

APPENDIX A

INDEPENDENT GOVERNANCE REVIEW – PLAN OF ACTION

Recommendations	Initial comments / Scope	Proposed workstream	Proposed Member lead(s)	Proposed officer lead(s)	Additional resources Required and outline milestones
10.1 Establish what it means to be a Best Value Unitary Local Authority in its geographic area delivering appropriate services and community leadership to every resident and entity in its area. To do this, it needs new seasoned local government professional leadership at the top of the organisation now to help it do this.	The Group agreed the following proposed actions:				
	1. Following review, a restructure of senior management be implemented as soon as practically possible. This should start with the two top tiers and be based on ensuring capacity and focus to deliver the Council's priorities. Further tiers of senior management will be restructured in line with the top tier structure. As part of this, the number of interim senior posts will be reduced.	Structure & Recruitment	Leader of Council	Acting DCX	Structure for top two tiers to be agreed and implementation commenced by 31/7/22  To be delivered within resources of Senior Management Re-Structure
	2. The senior management restructure will ensure the Statutory Monitoring Officer post has appropriate seniority and visibility within the organisation to contribute to the good governance of the Council.	Structure & Recruitment	Leader of Council	Acting DCX	Structure for top two tiers to be agreed and implementation commenced by 31/7/22  To be delivered within resources of Senior Management Re-Structure
	3. A working group be established to refresh and refine the Council's approach to Best Value. The Council's Best Value plans will be integrated into a redrafted Corporate Plan. This work will involve learning from best practice Best Value plans in other authorities as well as advice and Guidance from the Local Government Association (LGA).	Policy, Planning & Performance	Deputy Leader of Council	Interim Executive Director of Resources (S151)	Working Group established by 31/7/22  Work to be completed by 30/9/22  From existing resources
	4. Following a period to be agreed (likely 6-18 months), the Council will commission an external review to assess progress on our improvement journey.	Review & Challenge	Leader of Council	Acting DCX initially (and then CX)	By 30/9/23  Resource for 'Peer Review' required
10.2 Once this has been done, it needs to <sup>1</sup> -					
10.2.1 Redraft its Corporate Plan in terms of the Administration's	The Group agreed the following proposed actions:				

<sup>1</sup> Note some of the following actions have either already commenced and /or will run in parallel

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Goals and Objectives, moderated by the capacity of the organisation and the legislative framework,	5. To reframe and redraft the Corporate Plan as part of the annual budget-setting cycle for 2022/23. The new Plan will set out a more granular articulation of milestones and outcomes to achieve the Council's priorities and will demonstrate more clearly the role of service performance (for all services) on delivering the Council's vision.	Policy, Planning & Performance	Leader of Council	Interim Senior Service Director	Review of the CP to commence by 31/7/22 and complete by 31/1/23 in line with the Budget-setting cycle From existing resources
	6. As part of the annual budget setting cycle, ensure a clear 'golden thread' between the Corporate Plan, spending plans (budget), service planning and personal appraisal.  Develop tools where Members can see how resources are translated into actions, products and outcomes.	Policy, Planning & Performance	Leader of Council	Interim Executive Director of Resources (S151) And Interim Executive Director, Communities and Business Development And Interim Service Director HR/OD	Work to commence by 31/7/22 and complete by 31/1/23 in line with the Budget-setting cycle From existing resources
	7. To engage widely with Members, partners and residents on the Corporate Plan, on the same timescales as the Budget setting process.	Policy, Planning & Performance	Leader of Council	Interim Senior Service Director	Work to commence by 31/7/22 and complete by 31/1/23 in line with the Budget-setting cycle Resource required to undertake Residents Survey
	8. Ensure the Corporate Plan is embedded in the organisation and with Members, through communication, engagement and training.	Policy, Planning & Performance	Leader of Council	Interim Senior Service Director	Commence by 31/7/22 (as part of the review of the CP) and complete by 31/1/23 in line with the Budget-setting cycle. Engagement and comms on the CP to be refreshed annually From existing resources
	The Group agreed the following proposed actions:				

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10.2.2 Ensure the values by which it seeks to operate are lived within the organisation	9. Review and, if needed, refresh the Council's Values Statement. This should set out values, behaviours and expectations of Officers and Members. As part of this, a programme of mentoring for Group Leaders and Deputies on Member behaviour should be offered.  Member induction and training should be strengthened as part of this.	Culture & Values	Council Chair	Interim Director of Governance and the Monitoring Officer  And Interim Senior Service Director	By 30/9/22  From existing resources
	10. To develop a fresh programme of Member and Officer engagement and training on the Council's values. This should include a commitment for Officers and Members to sign up to.  Member induction and training should be strengthened as part of this.	Culture & Values	Council Chair	Interim Service Director HR/OD  And Interim Senior Service Director	Programme to be developed and implementation to be commenced by 30/9/22  From existing resources
	11. To develop and agree a set of outcomes to measure progress on living the Council's values and introduce Values-Based Recruitment. This will be reported regularly to Group Leaders and wider Membership.	Policy, Planning & Performance	Deputy Leader	Interim Service Director HR/OD	By 30/9/22  From existing resources
10.2.3 Use the data it holds, collects, or needs to collect to define priorities and monitor and improve performance in a systematic way and publish the outcomes.	The Group agreed the following proposed actions:				
	12. To undertake a review of use of data and supporting IT systems to make better and more systematic use of the data. The review findings and recommendations to be reported to the Council's Executive Team and Cabinet and other Committees as appropriate. Work on this is already underway.	Policy, Planning & Performance	Deputy Leader	Interim Executive Director for Public Health and Community Services  And Interim Executive Director, Communities and Business Development	By 31/12/22  Additional resources for external advice / development
	13. Produce an information and accountability framework outlining what performance information will be reported to Council committees, including frequency. The statement will ensure increased frequency of reporting and greater transparency and understanding of service performance as well as senior officer performance.	Policy, Planning & Performance	Deputy Leader	Interim Executive Director, Communities and Business Development	Commence work by 30/9/22 to complete by 31/12/22  From existing resources

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	14. In line with Action 6 (above), ensure a clear 'golden thread' between the Corporate Plan, spending plans (budget), service planning and personal appraisal. This will more clearly demonstrate the link between service activity and outcomes.	Policy, Planning & Performance	Leader of Council	Interim Executive Director of Resources (S151) And Interim Executive Director, Communities and Business Development And Interim Service Director HR/OD	Work to commence by 31/7/22 and complete by 31/1/23 in line with the Budget-setting cycle From existing resources
10.2.4 Review and redraft the Constitution to ensure that decisions that should be taken at Member level, by Cabinet, Committee, Individual Member or Full Council are clearly identified and that the recording and scrutiny of officer decisions, both individually and in aggregate, is unambiguous.	The Group agreed the following proposed actions:				
	15. To continue the review and redraft of the Council's Constitution. This should be streamlined as far as possible and be in line with a refreshed Value Statement as per Recommendation 10.2.2 above and be informed by best practice constitutions in other authorities.	Constitution & Standards	Council Chair	Interim Director of Governance and the Monitoring Officer	To complete by 31/3/23 From existing resources
	16. To develop a programme of training on the Constitution for Members and Senior officers, with an overview guide for all staff.	Constitution & Standards	Council Chair	Interim Director of Governance Monitoring Officer And Interim Senior Service Director	Develop and implement from 31/3/23 From existing resources
	17. To increase the Membership of the Constitution Working Group to support actions 15 and 16 above.	Constitution & Standards	Council Chair	Interim Director of Governance and the Monitoring Officer	To complete by 31/7/22 From existing resources
10.2.5 Review and redraft the codes of conduct which regulate Member and officer behaviours and working relationships with each other, to make it clear what the expectations of each party should be and how robust challenge can be handled, to ensure proper accountability can be achieved. This needs to recognise the legitimate rights of Councillors for information to enable them to do their role and for Councillors to recognise that policy is the preserve of the Council unless delegated and	The Group agreed the following proposed actions:				
	18. To review and redraft the Codes of Conduct, supported by a Member / Officer Charter.	Constitution & Standards	Council Chair	Interim Director of Governance and the Monitoring Officer	To complete by 31/12/22 From existing resources
	19. To develop and communicate clearly, processes for resolving complaints (Member to Member, officer to Member) informally. Further training will be provided on the Code of Conduct and Group Leaders will emphasise within their respective groups the need to consider informal resolution as a first step.	Constitution & Standards	Council Chair	Interim Director of Governance and the Monitoring Officer	To complete by 31/12/22 From existing resources

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saying no is a legitimate outcome.	20. To revisit existing complaints that are at the initial assessment stage to explore with the relevant parties whether informal resolution is possible.	Constitution & Standards	Council Chair	Interim Director of Governance and the Monitoring Officer	To complete by 31/12/22 From existing resources
	21. To establish a programme of all-Member briefing sessions on key policy themes	Policy, Planning & Performance	Leader of Council	Acting DCX	To commence programme by 31/7/22 From existing resources
10.2.6 Establish a rationale for the establishment or continuation of any company established under the provisions of the Localism Act 2011.	The Group agreed the following proposed actions:				
	22. To produce a statement of principles and tests for establishing or continuing Council companies established under the Localism Act. This should build on work that has already been undertaken as part of the Strategic Review of Advance.	Companies	Leader of Council	Interim Director of Governance and the Monitoring Officer	To complete by 31/12/22 From existing resources
10.2.7 Establish a specific governance framework by which, for those companies wholly or partly owned by NCC, their Directors are appointed, report on performance are presented to a Cabinet Sub-Committee, conflicts of interest are dealt with and risk and how shareholder agreements are ratified, by both the company and NCC.	The Group agreed the following proposed actions:				
	23. Update the Articles of Associations for Council-owned companies and develop a framework for how company performance will be reported to Cabinet.	Companies	Leader of Council	Interim Director of Governance and the Monitoring Officer	To complete by 31/12/22 From existing resources
	24. Review the Council shareholder role and produce a clear definition of the relationship between the Council and Council-owned companies and the remit of the Council shareholder.	Companies	Leader of Council	Interim Director of Governance and the Monitoring Officer	To complete by 31/12/22 From existing resources
	25. Increase the number of independent Board Members (i.e. non-officer and non-Member).	Companies	Leader of Council	Interim Director of Governance and the Monitoring Officer	To complete by 31/12/22 From existing resources
10.2.8 Establish an officer structure which is designed to	The Group agreed the following proposed actions:				

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deliver against earlier recommendations and seek to appoint permanent employees to fulfil those objectives.	26. Following implementation of Action 1 above, further tiers of senior management will be restructured in line with the top tier structure. Where possible, these will be permanent posts.	Structure & Recruitment	Leader of Council	Acting DCX	Structure for top two tiers to be agreed and implementation commenced by 31/7/22. Further senior structures to be agreed by 31/12/22  Within existing resources
10.2.9 Establish a scheme of performance appraisal, starting with the Chief Executive at Member level, in line with the JNC provisions, which cascades throughout the organisation so that every employee is clear about their targets and how they fit into plan delivery. As the Chief Executive is accountable to the Council as a whole for their performance, publish the targets and how they have been achieved as an annual statement to Council.	The Group agreed the following proposed actions:  27. To adopt in the Council's Constitution, the JNC Appraisal Process for the CX post. Performance targets for the CX will be considered and agreed by Members and will be published. Following this, an open and transparent performance appraisal process for senior officers will be established.	Policy, Planning & Performance	Leader of Council	Interim Director of Governance and the Monitoring Officer  And  Interim Service Director HR/OD	To be delivered within the same timescales as Action 1 – i.e.: structure for top two tiers to be agreed and implementation commenced by 31/7/22  To be delivered within resources of Senior Management Re-Structure
10.3 With the help of the Local Government Association, establish a challenge board with appropriate experience at both top officer and elected Member level in unitary authorities to work with NCC, on a cross-party basis, as it addresses these recommendations.	The Group agreed the following proposed actions:  28. To develop, in partnership with the LGA, a menu of options for a challenge board. As well as providing options for challenge on implementation of the recommendations, this should also include options for Officer, Member and Group mentoring.	Review & Challenge	Leader of Council	Acting DCX	Challenge Board to be established 31/8/22  Additional resource will be required to support the Challenge Board.