

# **North Yorkshire Council**

## **Audit Committee**

**26 June 2023**

### **Corporate Governance**

#### **Report of the Corporate Director Resources**

##### **1.0 PURPOSE OF REPORT**

- 1.1 To note progress on Corporate Governance related matters.
- 1.2 To note improvements and changes made to governance arrangements.
- 1.3 To note the governance arrangements for transition through Local Government Reorganisation and the upcoming transformation programme.

##### **2.0 BACKGROUND**

- 2.1 The CIPFA/SOLACE Delivering Good Governance in Local Government Framework 2016 and associated Guidance Notes, set out the standard for local authority governance in the UK. The Framework defines the principles that should underpin the governance of an organisation and provides a structure to assist individual authorities with their approach to governance. Local authorities should review existing governance arrangements against these Principles, develop and maintain an up-to-date Local Code of Corporate Governance, and report publicly on compliance with their own Code on an annual basis, and on how they have monitored the effectiveness of their governance arrangements in the year and on planned changes. This is done through the Annual Governance Statement.
- 2.2 According to the Terms of Reference of the Audit Committee, which have been reviewed and revised, its role in respect of Corporate Governance is:
  - (i) to assess the effectiveness of the Council's Corporate Governance arrangements
  - (ii) to review progress on the implementation of Corporate Governance arrangements throughout the Council
  - (iii) to approve the Annual Governance Statements for both the Council and the North Yorkshire Pension Fund
  - (iv) to liaise, as necessary, with the Standards Committee (now known as the Standards and Governance Committee) on any matter(s) relating to the Codes of Conduct for both Members and Officers
  - (v) to work with the Standards and Governance Committee to promote good ethical standards within the Council
  - (vi) to review the arrangements in place for ensuring good governance in the Council's key partnerships and owned companies.

- 2.3 In relation to (i), (ii) and (vi) above, an annual report is submitted as set out in the Programme of Work and item (iii) is considered as part of the report relating to the Statement of Accounts. Issues are addressed by the respective Corporate Director alongside a report on internal audit work relating to that Directorate which is produced by the Head of Internal Audit.

### **3.0 LOCAL CODE OF CORPORATE GOVERNANCE**

- 3.1 At the last meeting of this Committee it was resolved that the updated Local Code of Corporate Governance be recommended for formal approval by the Executive in March 2023.
- 3.2 The Local Code was approved and as a result the updated Local Code is now available on the Council website [here](#).

### **4.0 ANNUAL GOVERNANCE STATEMENT 2022/23**

- 4.1 The Annual Governance Statement (AGS) is being updated to reflect the last year's and current status of governance and internal control arrangements which continue to be fit for purpose within the Council. The latest governance guidance issued by CIPFA is called Bulletin 06 Application of the Good Governance Framework 2020/21. The updating of the Statement has taken the guidance into account and has been amended to conform where appropriate. It also provides an assessment of the effectiveness of the Council's governance arrangements in supporting the planned outcomes. However it is recognised that there can be areas identified that require attention to address weaknesses and/or external challenges.
- 4.2 The impact of significant issues has been taken into account. Although Coronavirus is still having an impact in some areas of the Council such as Health and Adult Services, it is no longer considered a significant issue that should be mentioned in section 7 of the Statement. Section 7 of the final draft of the AGS which is due to come to this Committee in September will reflect issues such as the impact of Local Government Reorganisation (LGR) which has been and continues to be an extra challenge for the Council such as the ongoing transition and consolidation into a single Council, as well as continuing with the delivery of a range of statutory services.
- 4.3 Information Governance and Security continues to be a significant challenge to the Council with the need to be ever vigilant to potential cyber-attacks as well as possible day to day breaches of confidential information.
- 4.4 The draft AGS accompanies the Statement of Accounts (SoA) and will be presented to the Committee at this meeting.

### **5.0 DEVELOPMENTS IN 2022/23**

- 5.1 Although the responsibility for managing the day to day aspects of the Corporate Governance agenda belongs to the Executive and the Management Board, wider Members also have to be actively engaged – the role of this Committee is therefore critical in this regard.
- 5.2 This Committee receives progress reports on a range of specific governance issues such as counter fraud arrangements and partnership governance through the year.
- 5.3 A full review and update of the Local Code of Corporate Governance and the Annual Governance Statement are also carried out, as has already been mentioned in the paragraphs above.

5.4 Other notable areas of recent work undertaken as part of the Corporate Governance agenda include the following:-

- ➔ The Corporate Governance LGR work stream worked to ensure that the new authority has a lawful Constitution with robust policy and governance frameworks in place.
- ➔ The Finance LGR work stream worked to ensure that there was a shadow budget and MTFS in place for the new authority, and a common set of Financial, Procurement and Property Procedure Rules.
- ➔ Development of the new authority's Council Plan.
- ➔ Production of a draft Climate Change Strategy.
- ➔ New arrangements for Service Continuity Planning and support have been put in place relating in particular to cyber security issues.
- ➔ Update of new privacy notices and data governance policies that link to the UK policy framework.
- ➔ Production and delivery of a new Member induction training pack.
- ➔ Production of an induction policy for employees in the new Council.
- ➔ Development of governance guidance (Day 1 survival Guide) for NYC and bite size videos.

## 6.0 CORPORATE GOVERNANCE CHECKLIST SUMMARY OF IMPROVEMENTS

6.1 The Corporate Governance Checklist is a self-assessment checklist and is in line with the 7 principles defined in the Local Code of Corporate Governance. The requirements of the document CIPFA Statement of the Role of the Chief Financial Officer in Local Government are also incorporated within the Checklist.

6.2 The Checklist is effectively a “live” document to monitor and review the overall Corporate Governance process within the Council. Although a copy of the latest “version” is available to Members, a Summary is attached as **Appendix A** for ease of reference. This Summary shows:

- ➔ a sample of the improvements made in corporate governance between April 2022 and March 2023 in the left hand column.
- ➔ some examples of improvements in corporate governance to be made between April 2023 and March 2024.

6.3 Areas of development and / or improvement continue to be identified as a result of the need to comply with new guidance and requirements as they are published. LGR has also provided opportunities to develop and improve governance arrangements in readiness for the new authority.

6.4 The Checklist is used by officers in order to provide some assurance that all relevant areas of governance are being adequately addressed and, where relevant, gaps are identified with consequential actions to fill such gaps.

## 7.0 GOVERNANCE ARRANGEMENTS AND CHANGES

### Constitution

7.1 A new Constitution for North Yorkshire Council was considered and agreed at full Council on 22 February 2023. The contents of the Constitution are as follows:

- **Part 1 - Summary and Explanation**
- **Part 2 – Articles**
- **Part 3 - Responsibility for Functions**
  - Schedule 1 – Council Committees, their membership and their powers
  - Schedule 2 – The Executive
  - Schedule 3 - Membership of Overview and Scrutiny Committees
  - Schedule 4 - Officers' Delegation Scheme
  - Schedule 5 - Appointments to Outside Bodies
- **Part 4 – Rules of Procedure**
- **Part 5 – Codes and Protocols**
- **Part 6 – Members' Allowances Scheme**
- **Part 7 – Management Structure**

7.2 In Part 2 the Constitution is divided into 16 Articles which set out the basic rules governing the Council's business. These are as follows:

- The Council Constitution
- Members of the Council
- Citizens and the Council
- The full Council
- Chairing the Council
- Overview and Scrutiny Committees
- The Executive
- Regulatory and other Committees
- The Standards Committee
- Area Constituency Committees
- Joint Arrangements
- Staff
- Decision Making
- Finance, Contracts and Legal Matters
- Review and Revision of the Constitution
- Suspension

More detailed procedures and codes of practice are also provided in separate rules and protocols in the Constitution document.

7.3 The most substantive changes to the Constitution are summarised in the bulleted list below, relating to the Council committees dealing with planning and regulatory matters, standards, Area Constituency Committees and Overview and Scrutiny Committees.

## **1. Full Council**

### **2. Council Committees (dealing with non-executive functions)**

- No change or minor modifications to most existing Council committees
- New committees/substantive changes for the following:
  - ❖ a **Strategic Planning Committee**
  - ❖ six **Area Constituency Planning Committees** (following the MP constituency boundaries, as with the Area Constituency Committees)
  - ❖ a **Statutory Licensing Committee**
    - and sub-committees
  - ❖ a **General Licensing and Registration Committee**
    - and sub-committees
  - ❖ a **Standards and Governance Committee**

## **3. Executive**

### **4. Executive Committees (dealing with executive functions)**

- **Shareholder Committee**

### **5. six Area Constituency Committees** following the MP constituency boundaries (dealing with both executive and non-executive functions)

### **6. six Overview and Scrutiny Committees**

The governance arrangements and Constitution were also reviewed through the Officers' Governance Workstream and Members' Working Group on the Constitution and were considered fit for purpose for the new authority.

The Council Constitution can be viewed [here](#)

## **Decision Making**

- 7.4 At full Council on 18 May 2022 it was considered how to hold committee meetings from this date onwards. It was agreed that decision making meetings would be held in person in line with legislation. With regard to non-decision making meetings, the power was delegated to the Chief Executive Officer in consultation with the Leader to determine which committee meetings could be held virtually and which could be held physically, subject to consultation with the relevant committee Chair.

## **Governance Arrangements in Directorates**

- 7.5 Subsequent to the decision making change at full Council on the 18 May 2022, Directorates have followed procedures, processes and pre pandemic governance arrangements. Services have managed successfully and continued to adapt their ways of working to deliver services to the community. This included conducting some business in a different way where this is more efficient and appropriate, such as some meetings continue to be held virtually.

## **8.0 LOCAL GOVERNMENT REORGANISATION (LGR) TRANSITION AND UPCOMING TRANSFORMATION GOVERNANCE ARRANGEMENTS**

- 8.1 The Structural Changes Order for the new unitary Council required Parliamentary approval and was laid before Parliament in January 2022 and gained approval in March 2022 following parliamentary debate. The Structural Changes Order put in place the formal legal structures to create the new unitary council and set out the intention for the County Council to operate a 'continuing authority' model. It also set out the timings of elections, specified wards and numbers of councillors and imposed legal duties on the County and District Councils.
- 8.2 Following the Structural Changes Order for the new unitary Council which put in place the formal legal structures and intentions to create the new Council, Transition Programme governance arrangements were put in place. These included the following:
- ➔ Member Governance – this involved all Councils' Members including a Members Implementation Board.
  - ➔ Officer Governance Arrangements – this involved all Councils and included an Operational Group and Implementation Team.
  - ➔ Programme Workstreams - there were 15 workstreams across the programme. Underneath these work streams were a number of sub work streams, projects and task and finish groups.
  - ➔ Programme Management Office (PMO) - the PMO had a clear structure and leadership and was responsible for the overall coordination of the programme and for commissioning work streams and resources on behalf of the Implementation Team as well as supporting the Executive.
  - ➔ Independent Assurance for the Programme – this was provided through a combination of third parties selected for that purpose; Veritau; and the final aspect to the assurance was from the Department for Levelling Up, Housing and Communities.
  - ➔ Risk Management - a full and comprehensive risk management process was put in place, including an escalation framework.
- 8.3 As the Transition Programme comes to a close following conversion into a unitary council, this Programme will be absorbed into both 'business as usual' and the LGR Transformation Programme which will proceed over the remaining life of this Council. Management Board and the Executive are the key governance boards for officers and Members respectively through the Transformation Programme. Additional governance arrangements are being implemented in line with the principles that were in place for the Transition Programme.

## **9.0 ALTERNATIVE OPTIONS CONSIDERED**

- 9.1 There are no alternative options that require consideration.

## **10.0 FINANCIAL IMPLICATIONS**

- 10.1 There are no financial implications.

## **10.0 LEGAL IMPLICATIONS**

- 10.1 There are no legal implications.

## **11.0 EQUALITIES IMPLICATIONS**

- 11.1 There are no equalities implications.

## **12.0 CLIMATE CHANGE IMPLICATIONS**

12.1 There are no climate change implications.

### 13.0 REASONS FOR RECOMMENDATIONS

13.1 Corporate governance is the system by which North Yorkshire Council directs and controls its functions and relates to the community it serves. It is therefore a framework of policies, management systems, procedures and structures that together, determine and control the way in which the Council manages its business, determines its strategies and objectives, and sets about delivering its services to meet those objectives for the greater good of its community.

13.2 This is an exciting time as we build the new Council through transition, consolidation and transformation so that it can continue to deliver the services as set out in the Council plan. Governance arrangements play a fundamental role in ensuring that the Council can deliver those services to our community in a safe and legal manner.

### 14.0 RECOMMENDATION(S)

i) That Members note progress on Corporate Governance related matters.

ii) That Members note the improvements that have been made, and that are to be made in corporate governance (**Appendix A**)

iii) That Members note the governance arrangements for the transition through Local Government Reorganisation and the upcoming transformation programme.

### APPENDICES:

Appendix A – Corporate Governance Checklist Summary of Improvements

### BACKGROUND DOCUMENTS:

None.

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Note: Members are invited to contact the author in advance of the meeting with any detailed queries or questions.

## CORPORATE GOVERNANCE CHECKLIST

## Examples of Improvements made between April 2022 and March 2023

Improvements	Reference	Requirement
	<b>Principle A</b>	<b>Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law</b>
<ul style="list-style-type: none"> <li>Developed the Values and Behaviours Framework for the New Council via the LGR Organisational Development (OD) work stream <b>(TF/PY)</b></li> <li>Developed Code of Conduct for Planning for new council as part of the NYC constitution. <b>(BK)</b></li> <li>Produced Anti Money Laundering policy for NYC, incorporating the latest anti money laundering regulations, approved by Exec <b>(MT)</b></li> <li>Updated Whistleblowing Policy agreed by Audit Committee then updated and adopted as NYC version.<b>(MT)</b></li> <li>Updated Counter Fraud Policy agreed by Audit Committee then updated and adopted as NYC version <b>(MT)</b></li> </ul>	A.1.1	Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation.
<ul style="list-style-type: none"> <li>Worked through the Corporate Governance LGR work stream to ensure that the new authority has a lawful constitution with robust policy and governance frameworks in place <b>(BK)</b></li> <li>HR and OD work streams developed a suite of policies and procedures for the new council <b>(TF/PY)</b></li> <li>Worked through the Finance LGR work stream for the new authority to ensure that there is a shadow budget and MTFS in place, and a common set of Financial, Procurement and Property Procedure Rules <b>(GF)</b></li> <li>Worked through the Supply Chain Resilience Board to provide a managed corporate approach with supply chains <b>(GF)</b></li> </ul>	A.2.3	Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values

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Improvements	Reference	Requirement
<ul style="list-style-type: none"> <li>Developed a Constitution for the new council <b>(BK)</b></li> </ul>	A.3.1	Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations
	<b>Principle B</b>	<b>Ensuring openness and comprehensive stakeholder engagement</b>
<ul style="list-style-type: none"> <li>Worked through the Locality Work stream and sub groups to make recommendations to members for required actions post April 2023 <b>(RJ)</b></li> </ul>	B.2.1	Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably
	<b>Principle C</b>	<b>Defining outcomes in terms of sustainable economic, social, and environmental benefits</b>
<ul style="list-style-type: none"> <li>Developed the new council's Council Plan <b>(RJ)</b></li> </ul>	C.1.1	Having a clear vision which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation's overall strategy, planning and other decisions
<ul style="list-style-type: none"> <li>Produced draft Climate Change Strategy <b>(ML)</b></li> </ul>	C.2.1	Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision
	<b>Principle D</b>	<b>Determining the interventions necessary to optimise the achievement of the intended outcomes</b>
<ul style="list-style-type: none"> <li>Carried out LGR pulse staff surveys starting in Spring 22 and then every 8 weeks up to March 2023 <b>(TF/PY)</b></li> </ul>	D.2.2	Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered
<ul style="list-style-type: none"> <li>Worked to test, monitor and review new ways of working plans produced for post March 2022 in light of relaxation on Covid restrictions <b>(GF)</b></li> </ul>	D.2.4	Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances
<ul style="list-style-type: none"> <li>New arrangements for Service Continuity Planning and support have been put in place relating in particular to cyber security issues <b>(GF)</b></li> </ul>		

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Improvements	Reference	Requirement
<ul style="list-style-type: none"> <li>Policies for council tax and business rates harmonised <b>(GF)</b></li> </ul>	D.2.8	Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy
	<b>Principle E</b>	<b>Developing the entity's capacity, including the capability of its leadership and the individuals within it</b>
<ul style="list-style-type: none"> <li>Produced an induction policy for new council via HR and OD work streams <b>(TF/PY)</b></li> </ul>	E.1.4	Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources
<ul style="list-style-type: none"> <li>Developed governance guidance (Day 1 survival Guide) for NYC and bite size videos. <b>(BK/MoB)</b></li> </ul>		
<ul style="list-style-type: none"> <li>Developed a training and support programme for budget managers <b>(GF)</b></li> </ul>		
<ul style="list-style-type: none"> <li>Developed and implemented a new training programme including on-line training and face to face meetings for Pension Fund Committee and Pension Board as part of induction following May elections <b>(GF)</b></li> </ul>	E.2.4	Developing the capabilities of members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks
<ul style="list-style-type: none"> <li>Produced and delivered new Member induction training pack <b>(BK)</b></li> </ul>		
<ul style="list-style-type: none"> <li>Carried out online public consultations around LGR via Let's Talk campaign <b>(RJ)</b></li> </ul>	E.2.5	Ensuring that there are structures in place to encourage public participation
	<b>Principle F</b>	<b>Managing risks and performance through robust internal control and strong public financial management</b>
<ul style="list-style-type: none"> <li>Ensured a joined up risk management approach is in place for the new council <b>(GF)</b></li> </ul>	F.1.2	Implementing robust and integrated risk management arrangements and ensuring that they are working effectively

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Improvements	Reference	Requirement
<ul style="list-style-type: none"> <li>New framework for Head of Internal Audit reports to Audit Committee agreed. <b>(MT)</b></li> </ul>	F.3.4	Ensuring additional assurance on the overall adequacy of the framework of governance, risk management and control is provided by the internal auditor
<ul style="list-style-type: none"> <li>Worked to ensure that new privacy notices and data governance policies that link to the UK policy framework have been updated for NYC. <b>(GF/MT)</b></li> </ul>	F.4.1	Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data
<ul style="list-style-type: none"> <li>Data sharing protocol updated for NYC <b>(MT)</b></li> </ul>	F.4.2	Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies
<ul style="list-style-type: none"> <li>Ensured finance system was put in place for new council that is accurate and timely <b>(GF)</b></li> </ul>	CFO (Principle 2) F.5.1b	Ensure that appropriate management accounting systems, functions and controls are in place so that finances are kept under review on a regular basis. These systems, functions and controls should apply consistently to all activities including partnership arrangements, outsourcing or where the authority is acting in an enabling role
	<b>Principle G</b>	<b>Implementing good practices in transparency, reporting, and audit to deliver effective accountability</b>
<ul style="list-style-type: none"> <li>Ensured coherent arrangements for internal audit service are in place for the new council <b>(GF)</b></li> </ul>	G.3.2	Ensuring an effective internal audit service with direct access to members is in place which provides assurance with regard to governance arrangements and recommendations are acted upon

## Examples of Improvements to be made between April 2023 and March 2024

Improvements	Reference	Requirement
	<b>Principle A</b>	<b>Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law</b>
<ul style="list-style-type: none"> <li>Whistleblowing Policy awareness raising campaign to be launched, supported by an ongoing campaign <b>(MT) Mar 2024</b></li> <li>Monitor the new Data Protection and Digital Information Bill for possible impact and actions required. <b>(GF/MT) Mar 2024</b></li> <li>Embed the agreed Values and Behaviours Framework as part of the People Strategy and delivery plan <b>(TF/PY) Mar 2024</b></li> <li>Transfer Parish Council, councillor and clerk information to the NYC Modern Gov site, including councillor Registers of Interest; audit the information submitted and request updates and clarifications as needed <b>(BK) Jul 2023</b></li> </ul>	A.1.1	Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation.
<ul style="list-style-type: none"> <li>Develop Managers' skills on the new policies and systems (e.g. MyView) via webinars and drop in sessions <b>(TF/PY) Mar 2024</b></li> <li>Review and revise the procurement framework following Royal Assent of the Procurement Bill which is presently passing through Parliament. <b>(GF) Mar 2024</b></li> <li>Carry out procurement activity to mitigate legal risk and risks associated with impacts on service delivery for inherited lapsed contracts <b>(GF) Mar 2024</b></li> </ul>	A.2.3	Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values.
<ul style="list-style-type: none"> <li>Undertake a review of the partnership landscape <b>(RJ) Mar 2024</b></li> </ul>	A.2.4	Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with high ethical standards expected by the organisation

## Appendix A

Improvements	Reference	Requirement
	<b>Principle B</b>	<b>Ensuring openness and comprehensive stakeholder engagement</b>
<ul style="list-style-type: none"> <li>Work to integrate the management of FOIs and SARs into a single standard process for NYC <b>(MT) Jun 2023</b></li> <li>Carry out review of consultation and engagement <b>(RJ) Mar 2024</b></li> </ul>	B.1.1	Ensuring an open culture through demonstrating, documenting and communication the organisation's commitment to openness.
<ul style="list-style-type: none"> <li>Develop the Parish Charter to define the relationship between North Yorkshire Council and the parish sector <b>(BK) Mar 2024</b></li> <li>Develop the new localities structure <b>(RJ) Sep 2023</b></li> </ul>	B.2.1	Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably
<ul style="list-style-type: none"> <li>Carry out review of Council owned companies and establish appropriate governance arrangements <b>(BK) Mar 2024</b></li> <li>Implement the new arrangements for governance and support for the York and North Yorkshire Mayoral Combined Authority including the transitioning of the Local Enterprise Partnership <b>(JF/VD) Mar 2024</b></li> </ul>	CFO (Principle 1) B.2.2	Review partnership arrangements to ensure that the authority always has access to financial advice in relations to its role in partnership.
<ul style="list-style-type: none"> <li>Embed the extra monitoring officer responsibilities around publishing the parish and town council registers of interests and the handling of complaints where parish / town councillors may have breached their own codes of conduct <b>(BK/MoB) Mar 2024</b></li> </ul>	B.3.2	Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement
	<b>Principle C</b>	<b>Defining outcomes in terms of sustainable economic, social, and environmental benefits</b>
<ul style="list-style-type: none"> <li>Refresh Council Plan <b>(RJ) Mar 2024</b></li> </ul>	C.1.1	Having a clear vision which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation's overall strategy, planning and other decisions

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Improvements	Reference	Requirement
<ul style="list-style-type: none"> <li>Produce Council Climate Change Action Plan with detail down to directorate level <b>(ML) Dec 2023</b></li> </ul>	C.2.1	Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision
	<b>Principle D</b>	<b>Determining the interventions necessary to optimise the achievement of the intended outcomes</b>
<ul style="list-style-type: none"> <li>Decide on the type and frequency of staff survey to implement as part of internal engagement strategy <b>(TF/PY) Mar 2024</b></li> </ul>	D.2.2	Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered
<ul style="list-style-type: none"> <li>Obtain approval for the Joint internal engagement strategy with Comms and OD and then roll out wider use of Intranet, Teams, Yammer and NY1000 <b>(TF/PY) Mar 2024</b></li> </ul>		
<ul style="list-style-type: none"> <li>Continue review and refinement of Service Continuity Plans relating in particular to cyber security issues to be carried out <b>(GF) Mar 2024</b></li> </ul>	D.2.4	Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances
<ul style="list-style-type: none"> <li>Continue to test, monitor and review new ways of working plans produced in light of relaxation on Covid restrictions <b>(GF) Mar 2024.</b></li> </ul>		
<ul style="list-style-type: none"> <li>Review support to the voluntary and community sector <b>(RJ) Mar 2024</b></li> </ul>	D.3.4	Ensuring the achievement of 'social value' through service planning and commissioning.
	<b>Principle E</b>	<b>Developing the entity's capacity, including the capability of its leadership and the individuals within it</b>
<ul style="list-style-type: none"> <li>Develop a wider understanding of staff skills to support the retention and succession planning aspects of the People Strategy. <b>(TF/PY) Mar 2024</b></li> </ul>	E.1.1	Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness
<ul style="list-style-type: none"> <li>Complete the bringing together of service plans into transformation and savings plans <b>(RJ) Sep 2023</b></li> </ul>		
<ul style="list-style-type: none"> <li>Deliver a series of officer decision making training sessions in key areas (eg. Planning and Licencing) <b>(BK) Mar 2024</b></li> </ul>	E.1.4	Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources

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Improvements	Reference	Requirement
<ul style="list-style-type: none"> <li>Provide the required support in service restructures to help deliver the post LGR Transformation. <b>(TF) Mar 2024</b></li> </ul>		
<ul style="list-style-type: none"> <li>Carry out a training and support programme for budget managers <b>(GF) Jul 2023.</b></li> </ul>		
<ul style="list-style-type: none"> <li>Launch the new Hybrid Working Policy and report to Management Board with initial feedback <b>(TF/PY) Sept 2023</b></li> </ul>	E.2.4	Developing the capabilities of members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks.
<ul style="list-style-type: none"> <li>Continue with training programme including on-line training and face to face meetings for Pension Fund Committee and Pension Board as part of ongoing professional development <b>(GF) Mar 2024</b></li> </ul>		
<ul style="list-style-type: none"> <li>Ensure succession planning is considered as part of scoping the new HR system. <b>(TF/PY) Mar 2024</b></li> </ul>	E.2.7	Holding staff to account through regular performance reviews which take account of training or development needs
<ul style="list-style-type: none"> <li>Align the use of IPM across NYC through delivery of webinars and further comms outlining link to pay progression <b>(TF/PY) Nov 2023</b></li> </ul>		
<ul style="list-style-type: none"> <li>Establish and make arrangements for H&amp;S compliance across the new property portfolio <b>(GF) Mar 2024</b></li> </ul>	E.2.8	Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing
	<b>Principle F</b>	<b>Managing risks and performance through robust internal control and strong public financial management</b>
<ul style="list-style-type: none"> <li>Carry out the agreed risk management approach for the new council <b>(GF) Mar 2024</b></li> </ul>	F.1.2	
<ul style="list-style-type: none"> <li>Develop and implement a transformation programme which incorporates savings and improvement <b>(GF) Mar 2025</b></li> </ul>	F.5.1	Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance

## Appendix A

Improvements	Reference	Requirement
<ul style="list-style-type: none"> <li>Carry out improvements to the finance system and practices <b>(GF) Mar 2024</b></li> </ul>	CFO Principle 2 F.5.1b	Ensure that appropriate management accounting systems, functions and controls are in place so that finances are kept under review on a regular basis. These systems, functions and controls should apply consistently to all activities including partnership arrangements, outsourcing or where the authority is acting in an enabling role
<ul style="list-style-type: none"> <li>Develop new capital monitoring and prioritisation approach as a new unitary council <b>(GF) Dec 2023</b></li> </ul>		
	<b>Principle G</b>	<b>Implementing good practices in transparency, reporting, and audit to deliver effective accountability</b>
<ul style="list-style-type: none"> <li>Agree a training programme for Audit Committee <b>(GF/MT) Mar 2024</b></li> </ul>	CFO Principle 3 G.3.2a	Ensure an effective internal audit function is resourced and maintained (Audit Committee review own effectiveness resulting in Improvement Plan)