

Public Interest Report - Implementation Plan

| Ref | Action | Officer Lead | Linked to other actions | Actions to be undertaken | Outcomes | Deadline Date | Completed Y/N | RAG Status |
|--|--|--------------|-------------------------|---|--|---------------|---------------|------------|
| Recommendation One (and Recommendation Five) | | | | | | | | |
| Adopt and apply appropriate standards for business case preparation in relation to exit and pension discretions (R1) | | | | | | | | |
| The Council should review its policies and procedures to reflect Government guidance in the use of non-disclosure agreements. (R5) | | | | | | | | |
| R1 (1) | Review of HR processes currently in place relating to the Council's use of settlement agreements in relation to its employees including: | | | | | | | |
| R1 (1.1) | Commission specialist employment law advice to assist in the formulation of a fit for purpose framework and guidance for HR staff and other key staff such as legal and finance, including consideration of information security data protection compliance. | DM/TF | | Request specialist employment advice. Agreed framework and guidance to be shared with Trade Unions / Internal Audit and produce final version. To be agreed at CCNC, A&G and SMU meetings. Tabled at SMU on 18/10/21. | Agreed framework and guidance in place for employee settlement agreements. | 31/08/21 | Y | |
| R1 (1.2) | Ensure revised business case template has appropriate sign off and that the Head of Paid Service, Monitoring Officer and S151 Officer have oversight of all exit packages and settlement agreements | DM/TF | | As above | To be included in the framework and guidance as above. | 31/08/21 | Y | |
| R1 (1.3) | Consultation with Trade Unions and Internal Audit on proposed framework, guidance and sign off process | TF | | Produce framework and guidance for employee settlement agreements. | Agreed framework and guidance in place for employee settlement agreements. | 30/09/21 | Y | |

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| R1 (1.4) | Approval of the revised framework will be sought from CCNC, SMU and presented to Audit & Governance. | TF | | Agreed framework and guidance to be agreed with Trade Unions, SMU and tabled at Audit & Governance Committee - scheduled for 09/09/21. Agreed at SMU on the 18/10/21. | Agreed framework and guidance in place for employee settlement agreements. | 30/09/21 | Y | |
| R1 (1.5) | Review of the scheme of delegation for Officers in terms of initial authority to enter into an agreement and approvals for the content of such documents including the overall responsibility of the Head of Paid Service in this process. | JB | | Review of scheme of delegation for Officers. Agree with IF and then with CMT Members. | Agreed revised Scheme of Delegation to be included in the CYC Constitution. | 31/08/21 | Y | |
| R1 (1.6) | Review of the scheme of delegation for Executive Members in terms of initial authority to enter into an agreement and approvals for the content of such documents including the overall responsibility of the Leader of the Council in this process. | JB | | Review of Scheme of Delegation for Executive Members. Agree with IF and then with Executive Members. | Agreed revised Scheme of Delegation to be included in the CYC Constitution | 31/08/21 | Y | |
| R1 (1.7) | Review of the scheme of delegation as to the role of Elected Members in this process (taking into account whether the employee is a chief officer or non-chief officer) | JB | | Review of Scheme of Delegation for Elected Members. Agree with Group Leaders. | Agreed revised Scheme of Delegation to be included in the CYC Constitution | 31/08/21 | Y | |
| R1 (1.8) | Inclusion of a 6 monthly review of all exit packages by internal audit. | TF | | Include in process & guidance at ref 1.1. Add to A&G Committee forward plan for 6 monthly review. | 6 monthly review to be undertaken by A&G and Internal Audit | 31/08/21 | Y | |
| R1 (1.9) | Annual monitoring of the use of a revised framework will be undertaken by the Audit & Governance Committee; | TF | | Add to A&G Committee forward plan for yearly review. | Annual review to be undertaken by A&G | 31/08/21 | Y | |

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| R1 (1.10) | Consider function and composition of Staffing Matters & Urgency Committee as part of review of Constitution (links to recommendation 3). | JB | R3 (1) | Include as part of the CYC Constitution review. Constitution will now be discussed at the A&G Committee on 01/12/21 and then to Full Council in April. | Include in CYC Constitution. | 30/09/21 | Y | |
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Recommendation Two
Decision notes should be maintained that document the factors that explain the case for the use of public funds under the scheme of delegation such as where payments exceed contractual entitlements.

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| R2 (1) | Pay Elements & Discretion | | | | | | | |
| R2 (1.1) | A review of all pay elements upon which discretions can be applied both whilst in employment and upon exit. | TF | | Undertake review of all pay elements and include controls and sign off. Agree with JB/DM once complete for inclusion in CYC's Scheme of Delegation. Include in report for SMU and then in Constitution under Scheme of Delegation. | Include all pay elements in CYC's Scheme of Delegation | 30/09/21 | Y | |
| R2 (1.2) | For each pay element to identify the process, the controls and sign off process. | TF | | As above | Include all pay elements in CYC's Scheme of Delegation. | 30/09/21 | Y | |
| R2 (1.3) | To consult with the trade unions on this process. | TF | | Consulted with Trade Union on the process. | Include all pay elements in CYC's Scheme of Delegation. | 30/09/21 | Y | |
| R2 (1.4) | The above to be included in one document for sign off via CCNC. | TF | R1 (1.4) | Once review complete table paper at the CCNC meeting. | Include all pay elements in CYC's Scheme of Delegation. | 30/09/21 | Y | |
| R2 (1.5) | Instructions and guidance will be issued to all Officers about the importance of record keeping. | TF | | Once review complete guidance to be produced and issued to all Officers re process for record keeping. | Include all pay elements in CYC's Scheme of Delegation. | 30/09/21 | Y | |

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| R2 (2) | The introduction of a revised framework detailed under Recommendation One and Five will be accompanied by Officer training and development; a key part of that will be re-iterating the importance of maintaining clear records | TF | R1 (1.1) | Include in revised framework. Put in place relevant Officer and Training Programme. Sent out relevant communications to staff. Include in staff induction programme. Provide mandatory training through Leading Together sessions on 7th October 2021 and they then cascade to their teams. TF to raise at CLG and then arrange for HR staff to be trained. Date will now be later than expected. | Office and Training Programme in place. | 30/09/21 | Y | |
| R2 (3) | The accompanying scheme of delegation will build in key points in time whereby reviews and decisions need to be captured by Officers. | JB/TF | R1 (1.5) R1 (1.6) | Include in CYC's Scheme of Delegation. | Include all pay elements in CYC's Scheme of Delegation | 30/09/21 | Y | |
| R2 (4) | Financial decisions affecting Chief Officers will require the approval of Staffing Matters and Urgency Committee and relevant provisions will be included within the review of the Council's Constitution. | JB/TF | | Process to be put in place to ensure Financial Decisions for Chief Officers are approved by the SMU. | Include in CYC Constitution. | 30/09/21 | Y | |

Recommendation Three

Review the design of governance policies and procedures to manage conflicts of interest (including self-interest threats). This should include updating the Council's constitution and scheme of delegation

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| R3 (1) | A fundamental review of all aspects of the Council's Constitution has already commenced and a draft has been prepared by the Monitoring Officer. It is proposed that all Elected members will have the opportunity to share their views on the draft which will be shared with the Audit & Governance Committee as part of their formal role as custodians of the constitution. The Audit & Governance Committee will be invited to make recommendations to Full Council in terms of any amendments to the Constitution. | | | All relevant work has been completed by Officers and is now with A&G Committee to make a recommendation to full council. | | | | |
| R3 (1.1) | The Monitoring Officer will undertake a six monthly review of all aspects of the constitution. | JB | | Put in place process for 6 monthly review | Process in place for a 6 monthly review. | 30/09/21 | Y | |
| R3 (1.2) | The Audit & Governance Committee will undertake an annual review of the Constitution to ensure it remains fit for purpose and report its findings to Full Council | JB | | Add to A&G Committee forward plan for yearly review. | Process in place for yearly review. | 30/09/21 | Y | |
| R3 (1.3) | Guidance will be provided with all meeting agendas to assist Elected Members in the identification or not of a conflict of interest (this will be delivered as part of the work for Recommendation Four). | JB | R4 (1.5) | Guidance and Version Control to be produced for all public meeting agendas. Constitution included on agenda for A&G meeting on 08/09/21 for approval. Then to Full Council in March 2022. | Include Version Control in CYC's Constitution. | 30/09/21 | Y | |

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| R3 (1.4) | Mandatory training will be implemented for all Officers and Elected Members to inform as to the purpose and function of the Constitution and highlight its importance in terms of assisting with the identification of conflicts of interest and structure of schemes of delegation for both Officers and Elected Members. | JB / TF | | Package of mandatory training to be produced and agreed with Elected Members. Training dates all in place for Elected Members, CMT Members and relevant officers | Training in place and included as part of CYC's Constitution. | 30/09/21 | Y | |
| R3 (1.5) | The Council's Corporate Management Team will undertake six monthly reviews of the Officer Schemes of Delegation in place which arise from the Council's Constitution. | JB | | Add to CMT forward plan | Officer Scheme of Delegation to be reviewed on 6 monthly basis at the CMT meeting. | 30/09/21 | Y | |
| R3 (1.6) | Review and formalise the existing governance assurance processes between Internal Audit, the Head of Paid Service, Monitoring Officer and Section 151 Officer. | JB / DM | | Update Audit Plan to include Governance as an underlying theme of every audit. | Process in place to ensure Governance assurance processes between Internal Audit and relevant Officers. | 30/09/21 | Y | |
| R3 (1.7) | Present a quarterly report to the Corporate Management Team to monitor the Council's Governance Framework. | JB / DM | | Add to CMT forward plan | Quarterly report to CMT meeting. | 30/09/21 | Y | |
| R3 (1.8) | Review the terms of reference and composition of Staffing Matters & Urgency Committee (as part of the review of the constitution) as outlined in Recommendation 1 above. | JB | R1 (1.10) | Review ToRs for the SMU. | Agreed final ToRs to be included in the CYC Constitution. | 30/09/21 | Y | |
| R3 (1.9) New | Revised CYC Constitution to be formally approved by Full Council | JB | | Constitution to be tabled at May's Full Council | Revised CYC Constitution agreed and will be published on 25/05/22. | 31/05/21 | Y | |

Recommendation Four

The Council should ensure all Members fully understand the requirement of the Code of Conduct in relation to declaration of interests.

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| R4 (1) | The Council will work towards the adoption of the Model Code of Conduct issued by the LGA which will replace the current Code of Conduct and procedure for the handling of complaints: | | | | | | | |
| R4 (1.1) | The Joint Standards Committee will oversee the implementation of the Model Code of Conduct and make recommendations via the Audit & Governance Committee to Full Council. | JB | | Work started, workshop held on 23/06/21 with Hoey Ainscough with Chair and Vice Chair of A&G with further meeting on 06/07/21. Proposal taken to Full Council in May. Agreed will now be taken to Full Council in October for agreement and then will be included in the Constitution. Training starts on 09/09/21. Mop up training currently taking place. | Implementation of the Model Code of Conduct. | 31/08/21 | Y | |
| R4 (1.2) | The Council will commission specialist support to assist with the development, implementation and mandatory training of all Elected Members (and key officer groups) in respect of the Model Code of Conduct, awareness raising of conflicts of interest and the declaration of interests. | JB/TF | | Process to be put in place to develop training with Hoey Ainscough. Training to be undertaken with the Leading Together group. Look at options for MYLO to hold training records. | Implementation of the Model Code of Conduct. | 31/07/21 | Y | |

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| R4 (1.3) | Mandatory training will be required to undertaken by all Elected Members on an annual basis. | JB/TF | | Look at options for MYLO to hold training records. Include in CYC Constitution. Produce outline of Election Members Induction by 30/09/21 but will be work in progress until next Elections. Agree with A&G Committee. Produce Elected Members' handbook. Training sessions with Political Groups being arranged for September 2021 and October 2021. Then Officer training will be scheduled. Induction programme being developed for September 2021. | Implementation of the Model Code of Conduct. | 30/09/21 | Y | |
| R4 (1.4) | The Corporate Leadership Group (all Chief Officers and their direct reports) will receive mandatory training in respect of the Members Code of Conduct. | JB/TF | | Working with Hoey Ainscough to create training programme. Look at options to use MYLO for delivery and recording of training. Training sessions with Political Groups being arranged for September 2021 and October 2021. Then Officer training will be scheduled. Induction programme being developed for September 2021. | Implementation of the Model Code of Conduct / mandatory training. | 30/09/21 | Y | |

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| NEW | Commission LGA, determine scope and role, timeliness of feedback - pick out key milestones | JB/TF/DM | | <p>Discussion held with Mark Edgell, LGA and agreed will follow the peer review process. Put relevant timetable / meetings in place. Meeting with Chair and Vice Chair of A&G being arranged. Produce final documentation. Respond to Mark Edgell to confirm we only need advice on the action plan. Meeting held with Chair of A&G and LGA on 10/08/21 and LGA will now work up a programme of work. LGA have made the requests to their Peer Officer team. JB to confirm preferences to LGA on the two preferred Peer Officers. LGA mentoring session to be held at the end of October. Work ongoing. Report to A&G Committee in December 2021 and</p> | LGA to undertake peer review. | 30/09/21 | Y | |
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