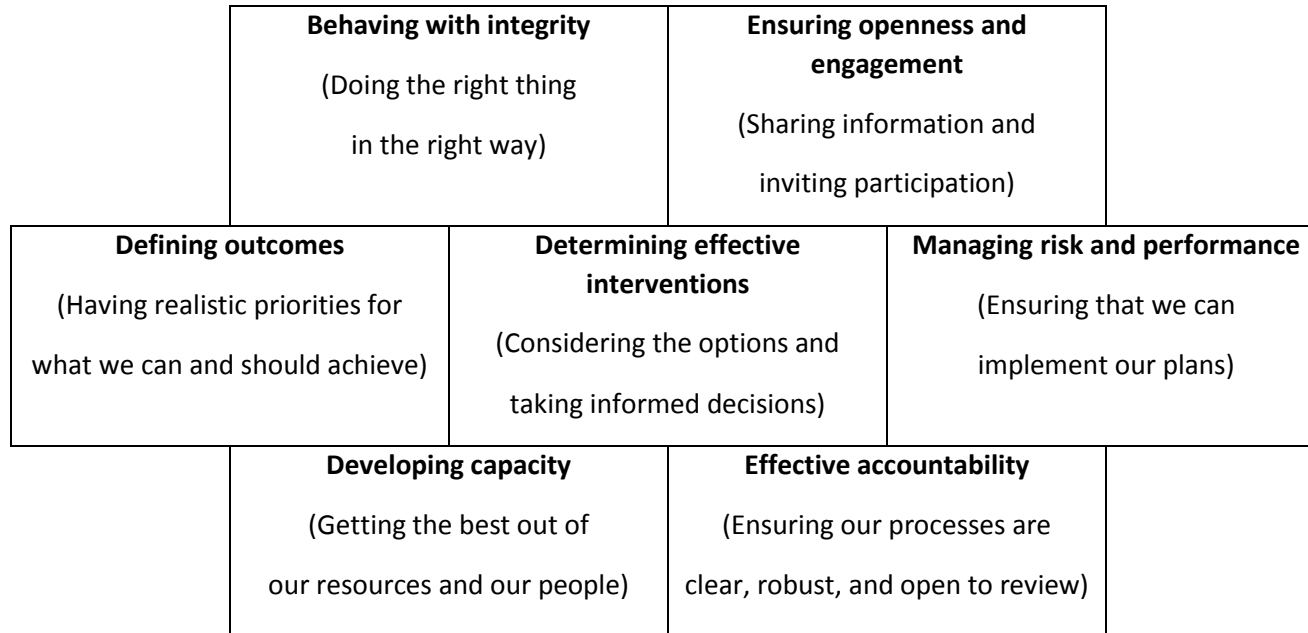


# LEEDS CITY COUNCIL CODE OF CORPORATE GOVERNANCE FRAMEWORK OF INTERNAL CONTROL AND ASSURANCE MAP 2023

The Code of Corporate Governance set out in the Constitution sets out the Council’s Principles of Corporate Governance and articulates a set of commitments for each.



**This Framework of Internal Control shows how the Council’s arrangements meet each of those commitments, and the Assurance Map shows how we evidence that arrangements are working as intended, identify weaknesses and opportunities for improvement, and oversee improvement plans.**

# LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

## Principle 1 - Behaving with integrity: (Doing the right thing in the right way)

We will behave with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance Type
<p>We are committed to ethical governance and will embed our values and use them as the basis for planning and implementing services; have clear and enforced codes of conduct for Members and officers; and will work with external providers to ensure that they share our ethical standards.</p>	<p>Values: We have adopted clear values, supported by described behaviours which are embedded throughout our arrangements.</p>	<p>Constitution <a href="https://www.leeds.gov.uk/council-and-democracy">Council and democracy (leeds.gov.uk)</a> Local Code of Corporate Governance – Part 5 j</p>	
		<p><a href="https://www.leeds.gov.uk/the-best-place-to-work-our-people-strategy-2020-to-2025">The best place to work – our people strategy 2020 to 2025 (leeds.gov.uk)</a></p>	Operational
		<p>Survey of Internal Control: • #TeamLeeds Values &amp; behaviours</p>	Specialist
	<p>The annual assurance report in relation to employment policies and employee conduct received by Corporate Governance and Audit Committee Item 67 - <a href="#">6th February 2023</a></p>	<p>Constitution <a href="https://www.leeds.gov.uk/council-and-democracy">Council and democracy (leeds.gov.uk)</a> Standards and Conduct Committee Terms of Reference – <a href="#">Part 3 Section 2B c</a> Code of Conduct Complaints Procedure Rules – <a href="#">Part 4 k</a> Members Code of Conduct – <a href="#">Part 5 a</a></p>	Operational
	<p>Member Conduct: Standards and Conduct Committee is required to promote and maintain high standards of conduct by members and co-opted members of the authority. We have adopted the Members Code of Conduct (amended as necessary and appropriate) which Members commit to through their acceptance of office. We provide guidance and training to Members at Induction and as appropriate to support clear knowledge and understanding of the Code and arrangements for the registration and declaration of interests, gifts and hospitality. We consider complaints in relation to breach of the Code of Conduct in accordance with our published procedure.</p>	<p>Standards and Conduct Committee received The Annual Report of the Monitoring Officer item 7 <a href="#">10<sup>th</sup> March 2023</a> LGA Model Councillor Code of Conduct, Annual Review of Protocols, and The Independent Person - item 8, 9 and 10 - <a href="#">14th March 2022</a>; General Purposes Committee received Amendments to Councillor Code of Conduct, and Independent Person – item 7 and 9 <a href="#">16th May 2022</a> Council received The Annual Report of the Standards and Conduct Committee – item 96 <a href="#">22<sup>nd</sup> March 2023</a></p>	Specialist
	<p>We have appointed an Independent Person. Gordon Tollefson appointed for five years, until July 2022. It is proposed to extend this term of office for two years to enable</p>	<p>Appointed by full Council – item 100 <a href="#">29th March 2017</a> Proposals considered by Standards and Conduct Committee. item 11 <a href="#">14th March 2022</a></p>	Independent

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	the Outgoing Independent Person to support appointment and transition to a new Independent Person.		
	<b>Officer Conduct:</b> We have adopted the Employee Code of Conduct which is included in the terms and conditions of employment. We have established arrangements for the registration of interests and gifts and hospitality.	Constitution <a href="https://www.leeds.gov.uk/council-and-democracy">Council and democracy (leeds.gov.uk)</a> Employee Code of Conduct – <a href="#">Part 5 b</a>	Operational
		Survey of Internal Control <ul style="list-style-type: none"> <li>Employee Code of Conduct and arrangements for Declaration of interests and registration of Gifts &amp; hospitality</li> <li>Arrangements to prevent conflict of interests</li> </ul>	
		The annual assurance report in relation to employment policies and employee conduct received by Corporate Governance and Audit Committee Item 67 - <a href="#">6th February 2023</a>	Specialist
	Internal Audit Review of arrangements in relation to employee interests has been completed.	Independent	
	<b>Providers:</b> Arrangements are embedded through our Contracts Procedure Rules, Standard Selection Questionnaire for high value procurements, and our standard terms and conditions.	Constitution <a href="https://www.leeds.gov.uk/council-and-democracy">Council and democracy (leeds.gov.uk)</a> Contracts Procedure Rules – <a href="#">Part 4 h</a>	Operational
The annual assurance report on procurement is received by Corporate Governance and Audit Committee. Item 22 <a href="#">29th July 2022</a>		Specialist	
Enquiries of Specialists – Head of Procurement and Commercial Service			
We will abide by the rule of law and will act in accordance with the legal and regulatory framework, dealing effectively with any breach	The City Solicitor is designated as Monitoring Officer. The Monitoring Officer Protocol sets out arrangements to ensure that they are able to discharge the role effectively. The Legal Service has achieved and maintained Lexcel Accreditation Arrangements are in place to ensure that officers and Members have access to legal advice and guidance, including named legal	Constitution <a href="https://www.leeds.gov.uk/council-and-democracy">Council and democracy (leeds.gov.uk)</a> Monitoring Officer Protocol – <a href="#">Part 5 e</a>	Operational
		Survey of Internal Control <ul style="list-style-type: none"> <li>Arrangements to ensure legal and regulatory compliance, including                             <ul style="list-style-type: none"> <li>arrangements for obtaining legal advice and guidance, and</li> </ul> </li> </ul>	Operational

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	<p>officers providing advice to Council and Executive committees and officer decision making panels. The corporate report template requires that the legal implications of each proposal are set out and can be considered by the relevant decision maker. All Executive Board reports are considered by colleagues in legal. Officer decisions can be referred to legal at the discretion of the decision maker.</p> <p>There is proactive engagement between legal service and directorates on high profile / sensitive matters, with weekly updates to City Solicitor and Director on high profile / sensitive cases or those with significant reputational or financial risk for Council.</p>	<ul style="list-style-type: none"> <li>○ arrangements for the outsourcing of legal work</li> </ul>	
		<p>Enquiries of Specialists - City Solicitor</p>	Specialist
		<p>Annual Review of Protocols received by Standards and Conduct Committee Item 9 <a href="#">14th March 2022</a></p>	Operational
		<p>Published agendas and delegated decisions include legal implications. For example: Housing Activity Update received at Environment, Housing and Communities Scrutiny Board, <a href="#">10th November 2022</a></p>	Operational
		<p>Internal Audit carries out testing of published decisions.</p>	Independent
	<p>Advice and guidance are available to all directorates to ensure procurement is legally compliant. Standard Terms and Conditions ensure providers are legally compliant and held to account (e.g., Data protection)</p>	<p>Enquiries of Specialists – Head of Procurement and Commercial Service</p>	
<p>We will have a zero-tolerance approach to corruption and misuse of power</p>	<p>We have adopted a suite of counter fraud and corruption policies and procedures including:</p> <ul style="list-style-type: none"> <li>● Counter fraud and corruption strategy and response plan</li> <li>● Anti-money laundering policy</li> <li>● Anti-bribery and corruption policy</li> <li>● Whistleblowing policy</li> </ul> <p>We have nominated a Counter Fraud and Corruption Member Champion</p>	<p>Website <a href="https://leeds.gov.uk">Reporting Fraud and Corruption (leeds.gov.uk)</a></p>	Operational
		<p>Survey of Internal Control</p> <ul style="list-style-type: none"> <li>● The Council's approach to counter fraud and corruption including:                             <ul style="list-style-type: none"> <li>○ The Council's Counter-fraud and corruption strategy and response plan</li> <li>○ Whistle blowing policy</li> <li>○ The Council's Anti-money laundering policy; and</li> <li>○ The Council's Anti-bribery and corruption policy</li> </ul> </li> </ul>	Operational



# LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

## Principle 2 - Ensuring openness and engagement: (Sharing information and inviting participation)

We will ensure openness and comprehensive stakeholder engagement

Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance type
<p>We are committed to a culture of openness and will be transparent in our decision making</p>	<p>The Council is committed to open government and the pro-active release of the information we hold. The publication scheme is approved by the Information Commissioner.</p> <p>Decision Making: The Principles of Decision Making (Article 13 of the Constitution) include a presumption in favour of openness. The List of Forthcoming Key Decisions gives advance notice of key decisions, providing relevant contact details to enable further engagement. Records of all key and significant operational decisions (SOD) are published, with formal reports to accompany those valued in excess of £100,000. Committee agendas are published five clear days in advance of each meeting, and items within ten working days of the meeting. Report templates require clear reasoning and evidence for recommendations. Exempt and confidential information is considered in accordance with the Access to Information Procedure Rules. Standard items on committee agenda provide for the consideration of exclusion of the press and public in order that the committee can consider confidential or exempt material</p> <p>Council Structures &amp; Decision-Making training is available to all staff via the Performance and Learning system.</p>	<p><a href="#">Council data and information listings (Publication Scheme) (leeds.gov.uk)</a> <a href="#">Publisher: Leeds City Council - Data Mill North</a></p> <p>Website List of Forthcoming Key Decisions - <a href="#">Council and democracy (leeds.gov.uk)</a> Delegated Decisions - <a href="#">Council and democracy (leeds.gov.uk)</a> Committee Records - <a href="#">Council and democracy (leeds.gov.uk)</a> Constitution <a href="#">Council and democracy (leeds.gov.uk)</a> Article 13 – <a href="#">Part 2 13</a> Executive and Decision-Making Procedure Rules – <a href="#">Part 4 b</a> Access to Information Procedure Rules – <a href="#">Part 4 f</a> Treatment of Confidential Information at Committee For example –meeting of the Executive Board item 35-38 <a href="#">5<sup>th</sup> September 2022</a></p> <p>Survey of Internal Control</p> <ul style="list-style-type: none"> <li>• Arrangements for open and transparent decision making including             <ul style="list-style-type: none"> <li>○ Exempt and Confidential Information</li> <li>○ LOFKD</li> <li>○ Publication of Reports</li> <li>○ Recording of Key and SODs</li> <li>○ Availability for call in</li> </ul> </li> </ul>	Operational

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Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance type
		Monitoring of urgent decisions provided in regular internal audit update reports to CGAC. Item 8 <a href="#">24<sup>th</sup> June 2022</a> Item 36 <a href="#">3<sup>rd</sup> October 2022</a> Item 65 <a href="#">6<sup>th</sup> February 2023</a> The Decision Making Statement of Internal Control was received by Corporate Governance and Audit Committee <a href="#">Item 9 24th June 2022.</a>	Specialist
We will use appropriate means to consult and engage with service users, local communities and other stakeholders to inform our activity	Arrangements for customer contact and satisfaction include: <ul style="list-style-type: none"> <li>• Customer contact policy and procedures</li> <li>• Communication systems focussed on a customer centric approach</li> <li>• Performance monitoring focussed on customer satisfaction and 'good' customer service</li> <li>• A culture of continuous improvement</li> </ul>	The Customer Contact Statement of Internal Control was received by Corporate Governance and Audit Committee Item 81 <a href="#">25th March 2022</a>	Specialist
	Seek to ensure appropriate, proportionate consultation and engagement with stakeholders, citizens and communities. Supported by toolkit, advice & training (on request) Four principles which support the approach to consultation and engagement <ul style="list-style-type: none"> <li>• Involve people at the earliest possible stage</li> <li>• Make the engagement meaningful and honest</li> <li>• Make it easy for everyone to take part</li> <li>• Show everyone the impact the engagement has had</li> </ul> A range of consultation and engagement approaches are used to provide both quantitative and qualitative feedback in relation to proposals in a way which is proportionate, representative, and meaningful. These include:	Website <a href="#">Consultations and feedback (leeds.gov.uk)</a> <a href="#">Leeds Citizens' panel</a> <a href="#">Equalities assembly (leeds.gov.uk)</a>	Operational
		Survey of Internal Control <ul style="list-style-type: none"> <li>• Approach to consultation and engagement including                             <ul style="list-style-type: none"> <li>○ access to advice</li> </ul> </li> </ul>	Specialist
		Enquiries of Specialists – Chief Officer Policy and Intelligence Corporate Governance and Audit Committee received report on Governance Arrangements for	

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	<ul style="list-style-type: none"> <li>• The Leeds Citizens' Panel</li> <li>• Consultation and feedback on the Council's website</li> <li>• Surveys</li> <li>• Discussion</li> </ul> <p>A review of digital engagement tools will ensure engagement online as effective as possible, and simpler for citizens to access. Consultation and engagement approach and outcomes are shared with decision makers through the formal report template.</p>	Implementation of Best City Ambition item 11 <a href="#">24th June 2022</a>	
	<p>We have reviewed our Statement of Community Involvement in relation to planning matters, including a public consultation</p>	Consideration of consultation in reports - For example Full Council - item 79 <a href="#">23rd February 2022</a>	Operational
	<p>We are committed to the development of an asset-based community development approach (ABCD)</p>	Internal Audit sample testing of published decisions	Independent
	<p>The Locality Working model operates alongside the Council's Community Committee structure. It uses a place-based approach, with strong political leadership, to tackle poverty, reduce inequality and address vulnerability in some of the poorest neighbourhoods in Leeds</p>	Website <a href="#">Statement of Community Involvement (LDF) (leeds.gov.uk)</a>	Operational
	<p>Public attendance at council meetings: The public can attend or view any formal meetings of the council Additional arrangements for the public to address meetings are in place as follows:</p> <ul style="list-style-type: none"> <li>• Deputations to full Council in accordance with the Council Procedure Rules</li> <li>• Invitation as a witness to a Scrutiny inquiry in accordance with the Scrutiny Board Procedure Rules</li> <li>• Deputations, open forums, advisory or consultative forums of Community Committees in accordance with the Community Committees Procedure Rules</li> </ul>	Executive Board endorsed plan and approach item 27 <a href="#">24th September 2020</a>	
		Executive Board received update report Item 129 <a href="#">16th March 2022</a>	
		Constitution <a href="#">Council and democracy (leeds.gov.uk)</a> Council Procedure Rules – <a href="#">Part 4 a</a> Scrutiny Board Procedure Rules – <a href="#">part 4 c</a> Community Committee Procedure Rules – <a href="#">part 4 d</a> Protocol for Public Speaking at Plans Panels – <a href="#">Part 5 h</a>	Operational
	Committee agenda and items demonstrate application of relevant provisions For example Inner South Community Committee – Item 33 <a href="#">30th November 2022</a>		



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	<ul style="list-style-type: none"> <li>Speaking at Plans Panels in accordance with the Protocol for Public Speaking at the Plans Panels</li> </ul>		
	<p>We have arrangements in place for the receipt and consideration of petitions. Formal decisions in respect of petitions received are taken and published in accordance with the decision-making framework which provides for Member oversight of decision making.</p>	<p>Website <a href="https://www.leeds.gov.uk/petition-the-council">Petition the council (leeds.gov.uk)</a></p>	Operational
	<p>The Budget and Policy Framework Procedure Rules set out clear requirements in respect of stakeholder engagement, publication, and referral to Scrutiny of any framework document to ensure comprehensive consultation and engagement in respect of key policies.</p>	<p>Constitution <a href="https://www.leeds.gov.uk/council-and-democracy">Council and democracy (leeds.gov.uk)</a> Budget and Policy Framework Procedure Rules - <a href="#">Part 4 e</a></p>	Operational
	<p>Executive Board and Full Council reports set out consultation details in respect of budget and policy framework matters.</p>	<p>Budget &amp; Policy Framework documents approved by Full Council: Recommendation of Licensing Committee – Licensing Act 2003 Statement of Licensing Policy – Item 67 – <a href="#">18<sup>th</sup> January 2023</a> Youth Justice Plan - Item 68, Safer, Stronger Communities Leeds Plan Item 69 <a href="#">12th January 2022</a> Best City Ambition – Item 79, Budget – Item 82, - <a href="#">23rd February 2022</a></p>	
	<p>We have established a Parish and Town Council Charter setting out how we will work together with local councils in the Leeds City area for the benefit of local people.</p>	<p>Website <a href="https://www.leeds.gov.uk/parish-and-town-council-charter">Parish and Town Council Charter (leeds.gov.uk)</a></p>	

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Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance type
We will develop formal and informal partnerships to ensure efficient use of resources and sustainable achievement of outcomes	We have adopted the Boston Matrix to understand current relationships with our partners and / or plan trajectories. The use of the matrix also considers the strategic and operational power of our partners.	The 2021 Key relationships and system leadership of our partnership was discussed and reviewed at an extended BCLT event in <a href="#">June 2023</a> .	
	Partners: We have established a Partnership toolkit, checklist and register to support proportionate arrangements for governance and risk in respect of partnerships. The checklist focusses on: <ul style="list-style-type: none"> <li>• purpose and outcomes – how we will measure success and when the partnership will end</li> <li>• the partners – who our partners are and how we will work with them</li> <li>• risk and resilience – how the partnership plans to meet risks.</li> </ul>	Survey of Internal Control: <ul style="list-style-type: none"> <li>• Are there any partnerships with external partners in your service area</li> <li>• <i>Name / Number</i></li> <li>• Have these been included on the directorate partnership register</li> <li>• Has the partnership checklist been applied to each partnership (available on the partnership toolkit (<a href="#">InSite - Partnership management (leeds.gov.uk)</a>)</li> <li>• Are you satisfied that the arrangements in place provide adequate control</li> </ul>	Operational
		The annual assurance report on Corporate Risk and Resilience Arrangement is received by Corporate Governance and Audit Committee. – Note 53 <a href="#">28th November 2022</a>	Specialist
		Enquiries of Specialists – Chief Officer Policy and Intelligence	
	Executive Board receive reports reviewing the work and outcomes of significant partnerships within the city	For example, Executive Board 20/04/22 received <a href="#">Leeds Response to the Ukrainian Crisis - Partnerships across the city to provide the necessary support</a> and 14/12/22 <a href="#">West Yorkshire Mass Transit Vision</a> – formal partnership working.	Operational

# LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

## Principle 3 - Defining outcomes: (Having realistic priorities for what we can and should achieve)

We will define outcomes in terms of sustainable economic, social and environmental benefits

Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance type
<p>We will maintain a clear strategic plan which sets out our priorities, and the intended outcomes for the citizens and communities of Leeds now and in the future.</p>	<p>The Joint Strategic Assessment provides a detailed understanding of the citizens and communities in the Leeds area which underpins the Council's planning and service delivery.</p>	<p>The JSA received by Health and Wellbeing Board item 9 <a href="#">16th September 2021</a>, and Executive Board item 68 <a href="#">20th October 2021</a></p>	Operational
	<p>In Feb 2022 Council approved the Best City Ambition (BCA) in place of the Best Council Plan. Both corporate plans articulate the council's ambitions and strategic priorities which are based in the three pillars</p> <ul style="list-style-type: none"> <li>• Health and wellbeing</li> <li>• Inclusive growth</li> <li>• Climate emergency</li> </ul> <p>The Best City Ambition is centred on the city's mission to tackle poverty and inequality in partnership.</p>	<p><a href="#">Best City Ambition</a> approved by Full Council Item 79 <a href="#">23rd February 2022</a></p>	
	<p>The strategy and policy framework is articulated through a raft of policy and strategy documents which reflect the strategic ambition of the council. An iterative approach will be taken to reviewing this framework, to ensure that they are necessary and appropriate, and that they form a cohesive whole in support of the overarching BCA.</p> <p>Documents comprised in the budget and policy framework are approved by full council, other supporting strategies and policies are approved in accordance with the Leader's executive arrangements.</p>	<p>Survey of Internal Control</p> <ul style="list-style-type: none"> <li>• Arrangements to ensure Service is planned and delivered in line with the Council's strategic planning framework including in particular:                             <ul style="list-style-type: none"> <li>○ The Best City Ambition</li> <li>○ The Council's three strategic pillars – Inclusive Growth, Health &amp; Wellbeing, and Climate Emergency</li> <li>○ Your supporting strategic / service Plan (if relevant)</li> </ul> </li> </ul>	Operational
		<p>Examples of supporting plans and strategies approved by Executive during AGS period include: Better Lives Strategy 2022-2027 item 140 <a href="#">20th April 2022</a></p> <p>Approval of updated Leeds Housing Strategy item 14 <a href="#">22nd June 2022</a></p> <p>Leeds Safe Roads Vision Zero 2040 Strategy &amp; Action Plan 2022-25 item 49 <a href="#">21st September 2022</a>.</p>	

## LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

### Principle 3 - Defining outcomes: (Having realistic priorities for what we can and should achieve)

We will define outcomes in terms of sustainable economic, social and environmental benefits

Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance type
		Report on governance arrangements for implementation of Best City Ambition was received by Corporate Governance and Audit Committee item 11 - <a href="#">24th June 2022</a> .	Specialist
We will work to deliver our strategic plan in a way that is economically, socially and environmentally sustainable and demonstrates excellent value for money	Medium Term Financial Strategy (MTFS): The five-year MTFS provides for financial resilience and sustainability. It is updated annually.	The MTFS 2023/24- 2027/28 was received by Executive Board. item 63 <a href="#">19th October 2022</a>	Operational
	The Revenue Budget and Capital Programme are supported by a clear and established set of principles which enable a robust and accountable approach to budget management. The system of financial control includes clear arrangements for budget setting and monitoring, to ensure that the budget reflects the resource envelope available to the Council. BCT: Financial Challenge has been established to deliver targeted savings resulting from a programme of service reviews.	Enquiries of Specialists – Chief Officer Financial Services	Specialist
		Corporate Governance and Audit Committee received Annual Assurance report on arrangements for financial management. item 50 <a href="#">28th November 2022</a>	
	Climate Emergency is one of the three pillars supporting the Council’s strategic plan, with a target of achieving net zero emissions for the city by 2030.	Climate Emergency Annual Report received by Executive Board item 129 <a href="#">20th March 2023</a>	Operational
	Efforts are focussed on both the council’s climate emissions; and wider influence in relation to national policy, and the activity of partners, stakeholders, citizens and communities within the city.	Report on Climate Emergency Governance and Controls received by Corporate Governance and Audit Committee item 129 <a href="#">15th March 2023</a> .	Specialist
The principles of decision making require <ul style="list-style-type: none"> <li>• Clarity of aims and desired outcomes</li> <li>• Proportionality</li> <li>• Options appraisal</li> </ul> The corporate report template provides for the articulation of relevant considerations with particular reference to the three strategic pillars.	Internal Audit sample testing of published decisions	Independent	

## LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

### Principle 3 - Defining outcomes: (Having realistic priorities for what we can and should achieve)

We will define outcomes in terms of sustainable economic, social and environmental benefits

Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance type
	<p>The Council is signatory to the Leeds Social Value Charter committing to the consideration of social value in all the council does.</p> <p>Social Value Guidance for Commissioners has been developed, communicated and embedded under the oversight of the Social Value Board. Outcomes are monitored and reported to Corporate Governance and Audit Committee.</p> <p>TOMs monitoring reported to Social Value Board quarterly, and annually to Scrutiny and Audit committee.</p>	<p>Scrutiny Board (Strategy &amp; Resources) supported adoption of the Social Value Guidance item 61 <a href="#">20th January 2020</a></p> <p>Survey of Internal Control</p> <ul style="list-style-type: none"> <li>• Arrangements to ensure social value including Social Value Guidelines for Leeds City Council Commissioners</li> </ul> <p>Scrutiny Board Strategy &amp; Resources received Social Value in Procurement Report – item 73 <a href="#">28th March 2022</a></p> <p>Internal Audit review of Social Value in Procurement</p>	<p>Operational</p> <p>Specialist</p> <p>Independent</p>
<p>We will ensure that our services are appropriate to the different needs of citizens and communities and that we deliver fair access to our services</p>	<p>Equalities:</p> <p>The Council has adopted an Equality and Diversity Policy and four-year Strategic Equality Improvement Priorities in compliance with the Equality Act 2010. The policy and priorities recognise that there are different outcomes for different groups and communities and seek to tackle poverty and reduce inequalities.</p> <p>We use equality, diversity, cohesion and integration impact assessments to identify ensure that our services are fair and accessible</p>	<p>Website</p> <p><a href="#">Equality and diversity (leeds.gov.uk)</a></p> <p><a href="#">Equality improvement priorities (leeds.gov.uk)</a></p> <p><a href="#">Equality and diversity impact assessments (leeds.gov.uk)</a></p> <p>Strategic approach to tackling hate crime including <a href="#">Anti- Muslim Prejudice</a> reported at Exec Board 19 October 2022.</p> <p>Survey of Internal Control</p> <ul style="list-style-type: none"> <li>• Arrangements to ensure fair access to services including                             <ul style="list-style-type: none"> <li>○ The Council’s Equality and diversity policy</li> <li>○ Equality, diversity, cohesion and integration impact screening and assessments</li> </ul> </li> </ul> <p>Equality Improvement Priorities Progress Report 2020-2021 and Equality Improvement Priorities</p>	<p>Operational</p> <p>Operational</p> <p>Specialist</p>

## LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

### Principle 3 - Defining outcomes: (Having realistic priorities for what we can and should achieve)

We will define outcomes in terms of sustainable economic, social and environmental benefits

Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance type
		<p>2021-2025 received by Executive Board – item 43 <a href="#">21st July 2021</a> and progress report received item 51 <a href="#">21st September 2022</a>.</p> <p>Internal Audit reviews (for example):</p> <ul style="list-style-type: none"> <li>• No Recourse to Public Funds</li> <li>• Retirement Wellbeing Checks</li> <li>• SEN Out of Area Placements</li> <li>• DoLS</li> </ul>	Independent

## LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

### Principle 4 - Determining effective interventions: (Considering the options and taking informed decisions)

We will determine the interventions necessary to optimise the achievement of the intended outcomes

Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance Type
<p>We will ensure that decision makers are provided with relevant, timely information to support decisions which are proportionate, sustainable and realistic to meet identified aims and outcomes.</p>	<p>Decision Making: We have adopted the Principles of Decision Making set out in Article 13 of the Constitution Report templates require clear reasoning and evidence for recommendations, including consultation and engagement, legal, resource and risk implications, and options considered. Committee reports, and those supporting key decisions taken by officers are published five days in advance of decisions being taken.</p>	<p>Survey of Internal Control</p> <ul style="list-style-type: none"> <li>• Arrangements to support proportionate, sustainable, and realistic decisions including                             <ul style="list-style-type: none"> <li>○ The Principles of Decision Making (set out in Article 13 of the Constitution)</li> <li>○ Report writing templates and guidance</li> </ul> </li> </ul>	
	<p>Category management structure enables input into option appraisals (where warranted), procurement strategy, decision reports and contract management plans. Reassurance is addressed via VfM delivered services and the non-recording of failing or terminated contracts</p>	<p>Corporate Governance and Audit Committee received the Annual Assurance report on Decision Making. item <a href="#">9 24<sup>th</sup> June 2022</a>. Review of Protocol for the Roles of Members and Officers in Decision Making received at Executive Board <a href="#">27th July 2022</a>. Decision making Framework statement of Internal Control within IDS received by Corporate Governance and Audit Committee item 64, <a href="#">5<sup>th</sup> February 2023</a></p>	Specialist
		<p>Internal Audit sample testing of published decisions</p>	Independent
<p>We will ensure that our financial planning, and budgeting processes inform, reflect, and support our decision making.</p>	<p>Medium Term Financial Strategy: The five-year MTFS provides for financial resilience and sustainability. It is updated annually.</p>	<p>The MTFS 2023/24- 2027/28 was received by Executive Board 19/10/22. item 63 <a href="#">Medium-Term Financial Strategy</a></p>	Operational
	<p>Budget: Budget management and monitoring is undertaken as a continuous process throughout the Council. Clear financial dashboards have been developed and financial advice and</p>	<p>Corporate Governance and Audit Committee received the Annual Assurance report on arrangements for financial management. item 50 <a href="#">28 November 2022</a></p>	Specialist

## LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

### Principle 4 - Determining effective interventions: (Considering the options and taking informed decisions)

We will determine the interventions necessary to optimise the achievement of the intended outcomes

Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance Type
	<p>guidance is available from the Financial Service, to assist budget holders in assessing the impact of decisions.</p> <p>The corporate report template requires that financial implications are detailed in respect of proposals.</p>	Internal Audit sample testing of published decisions	Independent
<p>We will consider best value in respect of all strategic objectives through the delivery of service specific outcomes.</p>	<p>The Council has adopted a five-year procurement strategy to support deliver of the strategic plan based on five key areas:</p> <ul style="list-style-type: none"> <li>• Value for money and efficiency</li> <li>• Governance</li> <li>• Social Value and Foundation Living Wage</li> <li>• Commercial Opportunities</li> <li>• Supplier relationships and contract management</li> </ul> <p>Arrangements for the procurement of goods and services include requirements for tender evaluation reflecting both price and quality</p> <p>The Social Value guidelines for Leeds City Council commissioners states all high value procurements must consider social value. The council has a contract with the Social Value Portal (SVP) an external service that manages the supply and delivery of the Social Value tool which enables a performance and evidence-based approach to obtain social value offers from bidders, ensuring an open, fair and transparent process is in place.</p> <p>Contract management arrangements are considered during the scoping of the procurement to ensure the Councils requirements are clear, deliverable and manageable. Post award contract management ensures adherence to the service needs and</p>	<p>Website: <a href="https://leeds.gov.uk/procurement-strategy">Procurement Strategy 2019 to 2024 (leeds.gov.uk)</a></p> <p>Scrutiny Board (Strategy &amp; Resources) supported adoption of the Social Value Guidance item 61 <a href="#">20th January 2020</a></p> <p>Social Value Fund Proposal report received by Executive Board on <a href="#">22nd June 2022.</a></p> <p>Survey of Internal Control</p> <ul style="list-style-type: none"> <li>• The procurement framework, including                             <ul style="list-style-type: none"> <li>○ the provisions of the Contracts Procedure Rules</li> <li>○ Arrangements for Contract Management, including the requirement to have arrangements in place for contract management; and that individuals undertaking contract management roles have appropriate formal training</li> <li>○ Arrangements for obtaining procurement and commercial advice and guidance</li> </ul> </li> </ul> <p>Corporate Governance and Audit Committee received the Procurement Assurance report 2022 item 22 <a href="#">29/07/22</a></p>	<p>Operational</p> <p>Specialist</p>



## LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

### Principle 4 - Determining effective interventions: (Considering the options and taking informed decisions)

We will determine the interventions necessary to optimise the achievement of the intended outcomes

Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance Type
	<p>delivery of the expected outcomes including the requirement of any future procurement.</p> <p>A suite of tender documents to address all procurement activity namely, goods, works and services are available to undertake appropriate procurement exercises. The tender documents promote engagement with the third sector market and strengthen its relationship with the council, as well as providing opportunities for large private organisations to engage more openly with the Third Sector and SMEs by broadening their supply chain.</p>	Enquiries of Specialists – Head of Procurement and Commercial Service	

# LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

## Principle 5 - Managing risk and performance: (Ensuring that we can implement our plans)

We will manage risks and performance through robust internal control and strong public financial management

Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance type
<p>We will integrate robust and effective risk management arrangements into all our activity and decision making to identify, mitigate and manage risks to the achievement of our goals.</p>	<p>The Council is committed to the identification, mitigation and management of risk throughout all levels of council decision making and activity to ensure that the councils strategic objectives can be achieved.</p> <p>Together the risk management strategy and procedures work to identify, mitigate and manage risk at corporate, directorate, service and project level.</p> <p>Arrangements provide for clear ownership of risk, and for the regular monitoring and evaluation of arrangements to ensure that they remain robust and fit for purpose.</p> <p>The corporate report template includes a section to address risk in relation to all decisions taken in committee, and key and significant operational decisions taken by officers.</p> <p>Regular Executive Members briefings include updates on risk in relation to matters within their portfolio.</p> <p>CLT consider corporate risks; and DLTs consider directorate risks through a regular cycle of reporting by Intelligence and Policy Manager</p> <p>Scrutiny Boards have oversight of risk arrangements in relation to matters within their remit.</p>	<p>Website <a href="https://www.leeds.gov.uk">Risk and performance (leeds.gov.uk)</a></p>	Operational
		<p>The risk management policy and strategy approved by Executive Board – item 39 <a href="#">21<sup>st</sup> July 2021</a></p>	
		<p>Survey of internal control</p> <ul style="list-style-type: none"> <li>• The Council’s risk management Policy and approach, including arrangements                             <ul style="list-style-type: none"> <li>○ to identify and record new and emerging risks,</li> <li>○ to develop and review the control assessment for each risk,</li> <li>○ to report, and where necessary escalate, significant risks and</li> <li>○ to manage each identified risk.</li> </ul> </li> </ul>	
		<p><a href="#">Annual Corporate Risk Management report</a> received by Executive Board - item 27 27th July 2022.</p>	
		<p>Annual Assurance Report on Corporate Risk and Resilience Arrangements received by Corporate Governance and Audit Committee <a href="#">Note 52 28th November 2022</a>.</p>	Specialist
		<p>Scrutiny Board Strategy &amp; Resources received and considered the Annual corporate risk management report – item 34 <a href="#">26<sup>th</sup> September 2022</a></p>	
		<p>Enquiries of Specialists – Chief Officer Policy and Intelligence</p>	

## LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

### Principle 5 - Managing risk and performance: (Ensuring that we can implement our plans)

We will manage risks and performance through robust internal control and strong public financial management

Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance type
	Legal and regulatory breach addressed as part of PACS service level risk register, giving assurance in relation to risks arising through delivering services through third parties.	Enquiries of Specialists – Head of Procurement and Commercial Service	Specialist
		Internal Audit sample testing of published decisions	Independent
We will have effective arrangements to plan and monitor our performance in line with our strategic objectives, and to identify and deal with any failure in service delivery.	<p>We have clearly articulated arrangements for performance management at corporate and directorate level. These arrangements seek to provide assurance in relation to the delivery of the Council's strategic plan.</p> <p>Key Performance Indicators underpin reporting of progress to Corporate Leadership Team and to Executive Board and will be reviewed in light of the adoption of the Best City Ambition.</p> <p>Scrutiny Boards have oversight of performance in relation to matters within their remit. They enhance performance through constructive challenge and debate on policies and objectives before, during and after decisions are made. Scrutiny inquiries are targeted to provide robust challenge and meaningful assurance that services are delivered to achieve value for money in terms of the effective, efficient and economic achievement of outcomes.</p>	<p>Survey of Internal Control</p> <ul style="list-style-type: none"> <li>• Arrangements to monitor performance including                             <ul style="list-style-type: none"> <li>○ arrangements to manage and escalate concerns</li> </ul> </li> </ul> <p>Examples of performance reports received by Executive during AGS period: Update on Thriving: The Child Poverty Strategy for Leeds item 68, and Annual Update on Migration Activity in Leeds item 74 <a href="#">19th October 2022</a></p> <p>Enquiries of Specialists – Chief Officer Policy and Intelligence</p> <p>Annual Corporate Performance Management report received by Executive Board – item 28 <a href="#">27th July 2022</a></p> <p>Corporate Governance and Audit Committee received the Annual Assurance Report on Performance Management Arrangements item 52 <a href="#">28th November 2022</a></p> <p>Examples of performance reports received by Scrutiny; Scrutiny Board (Adults, Health &amp; Active Lifestyles) item 57 - <a href="#">17th January 2023</a></p>	<p>Operational</p> <p>Specialist</p> <p>Independent</p>

## LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

### Principle 5 - Managing risk and performance: (Ensuring that we can implement our plans)

We will manage risks and performance through robust internal control and strong public financial management

Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance type	
		Scrutiny Board (Strategy & Resources) Performance Update – item 10 <a href="#">20<sup>th</sup> June 2022</a> ; Performance Report on Culture and An Efficient, Enterprising and Healthy Organisation Item 49 <a href="#">24th January 2022</a> ; Contact Centre Performance and Improvement Item 60 <a href="#">14th February 2022</a>		
We will have robust arrangements for internal control which are defined and documented, clearly communicated, effectively embedded, meaningfully monitored and regularly reviewed.	A new Contract Management process is being formalised under the e-tendering portal YORtender. Contract Management Plans are owned by Directorates via commissioners/contract managers and report on progress at relevant boards.	Enquiries of Specialists – Head of Procurement and Commercial Service		
	There are clearly articulated arrangements for internal control in respect of identified areas as follows	Survey of Internal Control <ul style="list-style-type: none"> <li>• The Council’s arrangements for Business Continuity Management including                             <ul style="list-style-type: none"> <li>○ Business Continuity Plans developed for the service</li> <li>○ Arrangements for monitoring, testing and review of business continuity plans.</li> </ul> </li> </ul> Corporate Governance and Audit Committee receive annual assurance reports:	Operational	
	Procurement; Decision making			Item 22 <a href="#">29th July 2022</a>
	Treasury Management			Item 9 <a href="#">24th June 2022</a>
	Planning decision making and enforcement arrangements			Item 34 <a href="#">03rd October 2022</a>
	Procurement statement			Item 22 <a href="#">29th July 2022</a>
	Corporate Risk and Resilience Arrangements			Item 53 <a href="#">28th November 2022</a>
	Business continuity			Item 53 <a href="#">28th November, 2022 Annual Report - Corporate Risk and Resilience Arrangements.</a>
	Corporate Performance management			Item 52 <a href="#">28th November 2022</a>
	Integrated Digital Service Controls			Item 64 <a href="#">6th February 2023</a>
Employment policies and procedures and employee conduct	Item 67 <a href="#">6th February 2023</a>			
			Specialist	

## LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

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Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance type
	Customer contact and satisfaction	Item 81 <a href="#">25th March 2022</a>	
	Our system of internal control for Information Management and Governance provides a framework for the processing of information in line with relevant legislation. Arrangements include in particular: <ul style="list-style-type: none"> <li>• creation, storage and disposal of information</li> <li>• information security</li> <li>• information access</li> <li>• information sharing</li> <li>• reporting and managing data breaches</li> </ul>	Website <a href="#">Privacy and data (leeds.gov.uk)</a>	Operational
		Survey of Internal Control <ul style="list-style-type: none"> <li>• The Council’s arrangements for information governance including:                             <ul style="list-style-type: none"> <li>○ Arrangements for records management and storage in accordance with document retention schedules</li> <li>○ Requirement to complete the information governance e-learning in accordance with corporate timescales</li> <li>○ Requirement to hold and transmit personal, confidential and sensitive information securely</li> <li>○ Requirement to report data breaches</li> <li>○ Requirements for Data Protection Impact Assessments and the mitigation of identified risks.</li> </ul> </li> </ul>	
		Corporate Governance and Audit Committee received the Annual Information Governance Report including the Annual Report of the Caldicott Guardian item 63 <a href="#">06<sup>th</sup> February 2023</a>	
Enquiries of Specialists – Data protection Officer			
Financial Management controls are integrated throughout our arrangements, including financial planning and budget	Survey of Internal Control <ul style="list-style-type: none"> <li>• The Council’s arrangements for financial management and control including:</li> </ul>	Operational	

## LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

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Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance type
	preparation and setting; in year budget management and monitoring; and closure of accounts and year-end reporting.	<ul style="list-style-type: none"> <li>○ Financial Regulations</li> <li>○ Arrangements for budget setting and monitoring</li> <li>○ Arrangements for obtaining financial advice and guidance</li> </ul>	
		Corporate Governance and Audit Committee received the Annual Assurance Report on Financial Management item 50 <a href="#">28th November 2022</a>	Specialist
		Internal Audit review of Invest to Save fund Internal Audit review of Strategic Investment Fund Acquisitions Internal Audit review of FMS Creditor Processes Internal Audit review of Purchasing Cards Internal Audit review of CIS Payments	Independent

## LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

### Principle 6 - Developing Capacity: (Getting the best out of our resources and our people)

We will develop the Council's capacity, including the capability of its leadership and the individuals within it.

Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance Type
<p>We will continually review how we use our assets and information to achieve outcomes efficiently and effectively.</p>	<p>Clear procedures underpin the receipt of Compliments and the investigation of complaints to inform the continuous improvement of the council and the way in which services are delivered.</p>	<p><a href="https://www.leeds.gov.uk">Complaints, compliments and feedback - let us know (leeds.gov.uk)</a></p>	Operational
	<p>Estate Management Strategy: The Four-year estate management strategy sets out the way in which the Council will strategically plan and manage its land and property assets across the city to ensure that it fulfils all of its priorities and to enable the people, the city and its businesses to thrive. The document sets out the vision, priorities and objectives helping us deliver a modern, efficient, sustainable estate and workplaces that remain fit for purpose as the world adapts to new ways – and places – of working. A live implementation plan is maintained by Strategic Asset Management.</p>	<p>Corporate Governance and Audit Committee received assurance report in relation to customer contact and satisfaction Item -<a href="#">25th March 2022</a>.</p>	Specialist
		<p>The Estate Management Strategy approved by Executive Board Item 78 <a href="#">17th November 2021</a></p> <p>Survey of Internal Control</p> <ul style="list-style-type: none"> <li>• Arrangements for governance in respect of Council land and buildings including                             <ul style="list-style-type: none"> <li>○ obtaining advice and guidance, and</li> <li>○ arrangements for liaison with Chief Asset Management and Regeneration Officer in respect of decisions relating to use of the Council's land and buildings.</li> </ul> </li> </ul>	Operational
		<p>Corporate Governance and Audit Committee received an assurance report in relation to estate management. Item 78 – <a href="#">20th March 2023</a></p>	Specialist
		<p>Internal Audit sample testing of published decisions Internal Audit review of Strategic Investment Fund Acquisitions</p>	Independent
	<p>Our digital capabilities play a central role in maximising the use of tools and technology to improve and transform the way the council works, provides services and engages with citizens We take a strategic approach to the collection and use of data to support our decisions, assess performance and drive improvement and have established the Office of Data Analytics.</p>	<p>Survey of Internal Control</p> <ul style="list-style-type: none"> <li>• Arrangements for governance of integrated digital services including                             <ul style="list-style-type: none"> <li>○ obtaining advice and guidance, and</li> <li>○ arrangements for liaison with Chief Digital and Information Officer in</li> </ul> </li> </ul>	Operational

## LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

### Principle 6 - Developing Capacity: (Getting the best out of our resources and our people)

We will develop the Council's capacity, including the capability of its leadership and the individuals within it.

Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance Type
		respect of decisions relating to use of digital technology.	
		Executive Board, 19 October 2022 - <a href="#">Leeds City Digital Strategy</a> - Digital innovation programme and <a href="#">Core Business Transformation (CBT)</a> across the council.	Specialist
		Scrutiny Board Strategy & Resources Inquiry – Integrated Digital Services – Vision and Plans	Independent
		Internal Audit sample testing of published decisions	
We will develop, maintain and implement arrangements which support and develop the capacity of Members and Officers.	<p>Officers: Our People Strategy sets out our ambition to be the best place to work, through exceptional employee experience, talented managers and leaders, and a culture underpinned by fairness, diversity and collaboration. Our people Strategy is supported by key offers including</p> <ul style="list-style-type: none"> <li>• Values &amp; behaviours</li> <li>• Leadership and management</li> </ul> <p>The Strategy also includes a focus on keeping our staff safe whilst building in flexibility across the workforce. We have developed a range of staff and manager facing communication tools and techniques including:</p> <ul style="list-style-type: none"> <li>• regular focussed meetings of BCLT, and extended BCLT</li> <li>• Written communications including weekly bulletins, BCLT notes, Tom's weekly message</li> </ul>	<p>Website: <a href="#">The best place to work – our people strategy 2020 to 2025 (leeds.gov.uk)</a></p>	Operational
		<p>Survey of Internal Control</p> <ul style="list-style-type: none"> <li>• Arrangements for management of staff including: <ul style="list-style-type: none"> <li>○ Welfare of employees</li> <li>○ Induction, training, and development</li> <li>○ Supervision, attendance, discipline</li> <li>○ Appraisals and 1-2-1s</li> <li>○ Access to the equipment necessary to fulfil their roles effectively</li> <li>○ Arrangements for obtaining advice and guidance in relation to Human Resources.</li> </ul> </li> </ul>	Operational
		Council approved the Pay Policy Statement Item 80 <a href="#">23rd February 2022</a> .	Operational



## LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

### Principle 6 - Developing Capacity: (Getting the best out of our resources and our people)

We will develop the Council's capacity, including the capability of its leadership and the individuals within it.

Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance Type
	<p>We have a broad range of arrangements to promote the health safety and wellbeing of employees including but not limited to:</p> <ul style="list-style-type: none"> <li>• Accidents and incidents at work</li> <li>• Employee advice, information, and counselling</li> <li>• Financial wellbeing</li> <li>• Mental health</li> <li>• Occupational health; and</li> <li>• Safeguarding</li> </ul> <p>Regular pulse surveys continue to enable communication and inform decision making.</p>	<p>Corporate Governance and Audit Committee received the annual assurance report in relation to employment policies and procedures and employee conduct Item 67 - <a href="#">6th February 2023</a>.</p>	Specialist
		<p>Health, Safety and Wellbeing Performance and Assurance Report Received by Executive Board item 55 <a href="#">21<sup>st</sup> September 2022</a></p>	Specialist
	<p>Members: The Member Induction Programme is provided following each local election. In addition a Training and Development Programme is developed in consultation with Members. The calendar of training is available to all Members, and remains agile to deal with emerging needs.</p>	<p>Enquiries of specialists – Head of Democratic Services</p>	Specialist
	<p>The Members Allowances Scheme is considered by the Independent Remuneration Panel and approved by Full Council. The scheme is subject to an annual uplift in line with the negotiated headline NJC pay award. The Scheme has been reviewed by the IRP and will be submitted to Council for approval.</p>	<p>Council received adopted the Members Allowances Scheme item 69 <a href="#">Report of the Independent Remuneration Panel 18/01/23</a> The City Solicitor applies the uplift under delegated authority last decision taken <a href="#">18<sup>th</sup> January 2023</a></p>	Operational
<p>We are working towards a standardised, robust, and sustainable managed digital offer that meets Member's workstyle requirements, in line with the digital workplace. The offer will meet accessibility needs, be subject to clear training and standardised support, and support the ambition of members going paper-free.</p>	<p>Member Management Committee received a report on the DIS Offer for Elected members Item 7 <a href="#">16th July 2021</a></p>	Operational	

# LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

## Principle 6 - Developing Capacity: (Getting the best out of our resources and our people)

We will develop the Council's capacity, including the capability of its leadership and the individuals within it.

Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance Type
<p>We will ensure that leadership roles are clear and defined and that relationships between elected Members and officers work effectively to set and implement our strategic goals.</p>	<p>The Council operates executive arrangements on the strong leader and cabinet model.</p> <p>Roles and responsibilities are clearly defined through the constitution including provision in relation to:</p> <ul style="list-style-type: none"> <li>• Responsibility for functions</li> <li>• Procedure rules</li> <li>• Codes and protocols provide further guidance in respect of member and Officer roles and responsibilities</li> </ul> <p>Each Director maintains a sub-delegation scheme making clear provision for the discharge of functions within their remit, although each retains accountability for functions delegated to them through the Officer Delegation Scheme.</p> <p>There are clear leadership arrangements in place, enabling leaders and managers across the council to engage and share knowledge and experience to inform decision making and cascade information:</p> <ul style="list-style-type: none"> <li>• Corporate Leadership Team (Directors)</li> <li>• Directorate Leadership Teams (Directors and their direct reports within directorates)</li> <li>• Best Council Leadership Team (Directors and their direct reports across the council)</li> <li>• Extended BCLT (All JNC grade officers across the council)</li> <li>• Cross cutting boards (E.g., BCT: Financial Challenge)</li> </ul>	<p>Constitution <a href="https://leeds.gov.uk/council-and-democracy">Council and democracy (leeds.gov.uk)</a></p> <p>Members of the Council – Article 2</p> <p>Chairing the Council – Article 5</p> <p>The Executive - Article 7</p> <p>Officers – Article 12</p> <p>Review and Revision of the Constitution - Article 15</p> <p>Responsibility for Functions - Part 3</p> <p style="padding-left: 20px;">Local Choice functions – Section 1</p> <p style="padding-left: 20px;">Council Functions – Section 2</p> <p style="padding-left: 20px;">Executive Functions - Section 3</p> <p>Executive and Decision-Making Procedure Rules – Part 4 b</p> <p>Officer Employment Procedure Rules – Part 4 j</p> <p>Protocol for Member / Officer Relations – Part 5 c</p> <p>Protocol for the Roles of Members and Officers in Decision Making – Part 5 d</p> <hr/> <p>Website</p> <p>Sub delegation schemes <a href="https://leeds.gov.uk/council-and-democracy">Council and democracy (leeds.gov.uk)</a></p> <hr/> <p>The Leader's executive arrangements were reported to Full Council Item 16 <a href="#">26<sup>th</sup> May 2022</a></p>	<p>Operational</p>

## LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

### Principle 6 - Developing Capacity: (Getting the best out of our resources and our people)

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Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance Type
	<ul style="list-style-type: none"> <li>• Service boards (E.g.</li> <li>• Project and programme boards (E.g., Core Business Transformation Board)</li> </ul> <p>A review of these internal governance arrangements will be undertaken as the council implements the new organisational plan.</p>	<p>Survey of Internal Control</p> <ul style="list-style-type: none"> <li>• Arrangements for delegated decision making including:</li> <li>• The Protocol on member Officer Relations and Protocol for the Role of Members and Officers in Decision Making</li> <li>• Officer delegation scheme and the Director's Sub-delegation Scheme</li> <li>• Internal governance arrangements within the directorate (boards, panels &amp; other forum that control and influence service delivery although not formal decision-making bodies)</li> <li>• Arrangements for briefing / consulting relevant elected Members (ward Members, portfolio holders etc.) as necessary and appropriate and</li> <li>• arrangements for the referral of appropriate matters to Executive Board</li> </ul>	Operational
		<p>Corporate Governance and Audit Committee received report on Governance Arrangements for Implementation of Best City Ambition item 10 <a href="#">24th June 2022</a></p>	Specialist

## LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

### Principle 7 - Effective accountability: (Ensuring our processes are clear, robust, and open to review)

We will implement good practices in transparency, reporting and audit, to deliver effective accountability.

Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance type
We will provide clear, accessible, and timely information so that we can be held to account for the decisions we take and for our performance.	Approach to open and transparent decision making detailed at Principle 2 above. Publication of agendas and items of meetings, and reports and delegated decision notices in respect of officer decisions ensure decisions are available for consideration and challenge. Call in arrangements permit the consideration of executive decisions which have been made but not yet implemented by Scrutiny Boards	Elective Care Hubs proposals and draft response considered by Scrutiny Board (Adults, Health and Active lifestyles) item 23 <a href="#">20<sup>th</sup> September 2022</a>	Operational
		The Corporate Governance and Audit Committee receive an update on Urgent Decisions taken by the Council as part of the Internal Audit update reports. Item 36 <a href="#">3<sup>rd</sup> October 2022</a>	Specialist
	Performance of Committees Council Committees will be held to account for the discharge of the matters within their remit		Operational
	Community Committees	Item 55 <a href="#">16th November 2022</a>	
	Plans Panels and Development Plan Panel;	Item 54; <a href="#">16th November 2022</a>	
	Corporate Governance and Audit Committee	Item 12 <a href="#">24<sup>th</sup> June 2022</a>	
	Climate Emergency Advisory Committee	Item 22 <a href="#">20<sup>th</sup> March 2023</a>	
	Licensing Committee	Item 92 <a href="#">23rd March 2022</a>	
	Standards and Conduct Committee	Item 93 <a href="#">23rd March 2022</a>	
	The Council's accounts are prepared and published in accordance with legislative requirements and proper practice, including the period of public inspection prior to finalisation. Comments and questions arising during period of public inspection are reported to Corporate Governance and Audit Committee	Corporate Governance and Audit Committee <ul style="list-style-type: none"> <li>Approve interim annual governance statement and publication drafts of the accounts Items 24 <a href="#">29th July 2022</a></li> <li>approve the final annual governance statement Item 38 <a href="#">03rd October 2022</a></li> <li>approve the audited accounts. Item 66 <a href="#">6th February 2023</a></li> </ul>	Operational
Scrutiny: Our scrutiny and oversight arrangements are set out in Article 6 and the Scrutiny Board Procedure Rules in the Constitution.	Survey of Internal Control <ul style="list-style-type: none"> <li>Service included in work undertaken by Scrutiny Board</li> <li>If yes give details of the Scrutiny</li> </ul>	Operational	

## LEEDS CITY COUNCIL CORPORATE GOVERNANCE FRAMEWORK

### Principle 7 - Effective accountability: (Ensuring our processes are clear, robust, and open to review)

We will implement good practices in transparency, reporting and audit, to deliver effective accountability.

Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance type
	The Vision for Scrutiny, contained within Article 6 sets out the “Four Principles of Good Scrutiny” and recognises the seven conditions necessary to succeed in the vision.	<ul style="list-style-type: none"> <li>If yes, have recommendations arising from the work been / are being implemented in accordance with identified timescales under an established action plan.</li> </ul>	
		Enquiries of Specialists – Head of Democratic Services as Proper Officer for Scrutiny	Specialist
		Council Received the Annual Report of the Scrutiny Boards – Item 28 <a href="#">20<sup>th</sup> July 2022</a>	Operational
We will have effective arrangements to provide independent assurance in respect of our governance arrangements	The Local Code of Governance reflects the Delivering Good Governance in Local Government Framework CIPFA 2016. The governance framework and assurance map recognises the range of assurance sources available. Independent Assurance is available from the Internal Audit Service which provides a professional and independent service in conformity with PSIAS and LGAN to deliver a risk-based audit plan, supplemented by additional audit activity providing independent assurance in respect of all systems of internal control.	<p>Survey of Internal Control</p> <ul style="list-style-type: none"> <li>Service received an internal audit review</li> <li>If yes give details of the review</li> <li>If yes, have recommendations arising from the review been / are being implemented in accordance with identified timescales under an established action plan.</li> </ul>	Operational
		Corporate Governance and Audit Committee received internal audit update reports item 8 <a href="#">24<sup>th</sup> June 2022</a> , item 36 <a href="#">3rd October 2022</a> , item 65 <a href="#">3<sup>rd</sup> February 2023</a>	
		Corporate Governance and Audit Committee received the Annual Opinion of the Head of Internal Audit. Item 37 <a href="#">3rd October 2022</a>	Independent
		Corporate Governance and Audit Committee received PSIAS External Quality Assessment Item 4 <a href="#">17th December 2021</a>	Independent
We will welcome peer challenges, reviews and inspections from regulatory bodies, and will	The Protocol for the Co-ordination of External Inspection Reports provides for the publication of external inspection reports, and for the review and monitoring of action plans arising from them.	<p>Constitution <a href="#">Council and democracy (leeds.gov.uk)</a>            Protocol for the Co-ordination of External Audit and Inspection Reports – Part 5 f            Website – external audit and inspection reports</p>	Operational

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implement action plans which arise from them	Executive Board, Scrutiny Boards and Corporate Governance and Audit Committee may receive reports and action plans in accordance with their terms of reference	<a href="https://leeds.gov.uk">Council and democracy (leeds.gov.uk)</a> Survey of Internal Control <ul style="list-style-type: none"> <li>• Service received an external review (from External Audit, the Health, and Safety Executive (HSE), Ofsted, the Information Commissioners Office (ICO), Care Quality Commission (CQC), Peer Reviews or other body)</li> <li>• If yes give details of the review</li> <li>• If yes, have recommendations arising from the review been / are being implemented in accordance with identified timescales under an established action plan.</li> </ul>	
	The External Auditors are routinely represented at Corporate Governance and Audit Committee, providing regular updates in addition to formal reporting requirements.	External Auditors presented Corporate Governance and Audit Committee with Annual Report and VfM Report 2020/21 Item 35 <a href="#">3<sup>rd</sup> October 2022</a> Audit Plan 2021/22, item 39 <a href="#">3<sup>rd</sup> October 2022</a> Audit Risk Assessment Enquiries 2021/22, item 40 <a href="#">3<sup>rd</sup> October 2022</a> Audit Report item 66 <a href="#">6<sup>th</sup> February 2023</a> Final Report and ICT Report, item 79 <a href="#">20<sup>th</sup> March 2023</a>	Independent
	The Council received a Local Government Association Peer Challenge during 22-23.	The Executive Board received an Action Plan following this review. Item 111 <a href="#">8<sup>th</sup> February 2023</a>	
	Ombudsman	Executive Board receives reports in relation to findings of maladministration.	Operational / Independent

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Our Commitment	The Governance Framework (What we do)	The Assurance Map (How we know it works)	Assurance type
	<p>Appropriate arrangements, principally administered centrally by the corporate complaints team, in place to capture, record and monitor Ombudsman Complaints regardless of whether a finding of maladministration leading to injustice is found.</p> <p>The Monitoring Officer also reserves the right to make a report of unlawfulness to Full Council although in actuality that has not been necessary.</p> <p>In addition, CLT and strong bi-partisan relationships between the Monitoring Officer, Head of Paid Service, the S.151 Officer and Directors provide stream-lined mechanisms for the sharing of relevant information relating to Ombudsman complaints.</p> <p>Work is currently taking place to enhance formal corporate oversight of Ombudsman complaints by CLT.</p>	<p>The Ombudsman Public Report received at Executive Board item 44, <a href="#">21<sup>st</sup> September 2022</a></p> <p>If necessary, Council receives reports of Monitoring Officer in relation to findings of maladministration None received during reporting period</p> <p>Enquiries of Specialists - City Solicitor</p>	<p>Specialist</p>