

ANNEX 1 - KEY ACTIONS 2019

Key Action	Context in 2020 AGS	Progress	Assurance	Lead Officer	Status
Key Action: that arrangements for Directors' acceptance of offers of gifts and hospitality be reviewed to ensure there is third party oversight of offers prior to these being accepted.	Our Governance Framework - Ethical Governance	The gifts and hospitality policy has been amended to require that Directors gain approval from the Chief Executive and in turn the Chief Executive gains approval from the Leader.	CGA – matters arising July	Chief Officer Human Resources	Complete
Key Action: that a process be introduced whereby the annual review of gifts and hospitality requires 'nil returns' to be submitted.	Our Governance Framework - Ethical Governance	A new process requiring employees in "high risk posts" to make a positive declaration regarding compliance with the gifts and hospitality policy has been agreed.	CGA - matters arising July	Chief Officer Human Resources	Complete
Key Action: Our Internal Audit Plan for 2019/20 includes work to sample check HR policies to provide assurance as to the extent to which they are consistently and properly applied across the council.	How we manage audit and risk - Internal Audit	Internal Audit Reports received throughout the year have reported outcomes of audits in relation to:- <ul style="list-style-type: none"> recruitment check, gifts and hospitality Register of Interests 	CGA - various	Head of Internal Audit	Complete
Key Action: We will further review our ethical framework arrangements in light of any future legislative change or statutory guidance issued by Government or the Local Government Association.	Our Governance Framework - Ethical Governance	The Monitoring Officer is engaging with MHCLG as part of small group to formulate steps to implement COSIPL recommendations. Little progress has been made given constraints on parliamentary time. LGA have developed draft Members' Code of Conduct for consultation.	Annual report of S&CC	City Solicitor	Arrangements in place
Key Action: We will actively pursue the appointment of an Independent Member to the Corporate Governance and Audit Committee in the 2019/20 Municipal Year.	How we ensure Oversight and accountability – Corporate Governance and Audit Committee	Role description and person specification developed; applications invited and one received; decision to undertake wider search to ensure diverse and independent field.	Annual report of CGA	City Solicitor	Arrangements in place – action in 2020 AGS

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Key Action: We will progress the 15 Actions identified in our Annual Standards Report.	How we ensure Effective financial management – value for money	Development of Attendance, Attainment and Achievement Strategy Report on exclusions, elective home education and off-rolling Annual Standards Report 18-19 uses available standards data to underpin the priorities and strategies outlined to improve the relevant outcomes moving forwards	Exec Board July 19, Sept 19, July 20	Director of Children and Families	Arrangements in place
Key Action: We will produce a performance report in September 2019 to review our progress in delivering the Best Council Plan during 2018/19.	Achieving our Aims and objectives – monitoring our achievements	Annual report shared with Executive Board and CGAC for consideration.	Exec Board Sept 19 & CGA Nov 19	Chief Officer Strategy and Policy	Complete
Key Action - During 2019/20 Internal Audit will review and follow up the arrangements in place for the approval and management of waivers and report the outcome of their work to the Corporate Governance and Audit Committee.	How we manage audit and risk – Internal Audit	Follow up audit supports a finding of good assurance. Contracts Procedure Rules refreshed and supplemented with further guidance outlining legal and regulatory framework.	CGA – June 2020	Head of Internal Audit	Complete
The committee will also review the implementation of the new Procurement Strategy through the Annual Procurement Assurance Report from the Chief Officer (Financial Services).	How we ensure Effective financial and operational control and value for money - procurement	Progress made in respect of value for money, governance, social value, commercialisation, and strategic suppliers since adoption of the Procurement Strategy in June 2019	CGA – June 2020	Chief Officer Financial Services	Complete
Key Action - After the strategy has been operational for a year, further baseline figures will be considered for introduction into KPIs in order to monitor performance.	How we ensure Effective financial and operational control and value for money - procurement	Performance monitoring has taken place for waivers, non and off-contract spend, and expenditure with local suppliers and SME's. Work is being undertaken to develop a Leeds specific set of themes, outcomes and measures in relation to social value in procurement.	CGA – June 2020	Chief Officer Financial Services	Arrangements in place

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Key Action: In 2019 we are seeking to accredit to “Disability Confident Leader” which is level 3 of the Disability Confident Employer framework (LCC is currently accredited at level 2)	Context - Our relationships – Our workforce	Council awarded Disability Confident Leader in October 2019	Executive Board consultative meeting March 2020	Chief Officer Human Resources	Complete
Key Action: Internal Audit will review assurance arrangements relating to Community Cohesion and report their findings to the Corporate Governance and Audit Committee as part of the delivery of the Audit Plan.	How we manage audit and risk – internal audit	The planned internal audit review of the community cohesion arrangements was to take place in the final quarter of 2019/20 but has been deferred for consideration in the 2020/21 plan.	CGA – June 2020	Head of Internal Audit	Arrangements in place
Key Action: We will continue to address challenges in respect of: <ul style="list-style-type: none"> • telephone waiting times; • transitioning to digital channels, by ensuring training and support is provided as a priority in order that service users are not disenfranchised from the services they need to access. 	Context - Our relationships –Our customers	There has been successful work to reduce call waiting times on housing lines but need for further improvement on council tax and housing benefit lines. Significant work-streams support the transition to digital channels including staff training and customer support.	CGA – January 2020	Chief Officer Customer Access and Welfare	Arrangements in place – action in 2020 AGS
Key Action: We will ensure that we continually review the financial landscape in order to alleviate the uncertainty and challenge to the delivery of our ambitions and our financial planning.	How we ensure effective financial and operational control and value for money – financial landscape	Annual audit letter recognises arrangements to routinely monitor and mitigate variances.	Exec Board CGA March 2020	Chief Officer Financial Services	Arrangements in place
Key Action: The financial management arrangements will continue to be kept under review during the year.	How we ensure effective financial and operational control and value for money – arrangements for financial control	Framework of financial control reviewed; fit for purpose; up to date; embedded and regularly complied with.	CGA March 2020	Chief Officer Financial Services	Arrangements in place

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Key Action: That a combined Annual Information Governance Assurance report be prepared that includes oversight of the Caldicott Guardian role and that in the interim Caldicott governance arrangements benefit from a peer review by organisations with the same responsibilities.	Our governance framework – information governance	CGA noted that following benchmarking in relation to Caldicott Guardian functions work has already taken place to learn and share best practice with a local authority; and that there are plans to undertake similar work with one of the core cities known to be ‘standards exceeding’ in the coming year	CGA March 2020	Director of Resources and Housing / Director of Adults and Health	Complete
Key Action: Our Corporate Governance and Audit Committee will regularly review plans to deal with outstanding and emerging issues relating to PSN Certification.	Our governance framework – information governance	Through regular oversight Corporate Governance and Audit Committee has <ul style="list-style-type: none"> ensured appropriate escalation of concerns; noted enhanced arrangements for governance of the project put in place in January 2020; received assurance that Access 2003 runtime will be switched off on 30th June 2020; noted the project plan and governance arrangements in place to ensure that the Council has ceased use of Access 2010 by 30th June 2021. 	CGA	Director of Resources and Housing	Arrangements in place
Key Action – we will review the Guidance for Scrutiny issued by Government in May 2019 and report to Members any implications or proposals for change.	How we ensure oversight and accountability – overview and scrutiny	Monitored implementation of amended Scrutiny Board Procedure Rules	Annual Report of Scrutiny Boards – July Council	City Solicitor	Complete
Key Action: Internal Audit Plan will review our governance arrangements for partnerships	How we manage audit and risk – internal audit	Internal audit included in review of arrangements and development of checklist. To review in practice when embedded for twelve months.	CGA	Head of Internal Audit	Arrangements in place

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Key Action: We will aim to develop guidance to help ensure there is a consistent and effective approach across the authority for managing risk with partners.	How we manage audit and risk – risk management	Governance & risk checklist approved by CLT in Jan 2020. Thresholds to be developed above which checklist to be applied.	CGA June	Chief Officer Strategy and Policy / Chief Officer Financial Services	Arrangements in place
Key Action: Further work will be undertaken to extend the Inclusive Anchors programme beyond the largely publicly funded anchors to private sector businesses and exploring the development of an inclusive business charter for SME businesses with a particular focus on encouraging more employers to pay the Living Wage as promoted by the Living Wage Foundation.	Context - Our relationships – Our influence	The Leeds Inclusive Anchors Network now comprises 11 organisations with over 57,000 employees, one in seven of the Leeds' workforce, and an annual expenditure in excess of £2 billion per year. 10 of the Anchors are Living Wage employers with one which seeks to move towards this.	Executive Board Consultative March 2020	Chief Officer Human Resources	Arrangements in place
Key Action: Our Executive Board will review the arrangements in the autumn.	Context - Our relationships – our partners	<ul style="list-style-type: none"> •The Safeguarding Partnership continues to be ambitious and sets high expectations of its partners; •Strong leadership has improved the safeguarding culture and practice within Leeds; •Leeds has developed a robust response to the exploitation of children and young people by developing safeguarding structures in respect of those at risk of or experiencing exploitation; •the LSCP ensures that it seeks assurance on any issues that emerge during the year either locally or nationally ensuring that there is no complacency across the system in Leeds 	Exec Board Jan 2020	Director of Children's Services / Director of Adults and Health	Complete

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Key Action: The arrangements whereby, Members may refer applications to Plans Panel for determination and the governance arrangements for Enforcement will both be reviewed by our Corporate Governance and Audit Committee	How our functions are exercised – effectiveness of governance framework	Officers have developed guidance for all councillors in relation to referrals and material considerations.	CGA November	Chief Planning Officer	Complete
Key Action: The implementation of our new decision making will be effectively communicated with arrangements monitored during the year and reported back to the Corporate Governance and Audit Committee	How our functions are exercised – decision making framework	Arrangements have been communicated and implemented and are being routinely monitored.	CGA June	City Solicitor	Complete
Key Action: Our Member Development Strategy will be reviewed during 2019/20	Context - Our relationships – our councillors	Induction programme has been reviewed with engagement from recent cohorts, and Member Development Programme reviewed through Member Development and ICT working group. Member Development Strategy 2020-25 to be submitted to Member Management Committee for approval.	MD&ICT working group & MMC	City Solicitor	Arrangements in place

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<p>Key Action: To sustain our Apprenticeship approach we will:</p> <p>Improve identification and forecasting through work-force planning, setting out where our future Apprentices will come from.</p> <p>Look at how we use opportunities to support priority groups to access work with us – especially with entry level Apprenticeships.</p> <p>Ensure that meeting the target also reconciles with the resources we have via the Levy.</p>	<p>Context - Our relationships – our workforce</p>	<p>The Apprenticeship programme within the Council continues to grow, with now over 600 live apprentices. We continue to monitor the levy spend to ensure we are making effective use of the fund.</p>	<p>Executive Board Consultative March 2020</p>	<p>Chief Officer Human Resources</p>	<p>Arrangements in place</p>
<p>Key Action: We will keep the arrangements for Member Safety under review during the year through our Member Management Committee.</p>	<p>Context - Our relationships - Our Councillors</p>	<p>Member Safety Task Group established by Member Management Committee – details of remit reported to Standards and Conduct Committee.</p>	<p>Member Safety Task Group & Standards and Conduct annual report</p>	<p>City Solicitor</p>	<p>Arrangements in place</p>
<p>Key Action: We will deliver an action plan with our partners to address areas of improvement highlighted by the CQC in their review of health and social care services in Leeds.</p>	<p>External oversight – External Inspection and Oversight</p>	<p>Of the 36 actions identified in the plan, 27 were rated as green (progress matches the objective); 9 as amber (in progress); and none rated as red (insufficient or no progress.)</p>	<p>Scrutiny Board (Adults Health and Active Lifestyles) Oct 2019; March 2020</p>	<p>Director of Adults and Health</p>	<p>Arrangements in place</p>

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<p>Key Action. We will, through the delivery of our Service Improvement Plan, build on the city's recent progress and seek to continually improve services for children and families in the city. Our plan sets out how we will achieve these ambitions.</p>	<p>External oversight – External Inspection and Oversight</p>	<p>The SIP actions/outcomes are monitored by the Children and Families Improvement team and reported to the Children and Families Leadership meetings.</p>	<p>Children and Families Leadership Team</p>	<p>Director of Children and Families</p>	<p>Arrangements in place</p>