

## Draft Annual Governance Statement 2020/21

### 1. Scope of responsibility

- 1.1 We are responsible for ensuring that our business is conducted in accordance with the law and proper standards, that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. We also have a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which our functions are exercised, with regard to a combination of economy, efficiency and effectiveness.
- 1.2 In discharging this, we are also responsible for putting in place proper arrangements for the governance of our affairs, facilitating the effective exercise of our functions, which includes arrangements for the management of risk.
- 1.3 We have approved and adopted a Local Code of Corporate Governance, which is consistent with the principles of the CIPFA/SOLACE Framework 'Delivering Good Governance in Local Government'. Haringey's local code of corporate governance is published on the Council's website and a copy can be obtained from the Council's Monitoring Officer. This statement explains our commitments as part of the Local Code of Corporate Governance, together with how we obtain assurance that these commitments are in place and effective; it also meets the requirements of regulation 6(1) of the Accounts and Audit Regulations 2015, in relation to the publication of an Annual Governance Statement.

### 2. The purpose of the governance framework

- 2.1 The governance framework comprises the systems and processes, and culture and values, by which we direct and control the activities of the Council. The framework also comprises the activities through which we are accountable to, engages with and leads the community. Through the framework, we monitor the achievement of our strategic objectives and consider whether those objectives have led to the delivery of appropriate and cost-effective services.
- 2.2 The system of internal control is a significant part of the governance framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives, but it can provide a reasonable assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise risks to the achievement of our approved policies, aims and objectives. The system of controls also allows for the evaluation of the likelihood of risks being realised and the impact should they be realised, ensuring that we are able to manage them efficiently, effectively and economically.

- 2.3 The governance framework has been in place for the year ended 31<sup>st</sup> March 2021 and up to the date of the approval of the annual report and accounts.
- 2.4 Like all local authorities across the country, we rapidly changed our focus in March 2020 to respond to the global COVID-19 pandemic. This involved enacting emergency planning and business continuity arrangements, protecting and supporting the most vulnerable, supporting public health measures to reduce the spread of the virus and maintaining and adapting council services to continue to serve residents and businesses in the borough. This was not just a Haringey response, we have and continue to work with partners, local and regional authorities across London and government through London emergency planning arrangements.
- 2.5 The majority of our council staff moved to working from home. A deployment and staff volunteering hub was established with approximately 1,200 staff who could be temporarily redeployed to areas of most need, along with a further 200 staff volunteers. The connected communities' helpline was set up as the 'shop front' for advice, support and information with over 6,000 people having made contact by the end of May. Alongside this, we worked with the NHS to support the c9,100 extremely vulnerable residents identified as part of the 'shielded group'. A food hub was established to help vulnerable people access food that delivered nearly 350 food parcels including hot meals daily. We also made changes to parks to ensure their continued safe use, supported schools to open for children of key workers, facilitated payments of business grants of over £54m to 2,500 businesses and much more.
- 2.6 As with any emergency, our Gold arrangements were enacted to be the primary focus for the council's emergency response, with regular Gold meetings. Alongside this, existing strategic boards were amended, and new meetings set up to ensure we had a coordinated response to managing demand, costs and new working practices. This included:
- LB Haringey COVID-19 Gold meetings – three times weekly in the beginning, moving to twice weekly;
  - Series of Gold workstreams including health and adult social care, community response and workforce;
  - Partners GOLD meeting – originally weekly, moving to fortnightly;
  - Statutory Functions Board – move to fortnightly meetings to ensure focus on statutory duties;
  - North Central London Adult Social Care Group - weekly meeting;
  - Director Adults Social Service virtual catch up (weekly);
  - Adult Social Care Covid-19 Response and Resilience Group; and
  - Finance meetings to develop tracking of costs and budget (bi-weekly).
- 2.7 We successfully enacted our business continuity plans in response to Covid-19 and were able to sustain most service by using technology to enable staff to work from home. Many services adapted their business model rapidly to move services online, or to provide support to residents remotely. Accordingly, the pressure for staff to return to the office is limited, and we continue to take a measured, phased approach to this. The facilities management team modified our office space by introducing social distancing measures across the Council's operational

estate, so that when government guidelines support this, we will be able to allow more staff to work from our offices. Particular attention has been paid to services that may need to resume a face-to-face offer, to ensure this is done safely. We produced and published a covid-19 risk assessments, which was presented at the Corporate Committee on 3 December 2020. In addition, we have carried out individual risk assessments to identify any Council staff with higher levels of vulnerability, so that we ensure that we protect the health and wellbeing of all our staff through what continues to be a period of elevated concern.

2.8 The following section highlights each of the seven governance principles set out in the CIPFA / SOLACE framework “Delivering Good Governance in Local Government” and the arrangements in place demonstrating how we meet the governance principles. Any gaps identified as part of the annual review will form an action plan agreed and monitored by the Statutory Officers with all actions to be completed by March 2021.

Documentation demonstrating compliance with the governance principles	Identified gaps in compliance, or further action required
<b>A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law</b>	
<p><b><u>Behaving with Integrity</u></b></p> <p>a) The Council’s Member Code of Conduct (Nov 2019) requires members to declare interests; applies to Members and co-opted voting members on election or appointment. Published on the internet:  <a href="http://www.haringey.gov.uk/sites/haringeygovuk/files/lbh_constitution_part_5_section_a_-_part_1_0.pdf">http://www.haringey.gov.uk/sites/haringeygovuk/files/lbh_constitution_part_5_section_a_-_part_1_0.pdf</a></p> <p>b) The offer of Induction is provided for all new Members when they are elected on expected standards of behaviour.</p> <p>c) The Officer Code of Conduct was reviewed in 2019 and a new version was published to staff in June 2019 following approval by Members. A copy of the Code is provided to all new officers on appointment and annual reminders are made of the need for employees to make a declaration of a conflict of interest or to declare any offers of gifts or hospitality which are received.</p>	

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<p>d) Haringey Values updated in 2015 (Human, Ambitious, Accountable, and Professional). The Council’s Human Resources (HR) team is running seminars for Senior Managers to attend on HR policies including Haringey values. The values are published on the internal website and internet:  <a href="https://www.haringey.gov.uk/jobs-and-training/working-haringey/haringey-values">https://www.haringey.gov.uk/jobs-and-training/working-haringey/haringey-values</a></p> <p>e) Decision-making practices for member decisions follow legal and transparency requirements. Officer decisions are also recorded and published on Modern.gov:  <a href="http://www.haringey.gov.uk/local-democracy/our-standards">http://www.haringey.gov.uk/local-democracy/our-standards</a>  <a href="https://www.haringey.gov.uk/local-democracy/how-decisions-are-made">https://www.haringey.gov.uk/local-democracy/how-decisions-are-made</a></p> <p>f) Register of interests and gifts and hospitality for members/co-optees checked on election/appointment. Minutes show declarations of interest sought, and appropriate declarations made for each meeting. <a href="http://www.haringey.gov.uk/local-democracy/our-standards/register-members-interests">http://www.haringey.gov.uk/local-democracy/our-standards/register-members-interests</a></p> <p>g) Requirement for all new staff to complete Register of Interests declaration. Senior managers are required to complete a declaration every two years; staff should complete a new form as/when circumstances change. Gifts and hospitality for members are recorded with their declarations of interests and are published on the website, see link in f above.  For officers, declaration forms are retained in Human Resources.</p> <p>h) Standard report format requires report authors to state how their proposal meets the corporate objectives and priorities. Report authors must also provide reasoning and evidence for proposals, so that the basis for decisions is clear and include statutory officer’s advice, including legal and finance advice. Training for report authors on writing clear, logical and objective reports was provided for officers in 2016/17 and standard templates are held on the internal website.</p> <p>i) Anti-fraud and corruption strategy is in place, including the Whistle blowing policy</p>	<p>Monitoring Officer presented to the Council’s Corporate Management Group and training needs assessment will be completed in 2021/22.</p>

Documentation demonstrating compliance with the governance principles	Identified gaps in compliance, or further action required
<p>(Dec 2020). The Head of Audit and Risk Management reports on actions, effectiveness and outcomes (and use of the whistle blowing policy) to Corporate Committee and provides awareness presentations to Corporate Management Group. Copies of the policies are on the internet:  <a href="https://www.haringey.gov.uk/local-democracy/performance-and-finance/fraud-and-corruption">https://www.haringey.gov.uk/local-democracy/performance-and-finance/fraud-and-corruption</a></p> <p>j) Corporate and service specific complaints policies are in place and published on the website. Level of complaints upheld at Stage 1 and 2 is monitored and reported regularly to the Council’s Corporate Management Group using Grip Indicators. More information is being published and made easily accessible to customers. Training sessions have been developed looking at examples of best practice in responses and getting it right first time.  <a href="http://www.haringey.gov.uk/contact/council-feedback/complaints-about-council">http://www.haringey.gov.uk/contact/council-feedback/complaints-about-council</a></p> <p>k) Local Code of Corporate Governance was refreshed in 2018/19 and was approved at Corporate Committee July 2019 it will also be presented at Full Council in 2021:  <a href="https://www.minutes.haringey.gov.uk/documents/s110621/App%20B%20Code%20of%20corporate%20Governance%20for%20legal%20VB%20MJ%2014.11.18%20final.pdf">https://www.minutes.haringey.gov.uk/documents/s110621/App%20B%20Code%20of%20corporate%20Governance%20for%20legal%20VB%20MJ%2014.11.18%20final.pdf</a></p> <p><b><u>Demonstrating strong commitment to ethical values</u></b></p> <p>l) The Standards Committee, along with the Council’s Monitoring Officer, establishes monitors and maintains the organisation’s ethical standards and performance, reporting to full Council as necessary. The committee deals with allegations of breaches of the Member Code and issue (or require Groups to issue) reminders/advice notes to Members where issues of conduct cause concern.  <a href="http://www.haringey.gov.uk/local-democracy/our-standards/standards-committee">http://www.haringey.gov.uk/local-democracy/our-standards/standards-committee</a></p>	

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<p>m) The Council incorporated the Social Value Act requirements into all procurement and contracts; including a standard clause referring to 'PREVENT' in all contracts, as well as safeguarding and health and safety.</p> <p>n) A major review of all the Human Resources policies &amp; procedures began in 2019/20 and is ongoing. The policies for revision undergo extensive discussion with relevant groups within the council and with trade unions before the final version is presented to Members for their approval, only when approved are policies published and details communicated to officers.</p> <p>o) The Council encourages external providers of services to act with integrity and in compliance with high ethical standards expected by the organisation in information sharing:  <a href="http://www.haringey.gov.uk/community/community-safety-and-engagement/crime-and-disorder-information-sharing-protocol">http://www.haringey.gov.uk/community/community-safety-and-engagement/crime-and-disorder-information-sharing-protocol</a>  In procurement:  <a href="http://www.haringey.gov.uk/business/selling-council/council-contracts">http://www.haringey.gov.uk/business/selling-council/council-contracts</a></p> <p><b><u>Respecting the rule of law</u></b></p> <p>p) The Chief Executive is appointed by full Council. Any disciplinary action or dismissal of the statutory officers is dealt with in line with legal requirements that take into account the need for them to fulfil their responsibilities in accordance with legislative and regulatory requirements. A Statutory Functions Board was convened in 2019/20 with planned weekly and more recently fortnightly meetings. The Board focuses on ensuring statutory compliance and is both forward and backward looking and support the organisation and Statutory Officers in fulfilling their roles.</p> <p>q) The Council optimises the powers available for the benefit of citizens, communities and other stakeholders. Decisions are taken, in accordance with relevant statutory</p>	<p>Progress on updated policies to be tracked into 2021/22.</p>

Documentation demonstrating compliance with the governance principles	Identified gaps in compliance, or further action required
<p>requirements and the Council Constitution, by full Council, Cabinet, individual Cabinet members and officers under delegated powers. The Council Constitution is reviewed updated and published on the internet:  <a href="http://www.haringey.gov.uk/local-democracy/about-council/council-constitution">http://www.haringey.gov.uk/local-democracy/about-council/council-constitution</a></p> <p>r) Breaches of law/financial regulations can be the subject of a report to full Council by the relevant statutory officer. No statutory officer reports have been required in 2020/21.</p> <p>s) Statutory officers are available at meetings of the Council/Cabinet to advise and ensure law and regulations are not breached.</p>	
<p><b>B. Ensuring openness and comprehensive stakeholder engagement</b></p>	
<p><u>Openness/ Implementing good practice in transparency</u></p> <p>a) The Council Publication Scheme sets out information available to view or download including under the requirements of the Transparency Code 2015.  <a href="http://www.haringey.gov.uk/local-democracy/publications/publication-scheme">http://www.haringey.gov.uk/local-democracy/publications/publication-scheme</a></p> <p>b) Member decisions are rarely taken in the private (Part 2) section of meetings. Member delegated decisions are also taken at meetings advertised and open to the public. The constitution allows for deputations and petitions and a call-in procedure for cabinet key decisions is in place. The local and statutory requirements are set out in the Council Constitution: <a href="http://www.haringey.gov.uk/local-democracy/about-council/council-constitution">http://www.haringey.gov.uk/local-democracy/about-council/council-constitution</a></p> <p>c) The Council carries out consultation on a regular basis with stakeholders. It has a consultation co-ordinator and a consultation charter and toolkit on its internal website. All consultations require a consultation plan, which is posted on the consultation e-plan on the internet. <a href="http://www.haringey.gov.uk/local-">http://www.haringey.gov.uk/local-</a></p>	

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<p><a href="http://www.haringey.gov.uk/local-democracy/have-your-say-haringey">democracy/have-your-say-haringey</a>. <a href="http://www.haringey.gov.uk/local-democracy/have-your-say-haringey/our-commitments-you">http://www.haringey.gov.uk/local-democracy/have-your-say-haringey/our-commitments-you</a>  <a href="https://www.haringey.gov.uk/local-democracy/policies-and-strategies/borough-plan-2019-2023-consultation">https://www.haringey.gov.uk/local-democracy/policies-and-strategies/borough-plan-2019-2023-consultation</a></p> <p>The Council publishes 'Performance Wheels' on Borough Plan priorities and outcomes on the website; feedback on our performance is encouraged through this route: <a href="https://www.haringey.gov.uk/local-democracy/policies-and-strategies/building-stronger-haringey-together">https://www.haringey.gov.uk/local-democracy/policies-and-strategies/building-stronger-haringey-together</a></p> <p><b><u>Engaging comprehensively with institutional stakeholders</u></b></p> <p>d) A partnership with the community sector was approved in December 2015 designed to forge stronger relationships with the local voluntary sector, working with the Moracle Foundation to improve the strength of the voluntary sector, enabling it to attract more funding and investment to support local communities. A voluntary and community sector pledge is included in the Borough Plan.</p> <p>e) Formal and informal partnerships allow for resources to be used more efficiently and outcomes achieved more effectively; the Borough Plan incorporates key partnership working across all its priorities, including the Local Safeguarding Children's Board (LSCB), Safeguarding Adults Board (SAB), Multi-Agency Risk Assessment Conference (MARAC) and the Community Safety Partnership (CSP). Agendas and minutes for the CSP are published on the website: <a href="http://www.minutes.haringey.gov.uk/ieListMeetings.aspx?Cid=444&amp;Year=0">http://www.minutes.haringey.gov.uk/ieListMeetings.aspx?Cid=444&amp;Year=0</a>  Examples where the Council participates in partnership include the Joint Health &amp; Wellbeing Partnership with Islington; delivering the STEM commission recommendations; working with our schools to improve outcomes for children.</p> <p>f) Resident engagement also occurs in formal consultation and engagement</p>	



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<p>processes. More information on the Community Engagement Framework is available on our website.  <a href="https://www.haringey.gov.uk/local-democracy/have-your-say-haringey/haringeys-community-engagement-framework">https://www.haringey.gov.uk/local-democracy/have-your-say-haringey/haringeys-community-engagement-framework</a></p> <p>g) The Council also uses social and print media to engage with residents and stakeholders, including the Council website, My Account, Twitter, Facebook, Haringey People and the weekly Haringey People online. The Council also has specific partnerships and stakeholder newsletters including Team Noel Park; and Northumberland Park to engage with residents.</p>	
<p><b>C. Defining outcomes in terms of sustainable economic, social, and environmental benefits; and</b>  <b>D. Determining the actions necessary to optimise the achievement of the intended outcomes</b></p>	
<p><b><u>Defining actions/outcomes and sustainable economic, social and environmental benefits</u></b></p> <p>a) The Borough Plan sets out how the Council might work with partners and with communities to improve the borough and make Haringey a more successful place, while delivering <b>around £44 million savings</b> by 2025. The plan has five core priority areas, each under-pinned by a series of ambitious targets. It considers and balances the economic, social and environmental impact of policies, plans and decisions. The Plan includes a challenging set of performance measures. Programme planning and management require focus on outcomes and benefits identification and tracking as part of project implementation. There is a clear and consistent approach to the reporting of outcomes, benefits, risks and issues across Priority Boards. The Plan is published on the website:  <a href="https://www.haringey.gov.uk/local-democracy/policies-and-strategies/borough-plan">https://www.haringey.gov.uk/local-democracy/policies-and-strategies/borough-plan</a></p>	

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<p>b) The Council publishes updates on its website to show how the Council and partners are achieving against specific targets every three months. The outcome targets specify the intended impact on service users, residents and other stakeholders.</p> <p>c) The Council has an agreed Medium-Term Financial Strategy (MTFS) and Workforce Plan. These set out how the Council will deliver the corporate plan taking into account the full cost of operations and within available resources, balancing service priorities, and ensure its workforce has the right skills to enable it to achieve the agreed outcomes. Regular reports are provided to the Cabinet:  <a href="https://www.minutes.haringey.gov.uk/ieListDocuments.aspx?CId=118&amp;MId=9468&amp;Ver=4">https://www.minutes.haringey.gov.uk/ieListDocuments.aspx?CId=118&amp;MId=9468&amp;Ver=4</a></p> <p>d) Robust planning and control cycles cover strategic and operational plans, priorities and targets. An internal governance process has been implemented to provide regular monitoring and scrutiny of the achievement of the corporate plan and resources applied. For each priority, Priority Boards have been introduced. Performance against objectives is published on the website:  <a href="http://www.haringey.gov.uk/local-democracy/performance-and-finance/council-performance">http://www.haringey.gov.uk/local-democracy/performance-and-finance/council-performance</a></p> <p>e) A five-year capital programme was approved by Full Council on 9 February 2021, which sets out the Council's longer-term investment requirements linked to policy objectives, updates are provided to Cabinet annually at the February meeting:  <a href="https://www.minutes.haringey.gov.uk/ieListDocuments.aspx?CId=118&amp;MId=9468&amp;Ver=4">https://www.minutes.haringey.gov.uk/ieListDocuments.aspx?CId=118&amp;MId=9468&amp;Ver=4</a></p>	
<p><b><u>Determining actions and optimising achievement of intended outcomes</u></b></p> <p>f) The Council includes requirements to enhance social value in contracts. For example, construction projects over £1m in value must include an apprenticeship</p>	

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<p>scheme, and where possible, employers are encouraged to pay the London Living Wage. High value procurements include a significant weighting in the 'social value' section and, where applicable, requirements as to the use of community assets.</p>	
<p><b>E. Developing the entity's capacity, including the capability of its leadership and the individuals within it</b></p>	
<p><b><u>Developing the entity's capacity</u></b></p> <p>a) The Council's Workforce Development Strategy 2019 – 2023 aims to create a better place to work and to ensure the Council has the right people in the right places with the appropriate skills to deliver the Council's priorities. The plan is published on the website:  <a href="https://www.haringey.gov.uk/search/haringey_cse/workforce%20development%20strategy">https://www.haringey.gov.uk/search/haringey_cse/workforce%20development%20strategy</a></p> <p>b) Workforce expectations also form a clear part of contracting and commissioning processes, as our workforce is not limited to employed staff, including complying with minimum and London Living Wage requirements.</p> <p><b><u>Developing the capability of the entity's leadership and other individuals</u></b></p> <p>c) The Council Constitution specifies the types of decisions that is delegated and those reserved for the collective decision making of the full Council or Cabinet.  <a href="http://www.haringey.gov.uk/local-democracy/about-council/council-constitution">http://www.haringey.gov.uk/local-democracy/about-council/council-constitution</a></p> <p>d) The Council's Constitution sets out the leader and chief executive roles to ensure the respective responsibilities are defined in accordance with decision-making accountabilities. These comply with relevant statutory requirements. It also includes the general scheme of delegation. Each service area also has a service area scheme of authorisation for officers, currently published on the intranet.</p>	

Documentation demonstrating compliance with the governance principles	Identified gaps in compliance, or further action required
<p>e) Members who sit on Committees are provided with training specific to their responsibilities for these committees. Training sessions are planned for 2021/22 for member for planning, licensing, audit, finance, pensions and treasury.</p> <p>f) The Council provides a programme of training for all members, and members have access to the Council’s corporate training and development programme, which is published on the internal website.</p> <p>g) During 2016/17 the Council rolled out ‘My Conversation’, a new performance management process, to all staff, which focuses on personal and organisational development and performance; the Staffing and Remuneration Committee receives regular reports on people management issues in line with the Workforce Plan objectives. Guidance and templates for all staff are published on the internal website.</p> <p>h) The Council’s Workforce Development Strategy 2019 – 2023 aims to create a better place to work. Work on creating a Healthy Workforce Strategy is on-going and will be approved by members in 2021/22. The Council’s corporate Health, Safety and Wellbeing Board monitors all key aspects of statutory and local requirements and has an action plan in place to address any identified gaps in compliance. Health and Wellbeing Fairs have been run to promote employee health.</p> <p>i) The Council has protocols in place which govern how the operational and working relationships between officers and members are managed and forms part of the Constitution: <a href="http://www.haringey.gov.uk/local-democracy/about-council/council-constitution">http://www.haringey.gov.uk/local-democracy/about-council/council-constitution</a></p> <p>j) The Council reviews operations, performance and use of assets on a regular basis to ensure their continuing effectiveness; the Corporate Plan highlights key performance objectives, targets and outcomes, which are monitored and reported via the Council website. The performance reporting also compares current</p>	

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<p>performance with statistical neighbours, London and England averages in most cases: <a href="http://www.haringey.gov.uk/local-democracy/performance-and-finance/council-performance">http://www.haringey.gov.uk/local-democracy/performance-and-finance/council-performance</a></p>	
<p><b>F. Managing risks and performance through robust internal control and strong public financial management; and G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability</b></p>	
<p><b><u>Managing risk</u></b></p> <p>a) Haringey has a corporate Risk Management Policy and Strategy in place it was reviewed in Sept 2021 and approved by Members in Dec 2020. A project to strengthen risk management and embed the Strategy has commenced and will continue into 2021/22. Risk Management is embedded through a variety of processes and procedures, management teams, groups and boards across the organisation and is central to activities, including business planning and project management processes. <a href="https://www.minutes.haringey.gov.uk/ieListDocuments.aspx?CId=730&amp;MId=9449&amp;Ver=4">https://www.minutes.haringey.gov.uk/ieListDocuments.aspx?CId=730&amp;MId=9449&amp;Ver=4</a></p> <p>b) The Council’s key risks are managed via corporate risk and directorate risk registers; each is regularly reviewed via strategic and operational board meetings. Responsibility for individual risks and issues identified is clearly set out in risk registers. Internal audit reviews of key risks are undertaken as part of the annual audit programme. Performance objectives and outcomes are reported on the website: <a href="http://www.haringey.gov.uk/local-democracy/performance-and-finance/council-performance">http://www.haringey.gov.uk/local-democracy/performance-and-finance/council-performance</a></p> <p>c) Haringey’s business continuity planning is based on risk assessment and business impact analysis. Each service area produces a business continuity plan which is updated twice a year. Service continuity plans are incorporated into the Council-</p>	<p>The Business Continuity arrangements are being refreshed in 2021/22.</p>

Documentation demonstrating compliance with the governance principles	Identified gaps in compliance, or further action required
<p>wide Business Continuity Plan. As noted previously the Council’s Business Continuity Plans were implemented in response to Covid -19. More information on business continuity and emergency planning is available at:  <a href="https://www.haringey.gov.uk/environment-and-waste/major-emergencies/emergency-planning">https://www.haringey.gov.uk/environment-and-waste/major-emergencies/emergency-planning</a></p> <p><b><u>Managing performance</u></b></p> <p>d) The Council monitors service delivery effectively including planning, specification, execution and independent post implementation review which is set out in the Borough Plan and outcome priorities:  <a href="https://www.haringey.gov.uk/local-democracy/policies-and-strategies/building-stronger-haringey-together">https://www.haringey.gov.uk/local-democracy/policies-and-strategies/building-stronger-haringey-together</a></p> <p>e) Overview and Scrutiny takes a detailed look at the Council’s decisions and policies and works to promote open decision making and democratic accountability in Haringey by holding the Cabinet to account; developing and reviewing policy in an inclusive cross-party manner that involves local communities and other interested parties, reviewing the performance of the Council and scrutinising local services not provided by the Council, such as health services. Overview and Scrutiny Committee also reviews the Performance Wheels on a quarterly basis and individual Scrutiny Panels consider performance with reference to their reviews. The reports and recommendations are discussed and responded to by the Cabinet and published on the Council’s website:  <a href="http://www.minutes.haringey.gov.uk/ieListMeetings.aspx?Cid=128&amp;Year=0">http://www.minutes.haringey.gov.uk/ieListMeetings.aspx?Cid=128&amp;Year=0</a></p> <p><b><u>Strong public financial management and robust internal control</u></b></p> <p>f) The Medium-Term Financial Strategy (MTFS) outlines the overall financial strategy for achieving the Council’s priorities. The MTFS identifies a total of £43.9m of savings required, to deliver a balanced budget position each year between 2020</p>	

Documentation demonstrating compliance with the governance principles	Identified gaps in compliance, or further action required
<p>and 2025. Over half of this target (£28.4m) has been subject to consultation with residents, before being approved by Full Council in February 2021; the remainder has yet to be identified and will form part of the financial planning process during 2021/22. Each Priority Board considers finance and budgets at every meeting, looking at both the budget and savings positions and tracking progress on both. Transformation and delivery of outcomes are aligned to achieving savings and remaining within budget limits; the performance outcomes are reported on the website.</p> <p>g) The Council’s financial management is based on a framework of regular management information and review to inform managers and members of the current budget position. Managers submit monthly budget forecasts and the Cabinet receives quarterly budget management information.</p> <p>h) The Council operates a ‘zero tolerance’ approach to fraud and corruption. The anti-fraud and corruption policy includes a fraud response plan, anti-bribery and money laundering policies and a whistle-blowing policy. The anti-fraud policy is published on the Council website and regular articles on how to report fraud are published in staff newsletters and Haringey People. In 2020/21, the Council investigated and recovered 21 illegally sublet properties; and prevented 69 potentially fraudulent Right to Buy applications in line with the anti-fraud policy. Referrals made using the whistle blowing policy were all reviewed, investigated and reported to the Corporate Committee, copies of the reports are on the website:  <a href="https://www.minutes.haringey.gov.uk/ielistmeetings.aspx?CId=730&amp;Year=0">https://www.minutes.haringey.gov.uk/ielistmeetings.aspx?CId=730&amp;Year=0</a></p> <p>i) The Council’s internal and external auditors produce annual audit reports and the Annual Audit Letter, which were both reported to the Corporate Committee. No significant governance issues were raised by either report; recommendations were made to address some identified control weaknesses.</p> <p>j) Regular internal and external audit reviews check compliance with financial and contract procedure rules across the Council and the outcomes of these are</p>	

Documentation demonstrating compliance with the governance principles	Identified gaps in compliance, or further action required
<p>reported to the Corporate Committee on a quarterly basis. All high priority recommendations, excluding those covering schools' audits, made by internal audit were found to be implemented when follow up audits were undertaken. The Corporate Committee fulfilled its terms of reference in relation to audit functions; and reported positive outcomes in relation to pro-active counter-fraud activities in 2020/21.</p> <p>k) The Council's internal control arrangements are subject to annual self-assessment by the Head of Audit and Risk Management; any gaps in compliance with mandatory standards are included in the statutory annual Head of Audit report. In line with the Public Sector Internal Audit Standards, a peer review has been commissioned and will be completed in 2021/22.</p>	
<p><b><u>Managing data</u></b></p> <p>l) The Council has policies dealing with various aspects of data management including security and data protection; Freedom of Information Act; information asset registers; and general records management. These and supporting guidance are all published on the intranet. Data quality policy is published on the website: <a href="https://www.haringey.gov.uk/local-democracy/performance-and-finance/council-performance?_sm_au_=-iHVH14V03WHLnWHq">https://www.haringey.gov.uk/local-democracy/performance-and-finance/council-performance?_sm_au_=-iHVH14V03WHLnWHq</a></p> <p><b><u>Implementing good practices in reporting</u></b></p> <p>m) The Council produces an annual report to accompany its statement of accounts; for 2019/20, this received an unqualified opinion from the external auditor in 2020/21, who confirmed that the accounts provided a true and fair view of the Council's financial position; and the arrangements for securing economy, efficiency and effectiveness in its use of resources are operating effectively. Under the Local Accountability Act, the Council is responsible for appointing its external auditors</p>	<p>In the recent past, there have been instances of data breaches that have been reported to the Information Commissioner's Office.</p>



Documentation demonstrating compliance with the governance principles	Identified gaps in compliance, or further action required
<p>from 2019/20; approval for the preferred appointment process was obtained from Corporate Committee in November 2016 and Full Council in February 2017. The Council chose to participate in a sector led procurement exercise using Public Sector Audit Appointments (PSAA) as the Appointing Person.  <a href="http://www.minutes.haringey.gov.uk/ieListDocuments.aspx?CId=143&amp;MId=7868&amp;Ver=4">http://www.minutes.haringey.gov.uk/ieListDocuments.aspx?CId=143&amp;MId=7868&amp;Ver=4</a></p> <p>n) The Council’s Annual Governance Statement (AGS) is produced in accordance with required guidance and included in the statement of accounts; the AGS is reviewed by the Corporate Board and the Corporate Committee to ensure that any gaps in assurance or compliance issues are identified and addressed. Significant issues reported in 2019/20 are being addressed.</p> <p>o) As part of the Corporate Plan delivery arrangements, five Priority Boards are responsible for delivering the Corporate Plan with a responsible manager allocated as owner for each corporate priority. Outcomes and performance against all the priorities’ objectives are published on the website:  <a href="http://www.haringey.gov.uk/local-democracy/performance-and-finance/council-performance">http://www.haringey.gov.uk/local-democracy/performance-and-finance/council-performance</a></p> <p><b><u>Assurance and effective accountability</u></b></p> <p>p) Internal and external audit provide assurance on the Council’s system of internal control to support the section 151 officer requirements, including reporting compliance with financial and contract procedure rules across the Council. The outcomes of internal audits are reported to the Corporate Committee on a quarterly basis. All outstanding recommendations are reported to Corporate Committee; a focus is maintained on ensuring all high priority recommendations are implemented. None remained outstanding in 2020/21.</p>	

Documentation demonstrating compliance with the governance principles	Identified gaps in compliance, or further action required
<p>q) The Head of Audit and Risk Management and the internal audit service fully complied with the requirements of the mandatory UK Public Sector Internal Audit Standards, as evidenced by peer review and self-assessment. Access to officers, members and information is provided by the Constitution.</p>	

#### 4. Significant governance issues

- 4.1 Following our review of governance in 2019/20, we identified some key areas where work would be undertaken in 2019/20 to ensure governance arrangements were in place and effective. An action plan was drawn up and progress as at 31 March 2020 on this is set out below.

Issue	Agreed Action/ Deadline (as at July 2020)	Progress update (as at June 2021)
<p>Covid -19 Impact on Financial Planning &amp; MTFS refresh</p>	<p>In light of the emergency situation, local authorities are relying on the statement from Robert Jenrick (Secretary of State for Housing, Communities and Local Government) of 16 March 2020 which said “the government stands ready to do whatever is necessary to support councils in their response to coronavirus” for approval to incur the essential expenditures required to fulfil their role.</p> <p>Notwithstanding this, Covid-19 must be expected to have a significant net financial impact on the Council in the short, medium and long term and the Council must recognise and start to address this.</p> <p>The financial planning timetable is being refreshed in the light of this and the assumptions in the currently agreed MTFS are being reviewed and challenged. The current Borough Plan outcomes are also being revisited to assess the impact of C-19 and if any amendments need to be made. The outcome of these reviews will drive the revised parameters for developing a balanced 2021/22, supported by budget and new 2021-2026 MTFS.</p> <p><b>Cabinet &amp; Corporate Board – Led by Director of Finance - March 2021</b></p>	<p><b>On-Going</b> - There has continued to be regular reporting of the financial position of the council to both Senior Officers and Members. The budget for 2021/22 was approved in February. The s151 officer confirmed via the follow up work in February 2021 that plans were in place to address the forecasted overspend for 2020/21, that existed at that time. In light of the Covid-19 pandemic the council’s MTFS has been reviewed and appropriate financial risks recognised. The MTFS will continue to be monitored in 2021/22 and beyond as financial uncertainty will continue to impact on the Council’s financial management arrangements.</p>

Issue	Agreed Action/ Deadline (as at July 2020)	Progress update (as at June 2021)
Clienting of Homes for Haringey	<p>The Council has an Arm's Length Management Organisation (ALMO), Homes for Haringey (HfH) to manage around 15,353 tenanted and 4,943 leasehold properties. A governance review is being undertaken to make sure the Council has the right processes and governance in place to fully and properly discharge its landlord responsibilities, including the Regulator of Social Housing's Home Standard, and with particular concern over the safety of the Council's tenants and leaseholders in their home. The review will consider whether the Council and HfH have appropriate resources in place, with the right level and type of capacity. Alongside the right governance arrangements and procedures to ensure effective oversight and delivery.</p> <p><b>Director of Housing, Regeneration &amp; Planning March 2021</b></p>	<p><b>Completed</b> - The ALMO Client Management function has been established within the Council's Housing, Regeneration and Planning Directorate. A team has been created under the Assistant Director for Housing.</p> <p>Since the team's inception in December 2020, the key achievements have been as follows:-</p> <ul style="list-style-type: none"> <li>- Ongoing monitoring of the key performance indicators within the ALMO Client Managers' specific directorate/service area and addressing areas of under-performance with the appropriate Director/Head of Service.</li> <li>- The completion of a review of the performance management framework for 2021-22, to make sure there is a targeted and prioritised focus on key performance indicators, in the main areas of HfH's business.</li> <li>- Highlighting key areas of HfH's business where an additional focus and resources are required. Examples of this include building and fire safety, voids and visits to the support of vulnerable tenants.</li> <li>- Increased focus on issues of efficiency and value for money.</li> </ul> <p>Further steps to be taken in 2021-22</p>

Issue	Agreed Action/ Deadline (as at July 2020)	Progress update (as at June 2021)
		to embed the work of the ALMO Client Management team and improve the overall performance of HfH.
<p>During 2019/20 there have been issues raised with regards the robustness of decision making relating to acquisitions and disposals of property, this has required investigation to provide assurance that effective governance is in place and to ensure that decisions have been made and recorded in line with the constitution.</p>	<p>During 2019/20 as a result of learning from investigations, the structure of reporting and membership of officer boards such as Capital Delivery and Corporate Property Board have been considered and changes implemented to mitigate risk and generally strengthen governance.</p> <p>A Property Governance Review will be completed in 2020 to ensure that new arrangements are sound and fully embedded.</p> <p><b>Director of Customers, Transformation and Resources September 2020</b></p>	<p><b>On-Going</b> - New governance arrangements are in place for decisions about acquisitions and disposals with clear process for clearance and recommendations to Members (and onward to Cabinet for decision where appropriate) for potential acquisitions or disposals.</p> <p>The Asset Management Plan update was published February 2021 and includes criteria which need to be met for acquisitions and disposals.</p> <p>The process for acquisitions and disposals mapped out for clarity and will be audited as part of the 2021/22 internal audit plan.</p>
<p>In February 2020 the Council made a report to the Information Commissioners Office (ICO) with regards a data breach. A report was also made direct to the ICO by a third party.</p>	<p>An internal project to mitigate the risks associated with this data breach and impact on affected parties. Reports were made to the ICO and a response was received, with some suggested actions. An internal investigation was completed, picking up the ICOs suggestions and also raised a number of recommendations for control improvements. These recommendations will be tracked to completion.</p> <p>This is a high inherent risk area for the council, the</p>	<p><b>Completed</b> – A risk assessment was completed by the Council’s Senior Information Risk Officer (SIRO) and is being used to develop actions to enhance data management within the organisation.</p>

Issue	Agreed Action/ Deadline (as at July 2020)	Progress update (as at June 2021)
	<p>arrangements in place are reviewed periodically as part of the risk management framework and the Council has an appointed Senior Information Risk Owner (SIRO). The events of 2019/20 have been considered as part of our risk analysis work and resulting decision making.</p> <p><b>Director of Customers, Transformation and Resources September 2020</b></p>	
<p>Safety of two social housing buildings at Broadwater Farm.</p>	<p>As at 19/05/20 eight leaseholders still own homes in Tangmere (with a further 108 properties vacant). 13 leaseholders own homes in Northolt and 15 tenants are yet to move (with a further 74 homes vacant). Rehousing work will continue to ensure that vacant possession is achieved, and blocks can be demolished. Proposals to accelerate the acquisition of leasehold flats are due to be considered by Cabinet soon and officers will further recommend CPO proceedings by the Autumn if negotiations are not positive.</p> <p>Risks in each block are being mitigated by the provision of 24-hour security, the decommissioning of empty flats and the securing of front doors to prevent unauthorised access. Updates on the progress of the rehousing work will continue to be reported to members and senior officers through agreed Governance arrangements.</p> <p><b>Director of Housing, Regeneration &amp; Planning March 2021</b></p>	<p><b>On-Going</b> - As at 06/06/20 five leaseholders still own homes in Tangmere (with a further 111 vacant). 12 leaseholders own homes in Northolt although eight of these have agreed to sell and are at various stages of the conveyancing and sales process. There is one remaining tenant and a further 89 vacant properties.</p> <p>Covid has had an impact on our negotiations, with a number of leaseholders and tenants either being unwilling to engage during the pandemic or unable to make onward purchases (or indeed search for onward purchases) during the various lockdowns.</p> <p>Due to ongoing difficulties in agreeing mutual sales prices for the remaining leaseholders, the council has commenced CPO proceedings and is anticipating a public inquiry in the</p>

Issue	Agreed Action/ Deadline (as at July 2020)	Progress update (as at June 2021)
		<p>Autumn of this year. Cabinet formerly approved the submission of a CPO in November 2020. It is assumed that should the council be successful at the inquiry, vacant possession will be secured no later than May/June 2022.</p> <p>Risks in each block are being mitigated by the removal of gas supplies (completed in 2019), provision of 24-hour security, the decommissioning of empty flats and the securing of front doors to prevent unauthorised access.</p>
<p>In October 2018, Ofsted carried out an inspection of Children’s Social Care Services and published its final report on 14 December 2018. More recent inspections have recognised a positive direction of travel.</p>	<p>Improvement Board and at regular one-to-one meetings with the Cabinet member for Children, Families and Education and the Director of Children’s Services. Ofsted are expected to visit again in 2020, we will also review progress on the action plan at the Annual Engagement meeting with the Director of Children’s Services.</p> <p>The Cabinet, Children’s Scrutiny and Corporate Parenting Advisory Committee all receive an annual update on the progress of the action plan.</p> <p><b>Director of Children’s Services March 2021</b></p>	<p><b>On-Going</b> – There are regular one-to-one meetings with the Cabinet member for Children, Families and Education and the Director of Children’s Services continue, supported by a Safeguarding Assurance quarterly meeting with the Leader, CE and the Independent Chair of the Haringey Children’s Safeguarding Partnership, (HSCP).</p> <p>Ofsted conducted a Focus visit in March 2021. The recommendation from this inspection visit reinforced the work with partners to further develop and embed system for Children and young people who may go missing from home and care.</p>

Issue	Agreed Action/ Deadline (as at July 2020)	Progress update (as at June 2021)
<p>Schools performance, audit assurance outcomes and financial balances.</p> <p>In 2018/19 and 2019/20, there has been an improvement in the assurances assigned by internal audit as part of the schools' audit programme. The improvement is recognised, however there were still 6 schools from the 18 audited in 2019/20 where assurance provided was below expectations.</p>	<p>Covid-19 has given us some time to reflect on the schools audit approach. For 2020/21 the programme will be reviewed to ensure it is focused on highest risk areas, including any that have increased due to the response to COVID-19.</p> <p>A new approach to follow up has been designed to be more proactive. The team is also looking to work more closely with other council teams who work with schools, again to ensure efficient use of audit resources and added value from the work for stakeholders.</p> <p>Investment in training for governors and schools will continue.</p> <p>Annual reports are taken to the schools forum and Corporate Committee.</p> <p><b>Director of Children's Services</b> <b>March 2021</b></p>	<p><b>Completed</b> - There has been a marked improvement in the number of schools assigned low levels of assurance. Internal audit carried out audits at 17 schools during the financial year. 15 were assigned satisfactory levels of assurance and two were assigned unsatisfactory assurance. These schools will continue to be monitored in 2021/22 but are not a significant governance issue on the statement.</p>
<p>Covid-19 – Safe Service Provision and Financial Control</p>	<p>There is a risk that expenditure is incurred outside the agreed budgetary framework and without the required governance approvals and that decisions are made inconsistently around treatment of debt recovery. The Leaders signing report of 6 April 2020 provided a first new financial decision-making framework for the Council's response to the Covid-19 crisis. This will get updated as we move through the year, to respond to further developments, service and financial pressures and when there is greater certainty about the funding from Government.</p> <p>There is an enhanced risk of fraud in this situation.</p>	<p><b>Completed</b> - Covid-19 posed a range of financial and not financial risks during 2020/21 that have largely been addressed.</p>



Issue	Agreed Action/ Deadline (as at July 2020)	Progress update (as at June 2021)
	<p>Decisions are being made under pressure, there is urgency in acquiring resources and responding to vulnerable people. To mitigate this, current processes have been reviewed and amended / enhanced as required; new processes written and communicated to cover any new ways of operating. Initial focus on high risk areas such as cash handling, purchase cards, emergency payments and paying out grants to businesses. Compliance checks enhanced and agreed audit plan re-visited to re-prioritise where necessary.</p> <p>Covid-19 necessitated adapting working arrangement and condition to protect our staff and partners, our residents and people who use Council services. Our initial response was to set up practices to facilitate safe delivery of our services, with haste and with minimal impact on people who rely upon us. We are now considering the future of our governance arrangements in our services to build on good practices established during Covid-19 and consider the longer-term impact of the virus.</p> <p><b>Director of Finance Corporate Board – all Budget Holders Directors of Children’s and Adults Services March 2021</b></p>	

4.2 We have identified the following significant governance issues during 2020/21. It is proposed over the coming year to take steps to address the governance issues in these areas and these are set out in the action plan below. The action plan will be monitored during the year to ensure all issues are appropriately addressed.

Issue	Action	Responsibility	Due date
Covid -19 Impact on Financial Planning & MTFS refresh	<p>There has continued to be regular reporting of the financial position of the council to both Senior Officers and Members. The budget for 2021/22 was approved in February. The s151 officer confirmed via the follow up work in February 2021 that plans were in place to address the forecasted overspend for 2020/21, that existed at that time.</p> <p>In light of the Covid-19 pandemic the council's MTFS has been reviewed and appropriate financial risks recognised. The MTFS will continue to be monitored in 2021/22 and beyond as financial uncertainty will continue to impact on the Council's financial management arrangements.</p>	Cabinet & Corporate Board – Led by Director of Finance	March 2022
During 2020/21, there have been issues raised with regards the robustness of decision making relating to acquisitions and disposals of property, this has required investigation to provide assurance that effective governance is in place and to ensure that decisions have been made and recorded in line with the constitution.	<p>New governance arrangements have been put in place for decisions about acquisitions and disposals with clear process for clearance and recommendations to Members (and onward to Cabinet for decision where appropriate) about potential acquisitions or disposals.</p> <p>The Asset Management Plan update was published February 2021 and includes criteria which need to be met for acquisitions and disposals.</p> <p>The process for acquisitions and disposals mapped out for clarity and will be audited as part of the 2021/22 internal audit plan.</p>	Director of Housing, Regeneration & Planning	March 2022
Safety of two social housing buildings at Broadwater Farm.	As at 06/06/20 five leaseholders still own homes in Tangmere (with a further 111 vacant). 12 leaseholders own homes in Northolt although eight of these have agreed to sell and are at	Director of Housing, Regeneration &	March 2022

Issue	Action	Responsibility	Due date
	<p>various stages of the conveyancing and sales process. There is one remaining tenant and a further 89 vacant properties.</p> <p>Due to ongoing difficulties in agreeing mutual sales prices for the remaining leaseholders, the council has commenced CPO proceedings and is anticipating a public inquiry in the Autumn of this year. It is assumed that should the council be successful at the inquiry, vacant possession will be secured no later than May/June 2022.</p> <p>Risks in each block are being mitigated by the removal of gas supplies (completed in 2019), provision of 24-hour security, the decommissioning of empty flats and the securing of front doors to prevent unauthorised access.</p>	Planning	
<p>In October 2018, Ofsted carried out an inspection of Children's Social Care Services and published its final report on 14 December 2018. More recent inspections have recognised a positive direction of travel.</p>	<p>There are regular one-to-one meetings with the Cabinet member for Children, Families and Education and the Director of Children's Services continue, supported by a Safeguarding Assurance quarterly meeting with the Leader, Chief Executive and the Independent Chair of the Haringey Children's Safeguarding Partnership, (HSCP).</p> <p>Ofsted conducted a Focus visit in March 2021. The recommendation from this inspection visit reinforced the work with partners to further develop and embed system for Children and young people who may go missing from home and care.</p>	Director of Children's Services	March 2022
<p>Review the authority's information governance framework.</p>	<p>The Council is the accountable body for complying with the Data Protection Act 2018 and the UK GDPR. We plan to use the Information Commissioner's Accountability Framework to self-assess against its ten categories and to help identify and mitigate any gaps in our governance arrangements to demonstrate compliance with the Act and the Regulation.</p>	Director of Customers, Transformation and Resources	March 2022

## 5. Review of effectiveness

5.1 We take responsibility for conducting an annual review of the effectiveness of our governance framework, including the system of internal control. The review of effectiveness is informed by the statements of assurance and annual governance self-assessments by each director and assistant director, who have responsibility for the development and maintenance of the governance environment; the Head of Audit and Risk Management's annual report, and also by comments made by the Council's external auditors and other review agencies and inspectorates.

5.2 The Director of Finance holds the Council's statutory section 151 Officer role; the Assistant Director of Corporate Governance (the Council's Monitoring Officer) and the Head of Audit and Risk Management have also reviewed the work done by the Council relating to governance issues in 2020/21. Their comments on the key governance issues are as follows:

- Director of Finance: The Council's 2020/21 budget had major variations as a result of the C19 pandemic, and the Council's response to this. Throughout the year there was continuous reporting to Cabinet and to the government on the impact of the pandemic on the Council's finances, and strong levels of financial governance and control have been maintained throughout the pandemic period. In broad terms, government financial support has been sufficient to cover the financial impact on the Council's general fund budgets in 2020/21, however the position looks challenging in future years given the assumed long lasting impacts of the pandemic on demand for services, and income streams. A great amount of uncertainty surrounds the future of the Council's finances, given these legacy impacts of C19 and uncertainty surrounding future government funding policy. The Council's MTFs forecasts a significant medium term funding gap in excess of £20m, and the Council will need to develop plans to reduce its net cost base while best ensuring that it fulfils its responsibilities and priorities.
- Head of Legal & Governance (Monitoring Officer): The Monitoring Officers for 2020/21 are not aware of any significant governance issues in relation to member code of conduct complaints. The work in strengthening the governance concerning acquisitions and disposals will be reviewed during 2021/22.
- Head of Audit and Risk Management: The work of the internal audit team has been impacted upon significantly over the last financial year in many ways. The audit programme initially presented to the March 2020 Corporate Committee was refreshed in recognition of the Covid 19 risks and presented to the July 2020 Corporate Committee. The Corporate Management Group were also advised of how to maintain good internal controls and appropriate checks and balances. The delivery of the audit programme was slower than originally anticipated as the organisation responded to a range of Covid related priorities. For the audit work completed, most areas were assigned a satisfactory levels of assurances although weaknesses in internal controls were identified in some areas. Internal audit highlighted the following areas where management attention was required; acquisition and disposal of assets, procurement, IT related risks, brokerage services, and health and safety. In all cases, management have accepted audit recommendations to improve the internal control environment in these areas. Audits performed at Homes for Haringey have highlighted internal control weaknesses in a number of areas

audited including housing repairs, stores and the concierge service. The proportion of schools assigned a satisfactory level of assurance has improved for 2020/21.

- 5.3 The Head of Audit and Risk Management has also provided an Annual Audit Report and opinion for 2020/21. The report concluded that in most areas across the Council, with the exception of those areas receiving 'limited' or 'Nil' assurance, there are sound internal financial control systems and corporate governance arrangements in place, and that risk management arrangements are satisfactory. The following audit areas were assigned 'Limited' assurance; Declaration of Interests, Arrangements for Letting Contracts, Contract Management, Purchase Cards, Management of Cyber Risks, Contract Waivers, Brokerage, IT Disaster Recovery, Health and Safety, Quality of Practice, Safeguarding (Management and Triage), Lea Valley and Stroud Green Primary Schools. No audit was assigned "Nil" assurance.
- 5.4 Directorate Management Teams have discussed a statement of assurance covering 2020/21 which is informed by work carried out by Directors; Assistant Directors; heads of service and managers; internal audit; any external assessments; and risk management processes. The statements are used to provide assurance that any significant control issues that have been brought to their attention have been dealt with appropriately. No significant governance issues, apart from those identified at paragraph 4.2 were recorded.
- 5.5 The Chartered Institute of Public Finance and Accountancy (CIPFA) statements on the role of the Chief Financial Officer (CFO) and the role of the Head of Internal Audit (HoA) in public service organisations have both been incorporated into the Council's overall governance arrangements. During 2020/21, the Council can confirm that both the CFO and HoA fulfilled all the requirements set out within the CIPFA statements, and assurance on this was obtained via internal and external audit reviews. No gaps in compliance were identified for either role.
- 5.6 The Leader of the Council and the Chief Executive have been advised of the implications of the result of the review of the effectiveness of the governance framework by the Corporate Committee, and a plan to implement enhancements and ensure continuous improvement of the system is in place.
- 5.7 The evidence provided concerning the production of the Annual Governance Statement has been considered by the Chief Executive and the other members of the Corporate Board; and will be considered by the Council's Corporate Committee in July 2021. The Statutory Officers concluded that the Council has satisfactory governance systems in place and satisfactory plans to address the identified issues to ensure improvement; these arrangements continue to be regarded as fit for purpose in accordance with the governance framework. The Chief Executive along with the other members of the Corporate Board are committed to implementing the action plan, strengthening and improving controls and keeping the effectiveness of the Council's corporate governance arrangements under review during the year.

Signed by:

**Councillor Peray Ahmet**  
**Leader of the Council**

Date:

**Zina Etheridge**  
**Chief Executive**

Date: