committee meetings has been clarified and there is now clearer water between the roles of officers and members advising those meetings.</p> <p>A training programme has been agreed by the Member Learning & Development Panel that includes additional sessions for members of both committees.</p> <p>The work programmes for both committees has also been embedded in the new corporate forward planning processes and officers are currently working with members</p> | Complete Q4 | Monitoring Officer |

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| | | <p>with the aspiration of the corporate forward plan being routinely presented to the Scrutiny Committee.</p> <p>The Access to Information Protocol was agreed by Ethics Committee in December and GPAC in January and will be presented to full Council for incorporation into the Constitution in March.</p> | | |
| vi) Review the capacity of the organisation to support the Scrutiny & Overview Committee and the General Purposes and Audit Committee so that activity is prioritised within the financial resources for these functions. | Commenced October 2020 | <p>The need for additional resources has been identified, though funding for those resources has not yet been obtained.</p> <p>Partners from the LGA are due to support the Council from January 2022 in reviewing and developing proposals to enhance the Council's decision making governance, including support to these two committees.</p> <p>Budget proposals for 2022/23 include growth of £140k for Democratic Services to help it bridge the current capacity gap. An LGA led peer review is underway to review and develop proposals to enhance the Council's decision making governance, including support to these two committees.</p> | In-progress Q4 | Monitoring Officer |
| <p>LBC Recommendation 3 Ensuring that Members are appropriately trained across all aspects of the Council's financial duties and responsibilities</p> <p>Cabinet Member Accountability: Councillor Young, Cabinet Member for Resources and Financial Governance</p> | | | | |

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| Action | Original Deadline | Progress made to March 2022 (Quarter 4) | Status/Updated Deadline | Accountability |
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| <p>i) A detailed training and development programme is being designed to enable all Members to fulfil their roles in regard to their role with sufficient rigour. The programme being developed will cover:</p> <ul style="list-style-type: none"> • Financial management to include the importance of effective budget setting, a robust Medium Term Financial Strategy and rigorous budget monitoring (Add reserves) • Understanding funding sources, eg general fund, housing revenue account and direct schools grant • The role of Audit and the external auditor • Treasury management and capital strategies and the Council’s approach to subsidiaries • Risk assessment • Commercial Investment • Mentoring • Commissioning and Procurement Process • ASC Budget • Transformation Funding • Statutory and non-statutory services | December 2020 | <p>Some training on Finance, Treasury Management and Risk was delivered in the latter part of 2020/early 2021.</p> <p>A training programme aligned with the actions in the RIPI action plan has been developed, costed and approved by Members Learning and Development Panel and Ethics Committee. Delivery commenced in October 2021.</p> <p>A member’s induction programme for May 2022 will be informed by the RIPI recommendations.</p> <p>The training offer will be refreshed annually and continually offered to members as BAU going forward.</p> <p>Member attendance at training is now recorded on the Council’s Modgov system.</p> | Complete Q4 | Head of Democratic Services & Scrutiny |
| <p>iii) Target support to be provided for Cabinet Members, Scrutiny & Overview Committee Members and General Purposes and Audit Committee Members to strengthen the approach to reviewing the emerging plans, actions and risks that are being developed</p> | December 2020 | <p>This needs to be considered in conjunction with LBC Recommendations 2(v) and 3(i).</p> <p>Training has been provided to Scrutiny during 2022/3 to support the committee to scrutinise</p> | Complete Q4 | Monitoring Officer |

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| <p>as part of the Croydon Renewal Plan, Financial recovery and progress against the Report in the Public Interest October 2020. In particular the training will include:</p> <ul style="list-style-type: none"> • The role of Scrutiny and Overview in relation to finance and General Purposes and Audit Committee • Developing an effective culture of scrutiny and key questioning skills • Maintaining a ‘big picture’ view of the financial pressures affecting the council • Assessing effectively budget and financial plans, budget monitoring, reserves approach • Challenging how resources are allocated • Scrutinising partnership arrangements • Key finance issues for Scrutiny and Overview Committee to consider | | <p>the Croydon Renewal Plan and develop an effective culture of scrutiny.</p> <p>The member induction programme for May 2022 onwards, including training for Audit and Scrutiny Committees has been presented to both the Member Learning and Development Panel and the Ethics Committee.</p> <p>The Access to Information Protocol was agreed by Ethics Committee in December and GPAC in January and will be presented to full Council for incorporation into the Constitution in March.</p> <p>Training complete in this administration, to be delivered afresh from May as part of BAU, so this is completed</p> | | |
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| <p>LBC Recommendation 4 The Council develops an improvement programme that has the necessary elements for it to function effectively and within its financial resource.</p> | | | | |
| <p>Cabinet Member Accountability: Councillor Hamida Ali, Leader of the Council</p> | | | | |
| <p>Action</p> | <p>Original Deadline</p> | <p>Progress made to March 2022 (Quarter 4)</p> | <p>Status/Updated Deadline</p> | <p>Accountability</p> |

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| <p>i) Implement new Council management arrangements that ensure:</p> <ul style="list-style-type: none"> • the delivery of high quality statutory services • finances are appropriately managed and controlled • a sound understanding of risk management is at the heart of the organisation | <p>April 2021</p> | <p>The restructure proposals approved by Full Council on 5th July 2021 went live on 2nd November. Senior recruitment drive is well underway and ongoing.</p> <p>Interim Assets Strategy in implementation stage with a number of assets targeted to be disposed by end of financial year.</p> <p>Corporate Risk register has been further developed with monthly review of all corporately rated red risks/financial risks taking place at CMT to ensure top level leadership.</p> <p>All new projects will take into account level of all risks and appetite.</p> <p>All financial risks associated with budget changes are scrutinised via Star Chamber budget setting process. Financial and other risks are outlined in Cabinet reports.</p> <p>Monthly monitoring is now embedded and is reported to DMTs, CMTs and Cabinet. Monitoring includes analysis of forecast position, risks and opportunities as well as progress in savings delivery. In addition challenge sessions chaired by the Chief Executive Officer review financial forecasts and risk on a regular cycle.</p> <p>Monthly performance report taken to Cabinet and other Committee meetings.</p> | <p>Complete Q4</p> | <p>Chief Executive Officer</p> |
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| <p>ii) Working with local residents, rebuild the trust with their local Council by focussing on effective delivery of core services, responding promptly and appropriately to queries and complaints and learning from good practice as well as failures and from each other.</p> | <p>April 2021</p> | <p>The Council is utilising feedback, gained via ad-hoc and planned engagement activities with residents to inform development of a range of solutions to better meet current and future needs. This include looking at skills gaps that exists and ways to involve residents in the training of our staff to ensure their voice is reflected in our actions.</p> <p>Sessions with residents have taken place in relation to Regina Road to open up direct communication links between officers and people impacted.</p> <p>Rebuilding trust with residents will be an ongoing process as we improve our culture and systems in order to be the Council our residents need. An update will continue to be provided against this action for the foreseeable future.</p> <p>Sits in standard service planning as part of BAU.</p> | <p align="center">Complete Q4</p> | <p>Director of Policy, Programmes and Performance</p> |
| <p>iii) Introduce a new system of internal control focussed on finance, performance and risk to manage financial expenditure, risk management, service performance and the delivery of Council priorities. This will follow a monthly cycle of Departmental Leadership Teams, Executive Leadership Team, Cabinet and Scrutiny & Overview as appropriate.</p> | <p>April 2021</p> | <p>Monthly monitoring is now embedded and is reported to DMTs, CMTs and Cabinet.</p> <p>Monitoring includes analysis of forecast position, risks and opportunities as well as progress in savings delivery.</p> <p>In addition challenge sessions chaired by the Chief Executive Officer review financial forecasts and risk on a regular cycle.</p> | <p align="center">Complete Q4</p> | <p>Interim Corporate Director of Resources (Section 151)</p> |

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| <p>iv) Building on the work done to date and listening to staff concerns about equality and diversity in the workplace, co-create a working environment that respects and values all our staff and take positive action to ensure that this is the case.</p> | <p>April 2021</p> | <p>We continue tea talk conversations and by the end of December all staff networks would have had an opportunity to challenge CMT with their top issues. We are currently responding to each of the issues that staff have asked that we attend to and formal responses, solutions are being shared with the respective networks and where appropriate all staff.</p> <p>The staff survey results will also be ready for review by the 2nd week of December and will provide some more vital information on actions we need to take as a council to create a more equitable and diverse workforce.</p> <p>Sits in standard service planning as part of BAU.</p> | <p align="center">Complete Q4</p> | <p>Interim Assistant Chief Executive</p> |
| <p>v) Create a new system of staff performance appraisal, co-created with staff and agreed with the trade unions.</p> | <p>April 2021</p> | <p>The appraisal system has been revised and updated to:</p> <ol style="list-style-type: none"> 1) Make it a more user friendly online system with updated e-learning guidance for completing appraisal 2) Make it more focussed on 1 to 1 and performance conversations throughout the year, rather than ratings. The process considers the health and wellbeing of the appraisee as well as their performance 3) Incorporate into managers appraisal a requirement that all staff be given opportunities for development 4) Include Nolan principles 5) Require all heads of service and above to complete a 360 degree feedback as part of performance appraisal. | <p align="center">In-progress Q4</p> | <p>Interim Assistant Chief Executive</p> |

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| | | Process developed and will roll out from April 2022 | | |
| vi) By working with Council staff, co-create an environment that is open to listening, free from fear, built on trust and openness and reflects the diverse borough that we serve. | Commenced with appointment of Chief Executive | <p>A provider for Culture Change Programme has been selected and appointed via competitive process. The successful provider is BBS who met with the Chief Executive and the Improvement Panel week commencing 22 November. The provider is due to facilitate a CMT Away-day on 10 December to initiate a programme of work.</p> <p>Development and implementation of the Culture Change programme will potentially take 12 months.</p> <p>Sits in standard service planning as part of BAU.</p> | Complete Q4 | Interim Assistant Chief Executive |
| vii) Agree a training programme for Council staff that includes finance for non-financial managers, Business Case Development, understanding risk, project management and the Council's own governance processes. | January 2021 | <p>Training programme to be developed based on assessment of training required. Target is to deliver training in Quarter 4, 2021/22 and/or Quarter 1, 2022/23.</p> <p>This training was set up to be delivered during this year but Finance were unable to support the timing. I therefore suggest a form of words that says – Officer training to be delivered during financial year 22/23 to reflect systems changes that have taken place and are now working.</p> | In-progress Q4 | Interim Assistant Chief Executive |
| xi) Council is to provide appropriate officer support is given to Scrutiny in order that it can fulfil its role. | GPAC/SOC Recommendation | Please note the actions in response to recommendation 2(v). | In-progress Q4 | Monitoring Officer |

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| | | <p>While it is recognised that additional resource is required, it has not as yet been possible to obtain the necessary funding.</p> <p>Budget proposals for 2022/23 include growth of £140k for Democratic Services to help it bridge the current capacity gap. An LGA led peer review is underway to review and develop proposals to enhance the Council's decision making governance, including support to these two committees.</p> | | |
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