

SIGNIFICANT GOVERNANCE ISSUES 2019/20

No.	Governance issue	Proposed Action	Timescale	Responsible Officer/Group	Current Position as at 1 July 2020
1.	Community Infrastructure Levy (CIL) – governance arrangements	Deliver key internal audit recommendations: <ul style="list-style-type: none"> • Overall governance arrangements to be formalised. • Operational processes to be agreed e.g. monitoring, reporting and reconciliation. • Greater clarity of S123 list. 	September 2019	CIL Working Group (Head of Development as lead officer)	Due to other commitments, this work has yet to commence. New date: September 2020.
2.	Ubico – financial governance	Implement financial governance improvement plan: <ul style="list-style-type: none"> • Explanation of overspend to be provided. • Final outturn figure to be reported to June Executive Committee (supported by Ubico officer representation). • Internal audit review. • Review of financial controls. 	September 2019	Head of Community/Head of Finance and Asset Management	All completed where required. Further actions identified during the year and improvements made.

Appendix 1

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3.	Serious Crime Framework – key policy review	Review the following policies: <ul style="list-style-type: none"> • Whistleblowing • Bullying and Harassment • Gifts and Hospitality • Code of Conduct • Anti-Fraud and Corruption 	March 2020 December 2020	Borough Solicitor/Head of Corporate Services/Counter Fraud Unit	<p>Staff awareness sessions were held in November and December 2019 on Whistleblowing and Serious Crime. The sessions were facilitated by the Counter Fraud Unit. An updated Whistleblowing Policy was approved by Executive Committee on 5 February 2020.</p> <p>The Anti-Fraud and Corruption policy has been reviewed and approved by Executive Committee on 16 October 2019.</p> <p>The Bullying and Harassment Policy has been reviewed by HR with textual amendments only. Training has been provided to contact officers and staff awareness drawn to the policy.</p> <p>The remaining policies were due for review and finalisation by end of March. Due to the response to COVID-19 these are now programmed in for completion by the end of the calendar year.</p>

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4.	Code of Corporate Governance	<ul style="list-style-type: none">Develop and approve a new Code of Conduct.	March 2020 March 2021	Head of Corporate Services	Due to other commitments, this work has yet to commence. New date March 2021.