



GREAT YARMOUTH
BOROUGH COUNCIL

Audit and Risk Committee

Date: Monday, 14 December 2020

Time: 11:00

Venue: Remotely

Address: [Venue Address]

AGENDA

Open to Public and Press

1 APOLOGIES FOR ABSENCE

To receive any apologies for absence.

2 DECLARATIONS OF INTEREST

You have a Disclosable Pecuniary Interest in a matter to be discussed if it relates to something on your Register of Interests form. You must declare the interest and leave the room while the matter is dealt with.

You have a Personal Interest in a matter to be discussed if it affects

- your well being or financial position
- that of your family or close friends
- that of a club or society in which you have a management role
- that of another public body of which you are a member to a greater extent than others in your ward.

You must declare a personal interest but can speak and vote on the matter.

Whenever you declare an interest you must say why the interest arises, so that it can be included in the minutes.

- | | | |
|--|---|----------------|
| 3 | <u>MINUTES</u> | 4 - 10 |
| <p>The Committee to confirm the minutes of the meeting held on 21 September 2020.</p> | | |
| 4 | <u>REPORT ON THE STATUS OF AUDIT RECOMMENDATIONS</u> | 11 - 22 |
| <p>Report attached.</p> | | |
| 5 | <u>PARTNERSHIP REGISTER</u> | 23 - 30 |
| <p>Report attached.</p> | | |
| 6 | <u>PARTNERSHIP GOVERNANCE FRAMEWORK</u> | 31 - 44 |
| <p>Report attached.</p> | | |
| 7 | <u>WORK PROGRAMME</u> | 45 - 46 |
| <p>The Committee is asked to receive and consider the work programme.</p> | | |
| 8 | <u>ANY OTHER BUSINESS</u> | |
| <p>To consider any other business as may be determined by the Chairman of the meeting as being of sufficient urgency to warrant consideration.</p> | | |
| 9 | <u>EXCLUSION OF PUBLIC</u> | |

In the event of the Committee wishing to exclude the public from the meeting, the following resolution will be moved:-

"That under Section 100(A)(4) of the Local Government Act 1972, the public be excluded from the meeting for the following item of business on the grounds that it involved the likely disclosure of exempt information as defined in paragraph 1 of Part I of Schedule 12(A) of the said Act."

Audit and Risk Committee

Minutes

Monday, 21 September 2020 at 10:00

PRESENT:-

Councillor Flaxman-Taylor (in the Chair); Councillors Freeman, D Hammond & Wainwright.

Ms K Sly (Finance Director), Ms L Snow (Finance Manager), Ms K Bate (Corporate Governance Officer), Ms F Dodimead (Audit Director), Mrs S Wintle (Corporate Governance Manager) & Ms D Hanson (Ernst & Young).

1 APOLOGIES FOR ABSENCE

Apologies for absence were received from Councillor Cara Walker & Tony Poynton.

2 DECLARATIONS OF INTEREST

There were no declarations of interest declared at the meeting.

3 MINUTES

The minutes of the meeting held on 2 March 2020 were confirmed by assent.

4 ANNUAL AUDIT LETTER YEAR ENDED 31 MARCH 2019

The Committee received and considered the report on the Annual Audit Letter Year ended 31 March 2019.

Debbie Hanson reported that the External Auditor's were required to issue an Annual Audit Letter to the Council following the completion of their audit procedures for the year ending 31 March 2019.

Debbie Hanson reported that due to a number of factors, including EY resourcing difficulties, the volume of audit differences identified, and the impact of Covid19, the audit of the 2018/19 financial statements was prolonged and challenging. The audit identified a significant number of material errors in the accounts which were corrected by management. EY issued their auditor's report on the 13 August 2020 and included commentary to emphasise the Council's disclosures on the impact of the Covid19 pandemic on its financial position.

Councillor Wainwright voiced his concerns regarding the proposed fee increase of between £35 & £40k which equated to an increase of nearly 100% which was a bitter pill for the Council to swallow and he asked whether this increase was a result of staffing issues at EY. The Council needed assurance of sustainable audit fees moving forwards especially as the Council was struggling financially and had the added costs of the pandemic. Debbie Hanson reported that EY had made a number of adjustments to the accounts and as they acknowledged problems at their end, EY had accepted a 50% loss of fees. All Members reported that they agreed with Councillor Wainwright's concerns.

The Finance Director reported that further conversations regarding the proposed increase in audit fees would be undertaken with EY to find an acceptable way forward.

RESOLVED:

That the Committee note the Annual Audit Letter (Year ended 31 March 2020).

5 2019-20 AUDIT PLAN

The Committee received and considered the report on the 2019/20 Audit Plan.

Debbie Hanson reported that the Audit Plan set out how EY intended to carry

out their responsibilities as auditor and explained how the plan summarised the initial assessment of the key risks driving the development of an effective audit for the Council and outlined EY's planned audit strategy in response to those risks.

Debbie Hanson reported the salient points in regard to the following areas:-

- Overview of the 2019/20 audit strategy
- Audit risks
- Value for Money risks
- Audit materiality;and
- Scope of the audit.

The Chairman asked for clarification regarding page 43 of the agenda report covering staff & recruitment as to whether the proposed timetable would work with the staff available.

RESOLVED:-

That the Committee note the 2019/20 Audit Plan.

6 ANNUAL REPORT ON RISK MANAGEMENT ARRANGEMENTS 2019-20 FINAL

The Committee received and considered the report from the Corporate Risk Officer.

The Corporate Risk Officer reported that the report provided details of the key risk management developments during 2019/20 for the committee to review. The report would provide a significant source of evidence to enable the Committee to approve the Annual Governance Statement.

Councillor Wainwright asked for clarification regarding the absence of a register holding information & a risk matrix for tree & land management. Councillor Wainwright asked for clarification regarding the assurance given to the Great Yarmouth Preservation Trust.

RESOLVED:-

That the Committee noted and approved the annual report on the Council's Risk Management arrangements.

7 CODE OF CORPORATE GOVERNANCE FINAL

The Committee received and considered the report from the Corporate Risk Officer.

The Corporate Risk Officer reported that the report contained an update to the Council's Code of Corporate Governance, in accordance with best practice.

RESOLVED:-

That the Committee approve the updated Code of Corporate Governance.

8 ANNUAL GOVERNANCE STATEMENT 2019-20

The Committee received and considered the report from the Corporate Risk Officer.

The Corporate Risk Officer reported that the Council had approved and adopted a Code of Corporate Governance which was consistent with the principles of the CIPFA/SOLACE Framework Delivering Good Governance in Local Government. The Annual Governance Statement explained how the Council had complied with the code and met the requirement of Regulation 4(2) of the Accounts and Audit Regulations 2011 in relation to conducting a review of the effectiveness of its system of internal control.

Councillor Wainwright referred to page 152 of the agenda, numbers 4, 5 & 6, Procurement & Contract Management, Corporate Governance Internal Audit Review 2018/19 & Corporate H & S Review, and requested that the due date be amended to reflect slippage due to Covid19. The Corporate Risk Officer reported that she would request an update and report this information back at the next meeting.

RESOLVED:-

That the Committee had considered and approved the 2019/20 Annual Governance Statement.

9 ANNUAL REPORT AND OPINION 2019-20

The Committee received and considered the report of the Head of Internal Audit for the Council.

The Audit Director reported that the Accounts and Audit Regulations 2015 required that a relevant authority must undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking into account public sector internal auditing standards or guidance.

The Audit Director reported the salient points of the following areas:-

- the Annual Opinion of the Head of Internal Audit, including roles and responsibilities and the opinion itself
- Audit work undertaken during the year
- Third Party assurances
- Annual Review of the Effectiveness of Internal Audit
- Audit work undertaken during 2019/20
- Assurance Chart;and
- Limitations and responsibilities.

Councillor Wainwright asked for clarification regarding page 165 of the agenda; Building & Development Control and that it had not been audited since 2017. As several Members had concerns regarding Development Control he asked if it could be brought forward. The Audit Director reported that it was not in the audit plan for this year but she would take the request back and notify the Committee of the result via email outside of the meeting.

The Audit Director confirmed that all the recommendations had been met in regard to Great Yarmouth Preservation Trust.

Councillor Wainwright then asked for clarification regarding page 166 of the agenda; IT Project & Programme Management. The role out of new IT equipment to Members was agreed by Policy & Resources Committee with no prior input from Members. As the Council was working towards being paperless, it did not make financial sense for officers to have to deliver paper copies to Members to refer to during a meeting. He asked why Members were not issued with dual screens as per County Councillors.

The Finance Director reported that all members & officers were given a device appropriate to their role and confirmed that there was a planned timescale for the Council to be paperless. Dual screens for Members had been approved pending agreed timescales.

RESOLVED:-

That the Committee note the report.

10 PROGRESS REPORT ON INTERNAL AUDIT ACTIVITY

The Committee received and considered the report from the Internal Audit Manager.

The Audit Director reported that the report examined progress made between 1 April 2020 to 14 September 2020 in relation to the delivery of the revised Annual Internal Audit Plan for 2020/21 and included executive summaries in respect of the reviews which had been completed during this period.

RESOLVED:-

That the committee received and noted the outcome of the audits completed during the period 1 April 2020 to 14 September 2020 and the progress to date.

11 REPORT ON THE STATUS OF AUDIT RECOMMENDATIONS

The Committee received and considered the report from the Internal Audit Manager.

The Audit Director reported that he report sought to inform Members on the latest progress made in relation to management implementation of agreed audit recommendations falling due by 14 September 2020.

The Audit Director proposed that an additional interim update report be brought to the Committee at the next meeting scheduled for November 2020. The Chairman agreed that this was the best way forward and would help to keep the momentum going.

Councillor Wainwright referred to page 189 of the agenda; GY2007, s106 agreements, and reported that many Parish Councils were unsure of how this money could be utilised. The Audit Director agreed that this was a complex area. Councillor Wainwright was concerned that Legacy s106 money, if not spent, had to be returned to the developers which was not desirable.

The Chairman reported that the issue of s106 agreements was raised at the last meeting. She asked that it be added to the work programme and a "s106 Agreement - A Guide for Members" be prepared for consideration at the January 2021 meeting.

The Audit Director reported that CIL agreements sat alongside s106 agreements and that she had information which linked CIL to s106 which she would email to Members after the meeting for their information.

RESOLVED:-

That the Committee received and noted the current position in relation to the implementation of agreed audit recommendations.

12 WORK PROGRAMME

The Committee received and considered the Work Programme.

The Committee agreed to add s106 agreements to the work programme for a report at the January 2021 meeting.

RESOLVED:-

That the Committee note the Work Programme with the addition of s106 agreements to be included for consideration at the meeting in January 2021.

13 ANY OTHER BUSINESS

The Chairman reported that there was no other business being of sufficient urgency to warrant consideration.

The meeting ended at: 12:00

Subject: REPORT ON THE STATUS OF AUDIT RECOMMENDATIONS

Report to: Audit and Risk Committee, 14 December 2020

Report by: Faye Haywood, Internal Audit Manager for Gt Yarmouth BC

SUBJECT MATTER

This report seeks to inform members on the latest progress made in relation to management implementation of agreed audit recommendations falling due by 14 December 2020.

1. INTRODUCTION/BACKGROUND

- 1.1 The Audit and Risk Committee receives regular updates on management implementation of agreed audit recommendations. This report forms part of the overall reporting requirements to assist the Council in discharging the responsibilities in relation to its Internal Audit Service.
- 1.2 The Public Sector Internal Audit Standards require that a process is in place to ensure that sufficient action is being taken by management to implement recommendations.

2. MAIN BODY

- 2.1 The current position and issues in relation to the implementation of internal audit recommendation is shown in the report attached.

3. FINANCIAL IMPLICATIONS

- 3.1 None.

4. RISK IMPLICATIONS

- 4.1 Failure to implement or improve internal controls may lead to risks associated with those controls materialising.

6.0 RECOMMENDATIONS

- 6.1 That the Committee receives and notes the current position in relation to the implementation of agreed audit recommendations.

BACKGROUND PAPERS

Appendix – Follow Up Report on Internal Audit Recommendations

Area for consideration	Comment
Monitoring Officer Consultation:	No
Section 151 Officer Consultation:	Yes
Existing Council Policies:	No
Financial Implications:	No
Legal Implications (including human rights):	No
Risk Implications:	Yes
Equality Issues/EQIA assessment:	No
Crime & Disorder:	No
Every Child Matters:	No

Eastern Internal Audit Services



Gt Yarmouth Borough Council

Follow Up Report on Internal Audit Recommendations

Period Covered: 14 September 2020 - 2 December 2020

Responsible Officer: Faye Haywood – Internal Audit Manager

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1. INTRODUCTION

- 1.1 This report is being issued to assist the Authority in discharging its responsibilities in relation to the internal audit activity.
- 1.2 The Public Sector Internal Audit Standards also require the Chief Auditor Executive to establish a process to monitor and follow up management actions to ensure that they have been effectively implemented or that senior management have accepted the risk of not taking action. The frequency of reporting and the specific content are for the Authority to determine.
- 1.3 To comply with the above this report includes:
- The status of agreed actions.

2. STATUS OF AGREED ACTIONS

- 2.1 As a result of audit recommendations, management agree action to ensure implementation within a specific timeframe and by a responsible officer. The management action subsequently taken is monitored by the Internal Audit Contractor on a regular basis and reported through to this Committee. Verification work is also undertaken for those recommendations that are reported as closed.
- 2.2 **Appendix 1** to this report shows the details of the progress made to date in relation to the implementation of the agreed recommendations. This appendix also reflects the year in which the audit was undertaken to enable the Committee to easily identify outstanding recommendations from previous financial years. The table also distinguishes between outstanding recommendations that have previously been reported to this Committee and then those which have become outstanding this time round.
- 2.3 In 2017/18 internal audit raised 119 recommendations, 117 of which have now been implemented. Two important recommendations remain outstanding, one from the Corporate Health and Safety report and one from the Accounts Receivable.

The management response in relation to the outstanding important recommendation can be seen at **Appendix 2** of the report.

Number raised	119	
Complete	117	98%
Outstanding	2	2%

- 2.4 In 2018/19 internal audit raised 113 recommendations. In total, 90 have been implemented. Of those remaining, one needs attention recommendation was rejected by management, and 22 are overdue (6 important, 16 needs attention).

The June 2019 year end follow up report provided details of the important recommendation rejected by Management.

The management response in relation to the outstanding important recommendations can be seen at **Appendix 3** of the report.

Number raised	113	
Complete	90	80%
Outstanding	22	19%
Rejected	1	1%

- 2.5 In 2019/20 a total of 100 recommendations have been agreed; of these, 66 have now been implemented. A total of 19 recommendations are outstanding (9 important and 10 needs attention) and 15 are within deadline.

Number raised	100	
Complete	66	66%
Outstanding	19	19%
Within Deadline	15	15%

- 2.6 All recommendations are assigned at senior management level, with the position in implementing urgent audit recommendations being regularly discussed at Executive Leadership Team meetings.

The management response in relation to the outstanding important recommendations can be seen at **Appendix 4** of the report.

- 2.7 It is encouraging to see that 66 recommendations from 2019/20 have already been implemented, however, we would urge management to work on completing the high number of important recommendations that remain outstanding from 2018/19 and the two historical recommendations from 2017/18. We continue to highlight to the Committee where recommendation deadlines have been extended more than once.

APPENDIX 1 – SUMMARY STATUS OF AGREED INTERNAL AUDIT RECOMMENDATIONS

			Completed between 7 September 2020 and 23 November 2020			Previously reported to Committee as outstanding			(New) Outstanding			Total Outstanding	Not Yet Due for implementation		
			Priority 1	Priority 2	Priority 3	Priority 1	Priority 2	Priority 3	Priority 1	Priority 2	Priority 3		Priority 1	Priority 2	Priority 3
Audit Ref	Audit Area	Assurance Level													
2017/18 Audits															
GY1801	Corporate Health & Safety	Limited					1					1			
GY1811	Accounts Receivable	Reasonable					1					1			
2018/19 Audits															
GY1901	Corporate Governance	Limited					1					1			
GY1908	Capital Programme	Reasonable					1	1				2			
GY1909	Environmental Services	Reasonable					1	5				6			
GY1914	Procurement	Limited		1			3	5				8			
GY1916	Property & Asset Mgt	Reasonable		2				4				4			
GY1922	ICT Contract Review & IT Strategy	Reasonable		1				1				1			
2019/20 Audits															
GY2001	GYB Services	Reasonable			5		1	2				3			
GY2005	Council Tax and NNDR	Reasonable						1				1			
GY2006	GY Norse	Reasonable			1							0			
GY2007	S106 Agreements	Reasonable		2			1			1		2			
GY2008	Housing Strategy and Affordable Housing	Reasonable						1				1			
GY2010	Corporate Governance	Reasonable			1		2	1				3			

			Completed between 7 September 2020 and 23 November 2020			Previously reported to Committee as outstanding			(New) Outstanding			Total Outstanding	Not Yet Due for implementation		
			Priority 1	Priority 2	Priority 3	Priority 1	Priority 2	Priority 3	Priority 1	Priority 2	Priority 3		Priority 1	Priority 2	Priority 3
Audit Ref	Audit Area	Assurance Level													
GY2014	Key Controls & Assurance	Reasonable										0		3	2
GY2015	Equinox Enterprises	Reasonable			4							0			
GY2016	Corporate Enforcement	Reasonable								1		1		4	2
GY2018	Data Centre and Back Up	Reasonable					1					1			
GY2019	Cyber Crime	Reasonable					2	5				7			
GY2020	Starters, Movers, Leavers	Reasonable										0			4
Total			0	6	11	0	15	26	0	2	0	43	0	7	8

APPENDIX 2 – OUTSTANDING INTERNAL AUDIT RECOMMENDATIONS – 2017/18

Report	Recommendation	Priority	Responsible Officer	Due Date	Revised Due Date	Status	Latest Response
GY1801 Corporate Health and Safety	Recommendation 6: A variation to the GY Norse contract is raised in line with the GYBS and SLT H&S contract clauses. This is agreed by the board. Sufficient H&S clauses in the contract should clearly outline the H&S responsibilities of the GY Norse and mitigate the risk that any H&S liabilities created by GY Norse are passed onto the Council.	2	Head of Property and Asset Management	31/10/2017	31/04/2021	Outstanding	We are now in the process of varying the contract to return elements of the Asset Management Service to GYBC which will require a complete review of the Joint Venture Agreement these changes will be incorporated with the new agreement due to be in place for April 2021.
GY1811 Accounts Receivable	Recommendation 2: Service Level Agreements (SLA) to be documented/formalised for all service areas, in line with the collection and recovery processes documented in the Sundry Income and Debt Policy. These are to be signed by the Head of Customer Services and the respective head of service. These should include responsibilities of both parties and key timescales required from the debtors' team and service area.	2	Head of Customer Services	31/03/2019	31/12/2020	Outstanding	Revised date provided. The proposal for this recommendation is to amend this to produce a programme of required SLAs between the Sundry Debt Service and other Relevant Service where we can timetable each required SLA together with the relevant Head of Service and to allow time for the SLA to perform 'in practice' with an opportunity to refine/further adjust the SLA as may be required. This is based on our current experience with the development of the SLAs so far. Production of the programme signed off and relevant Heads of Service should complete this recommendation with progress being monitored in relation to the completion of SLAs through further Audits which is undertaken on an annual basis anyway. This change has been agreed.

APPENDIX 3 – OUTSTANDING INTERNAL AUDIT RECOMMENDATIONS – 2018/19

Report	Recommendation	Priority	Responsible Officer	Due Date	Revised Due Date	Status	Latest Response
GY1901 Corporate Governance	Recommendation 8: A review of off-site paper storage arrangements is undertaken to ensure they are GDPR compliant.	2	Head of Property and Asset Management	31/01/2019	31/03/2021	Outstanding	Work in this area has had to be paused due to the COVID-19 pandemic, which has led to a 1/3 of the Council's staff including the Data Protection Officer being redeployed to work as part of a coordinated response assisting the most vulnerable residents of the Borough. It was hoped that work could recommence from September 2020 however with current social distancing guidelines and protecting the health of Council staff being paramount this will not be possible. Please could an extension be agreed until 31st March 2021 to allow time for social distancing measures to be relaxed or a vaccine to be developed.
GY1908 Capital Programme Contracts (General Fund and Housing Revenues Account)	Recommendation 6: In respect of the Norfolk County Council (NCC) Norfolk Infrastructure Fund (NIF) for the energy park, the following is undertaken Confirmation that the NCC Policy & Resources committee has formally approved the NIF budget of £2.75m; and- Agreement of how payment of the funding is processed, e.g. expenditure is invoiced on a regular basis such as annually. This process to be formally agreed and documented.	2	Finance Director	30/06/2019	31/12/2020	Outstanding	The implementation of this has been delayed and is anticipated to be completed by 31/12/20.
GY1909 Environmental Services	Recommendation 1: The review of the prioritisation site list is concluded as follows: completion of the review of medium scored sites; - finalising the further work needed in respect of the high scored sites to assess the possibility of significant harm and addition of the date when the review work for each site has been completed and officer/reviewer name.	2	Head of Environmental Services	31/05/2019	30/04/2020	Update required	This is programmed for when a new resource is available. Further update required.

Report	Recommendation	Priority	Responsible Officer	Due Date	Revised Due Date	Status	Latest Response
GY1914 Procurement	Recommendation 5: The procurement and future delivery of the Kerbside Green Waste Collection service to be finalised, including how the new contract is sourced and by whom, i.e. whether this is the council or GYB Services	2	Senior Environmental Ranger	30/06/2019	31/12/2020	Outstanding	The MOU has been rewritten and is to be sent to NEWS shortly. Assuming they are agreeable to the contents this should then be signed. Taking onto account any potential amendments they wish to make I would expect this to be completed by Christmas.
GY1914 Procurement	Recommendation 1: The procurement strategy (PS) be reviewed and updated including an update of the accompanying action plan to be taken forward as a new action plan. This should include a review against the other council PSs and the National Procurement Strategy for any key gaps, and also GDPR requirements. In addition, the PS to be updated to include consideration is given to the requirement for more bespoke terms and conditions (T&CS) and service review points, in addition to the standard T&Cs which should be included. The PS should also be reviewed to ensure it refers to the requirements of GDPR.	2	Finance Director	30/09/2019	31/12/2020	Outstanding	This work will be aligned to the review of the contract standing orders and is due to be completed later in the year.
GY1914 Procurement	Recommendation 2: Contract standing orders (CSO) be reviewed and updated as necessary, version controlled and placed on the council's intranet. The review should cover the following:- Up to date senior management titles;- The inclusion of performance bonds for contracts with a value of £1,000,0000 and over;- A Parent Company Guarantee is considered, in consultation with the S151 officer, when a supplier is a subsidiary of a parent company and where the total value exceeds £75,000.00; and- Inclusion of review points for larger and longer contracts	2	Finance Director	30/11/2019	31/12/2020	Update required	The draft CSO's have been reviewed by ELT and are due to be considered by the constitution working group ahead of taking to P&R/Council.

APPENDIX 4 – OUTSTANDING INTERNAL AUDIT RECOMMENDATIONS – 2019/20

Report	Recommendation	Priority	Responsible Officer	Due Date	Revised Due Date	Status	Latest Response
GY2001 GYB Services	A programme of KPI spot checks is completed to sample check KPIs on a rolling basis. This is to verify that there is supporting evidence in place to confirm the outturn figures presented. Furthermore, a definition for each KPI be recorded and centrally kept by the Council against which KPIs can be checked.	2	Head of Environmental Services	31/12/2019	31/03/2020	Update Required	
GY2007 Section 106 Arrangements	Recommendation 4: A review of all balances on the S106 finance code be undertaken and a record presented to management summarising the status of each.	2	Capital Projects and Senior Accountant	30/11/2020	31/12/2020	Outstanding	A combination of changes in personal within the Neighbourhood Management service (both Director level, managerially & below) who are responsible for the play & leisure strategy which the S106 links into for allocating funds. Also COVID19 impact on the Neighbourhood Management service as they were heavily involved in the Council's response to the pandemic.
GY2010 Corporate Governance	Recommendation 1: To review and update, as necessary, the FOI charging policy, Environmental Information Regulations (EIR) Charging policy and EIR Policy.	2	Senior Democratic Services Officer	31/07/2020	31/12/2020	Outstanding	Due to the Senior Democratic Services Officer being asked for a period of time to help with the distribution of COVID 19 related Business Grants these policies have not yet been in front of ELT for approval, work has continued on the policies and it is anticipated that these will be ready for ELT consideration in November 2020 these may require approval by the P&R Committee and therefore an extension of the 31/12/2020 is requested to allow time for these to be taken through to Committee for approval.
GY2010 Corporate Governance	Recommendation 2: The publication scheme be reviewed, updated as necessary and version control details added	2	Senior Democratic Services Officer	31/05/2020	30/11/2020	Outstanding	The publication Scheme was considered by ELT although some further work has been requested, the Senior Democratic Services Officer is currently working with Heads of Service and therefore an extension of the 30/11/2020 is requested to allow time for the further works to be completed and ELT approval before publishing onto the Councils Website.

Report	Recommendation	Priority	Responsible Officer	Due Date	Revised Due Date	Status	Latest Response
GY2014 Key Controls and Assurance	Recommendation 3: Clarity to be provided over responsibility for completing and returning mid-year and annual assurance statements, which are to be adhered to.	2	Corporate Risk Officer	31/11/2020	31/01/2021	Outstanding	Mid term reviews have been sent out but only a couple have been returned which have not yet been chased due to workload. A revised date of end of January 2021 has been provided.
GY2016 Corporate Enforcement	Recommendation 4: Regular meetings to be held with service team leaders to discuss problematic businesses/individuals so that enforcement action is undertaken as appropriate.	2	Head of Environmental Services	30/09/2020		Update needed	
GY2018 Data Centre, Back Up and Disaster Recovery	Recommendation 3: A test of the links between GYBC and NCC be included as part of future test plans.	2	IMT Manager	30/09/2019	31/12/2020	Outstanding	The install of the network equipment which was planned for the first two weeks of October was postponed due to the increase of reported COVID-19 cases in Great Yarmouth. New dates are being discussed to enable this work to take place prior to 02/12/2020 when the Christmas Change Freeze takes effect. Based on this , a revised date of 31/12/2020 has been added.
GY2019 Cyber Crime	To achieve level 4 the secure configuration of digital assets has to be proactively monitored by the use of regular vulnerability scans. Appropriately trained personnel must be responsible for the maintenance of secure configurations.	2	IMT Manager	01/07/2020		Update needed	Update provided and internal audit liaising to seek verification.
GY2019 Cyber Crime	To achieve level 3, a strategy for proactive monitoring of the whole infrastructure must be in place that uses software tools and heuristics to identify patterns that indicate the occurrence of a security threat event. Responsible personnel must have received training in security monitoring and the use of security monitoring solutions.	2	IMT Manager	30/04/2020		Update needed	Update provided and internal audit liaising to seek verification.

Subject: Partnership Register

Report to: Audit and Risk Committee, 14 December 2020

Report by: Kaye Bate, Corporate Risk Officer



SUBJECT MATTER/RECOMMENDATIONS

This report contains an update to the Partnership Register.

Recommendation to Audit and Risk Committee: to review the Partnership Register to determine whether the register correctly identifies the Partnership arrangements for the Authority and to approve the revised layout of the Partnership Register.

1. INTRODUCTION/BACKGROUND

- 1.1 Partnerships play a key role in delivering community strategies and in helping to promote the well-being of the area. Local authorities work in partnership with others – public agencies, private companies, community groups and voluntary groups. Local Authorities still deliver services, but their distinctive leadership role is to bring together contributions of the various stakeholders. They therefore need to deliver a shared vision of services based on user wishes.
- 1.2 The Audit and Risk Committee is responsible for monitoring the arrangements in place for the identification and management of partnerships and to assess and challenge continued involvement in partnerships.

2. PARTNERSHIP REGISTER

- 2.1 A Partnership Register is maintained by the Corporate Risk Officer and reviewed on a quarterly basis.
- 2.2 The partnership register main functions are:
 - To provide an overview of the partnerships that the Council has and how these link to the council's Strategic, Corporate and Operational / Contractual objectives
 - To provide a framework to allow a robust challenge and scrutiny of the partnerships and membership of outside bodies to take place
 - To identify any group relationship (for accounting purposes) and/or any governance issues for exception reporting.
- 2.3 It is intended that partnerships will be managed at the service level but with an overview and challenge at corporate leadership level.
- 2.4 The Partnership Register was reviewed by Management Team in November 2020.

- 2.5 Since presenting the Partnership Register to the Audit and Risk Committee in June 2019 there has been four partnerships removed from the register:

Safe at Home
Older Peoples Partnership
EnterpriseGY Board
Economic Reference Group

- 2.6 The following partnerships have been added to the register:

Norfolk Youth Offending Board
Locality Board
Great Yarmouth & Waveney LDG
GT Yarmouth Housing Options Lettings Partnership
PCN
Equinox Property Holdings Ltd
SALS
Community Lead Housing
East Coast Community Health Care

- 2.7 The Corporate Risk Officer will present the Partnership Register at its next review by Management Team in six months.

3 FINANCIAL IMPLICATIONS

- 3.1 See attached Partnership Register

4 RISK IMPLICATIONS

- 4.1 There are no direct risks or implications arising from this report

5 CONCLUSIONS

- 5.1 The Partnership Register currently reflects the partnerships the Authority is involved in or lead on.

Areas of consideration: e.g. does this report raise any of the following issues and if so how have these been considered/mitigated against?

Area for consideration	Comment
Monitoring Officer Consultation:	No
Section 151 Officer Consultation:	No
Existing Council Policies:	No
Financial Implications:	See attached Partnership Register
Legal Implications (including human rights):	No
Risk Implications:	No
Equality Issues/EQIA assessment:	No
Crime & Disorder:	No
Every Child Matters:	No



Partnership Register

ELT Last Review	Sep-20
ELT Review Date	Nov-20
Review By	ELT / MT
Last Review A & R	Jun-19

STRATEGIC– help to delivery corporate vision and values	CORPORATE - Support or connect and relate to borough as a whole	OPERATIONAL / CONTRACTUAL - Service providing a service
Delivered as part of GYBC Corporate Strategy	Impacts / related to more than one service	Linked to key service delivery
High value	Medium resource commitment	Delivered by single service/team
May impact reputation/service if not delivered	Significant reputational impact if not delivered	Contributes to service delivery
	Statutory Requirement	Delivering Statutory or optional service
		High reputational impact if not delivered

						IMPACT ON COUNCIL CORPORATE OBJECTIVES	
NO	PARTNERSHIP NAME	RESPONSIBLE OFFICER	MEMBERS	LEAD PARTNER	PURPOSE / OBJECTIVES	COUNCIL ANNUAL FINANCIAL INPUT	POWERS / LEVELS OF DELEGATION / MONITORING AND REPORTING LINES (where / who do they report and frequency of reporting)
STRATEGIC PARTNERSHIPS							
1	Sentinel Leisure Trust Partnership Board	Strategic Director - L Barker	GYBC & Sentinel Leisure	GYBC	Leisure Services - management of leisure centres	Circa £282k annually (£130,210 20/21 budget - Settlement costs during refurbishment)	Member appointment - Outside Body Company No: 07521701 - https://beta.companieshouse.gov.uk/company/07521701
2	New Anglia Local Enterprise Partnership	Director of Planning and Growth	NCC, Suffolk CC, Norfolk & Suffolk district authorities	NALEP	To lead economic growth and job creation across Norfolk and Suffolk.		Member appointment - Outside Body
3	Norfolk Waste Partnership (NWP)	Head of Environmental Services	GYBC, Breckland DC , Broadland DC, NNDC, Norwich City Council, KLWN, NCC, SNDC		To improve waste and recycling services for Norfolk's residents and to reduce the overall cost by reducing the amount of waste generated per household, increasing the availability of waste reduction, reuse, repair and recycling activities, and ensuring residents and businesses understand the importance of waste as a resource.	£10k - each financial year	Memorandum of Agreement Norfolk Waste Partnership Board / Environment Committee / Member appointment Outside Body?
4	Norfolk Strategic Planning Framework	Strategic Planning Manager	GYBC, BCKLWN, BA, Breckland DC, Broadland DC, NNDC, Norwich City Council, NCC, SNDC	N/A	To coordinate and promote planning at a strategic scale (cross-cutting all the topic categories above), and to meet the planning statutory 'duty to cooperate'	Circa £10,000 annually	Member appointment

						IMPACT ON COUNCIL CORPORATE OBJECTIVES	
NO	PARTNERSHIP NAME	RESPONSIBLE OFFICER	MEMBERS	LEAD PARTNER	PURPOSE / OBJECTIVES	COUNCIL ANNUAL FINANCIAL INPUT	POWERS / LEVELS OF DELEGATION / MONITORING AND REPORTING LINES (where / who do they report and frequency of reporting)
5	Norfolk Parking Partnership Joint Committee	Head of Customer Services	GYBC, NCC & Other Norfolk District LAs	NCC	The delegated provision of Civil Parking Enforcement in Norfolk in relation to On-Street Parking	Income £95,165 20/21 Budget Income £93,009 21/22 Budget	Member Appointment, NPP Joint Committee 6 monthly
6	Greater Yarmouth Tourism & Business Improvement Area (GYTBIA)	Head of Communications and Marketing	GYBC & GYTABIA	GYTABIA	To promote the borough to encourage local residents & visitors to enjoy	GYBC invoices and collects BID income on behalf of GYTABIA	GYTABID company limited by guarantee with Articles and Memorandum of Association All GYTABIA board meetings. BID LEVY OPERATING AGREEMENT. BID SLA Collection and meetings Company No: 03090229 - https://beta.companieshouse.gov.uk/company/03090229
7	Town Centre Company (Great Yarmouth) Ltd	Strategic Director - P Boyce	TCP, GYBC, Police, Local Businesses	No lead	Safety and Security Promotions and Events Business Development	Circa £20,450 annual Maintenance Contract	Review of CCTV provision. Member appointment - Outside Body Private Limited Company
	Community Safety (Great Yarmouth) Ltd (CCTV Co)	Strategic Director - P Boyce	TCP, GYBC, Police and Local Businesses	GYBC	Operation of the CCTV cameras	TCP owns the equipment. Contribution from GYBC £235,959	Company No: 04038349 - https://beta.companieshouse.gov.uk/company/04038349
8	A47 Alliance	Director of Planning and Growth	Local Authorities, MPs Business Groups, LEPs, etc.	NCC	To make the case, and secure the investment, for improvements to the A47 Lowestoft to Peterborough		Economic Development Committee. Member appointment to Outside Bodies http://www.a47alliance.co.uk/who-are-the-alliance/
9	County Community Safety Partnership	Head of Environmental Services	NCC, police, health, education & districts, YOT, probation etc	NCC	Statutory crime and disorder reduction partnership	£2,000 (for domestic homicide reviews)	
10	Norfolk Youth Offending Board	Housing Director	NCC Youth Offending Team YOT police probation Local Authority reps	YOT	To provide strategic oversight of youth offending team to prevent youth offending by young people		Terms of Reference, induction for new board members. Priorities. Workshops
11	Locality Board	Strategic Director - P Boyce					
12	Great Yarmouth & Waveney LDG	Strategic Director - L Barker	LA rep on multi agency health delivery group focused on delivery of services in locality	CCG	To oversee the delivery of health services in the Locality ensuring needs are met	None	
13	GT Yarmouth Housing Options Lettings Partnership	Housing Director	GYBC and stock holding RPs	GYBC	Provide access to all RP housing stock in borough for access for all applicants on the housing list		Partnership Agreement. Annual review Partnership Agreement being reviewed and considering financial contribution from Registered Providers Strategic, Corporate & Operational
14	PCN	Independent Living Service Manager	LA rep on Primary Care Networks in borough	PCN's	To ensure the delivery of primary health care services	None	Strategic / Operational
15	Great Yarmouth Sports Partnership	Head of Inward Investment	GYBC & Active Norfolk	Active Norfolk		£25,000 Sports Development	Membership appointment - outside body

						IMPACT ON COUNCIL CORPORATE OBJECTIVES	
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CORPORATE							
16	Equinox Enterprises Ltd	Strategic Director - P Boyce & Housing Director	Equinox & GYBC	Equinox & GYBC (GYBC lead)	GYBC wholly owned company - Development of building projects, construction of commercial buildings and domestic buildings	£8,933,334 - borrowed (£3,250,000 - Loan remaining and £2,233,334 - GYBC Equity Share)	Member appointment - Outside Body Private Limited Company Companies No: 10398546 - https://beta.companieshouse.gov.uk/company/10398546 . Regular reports to P & R committee and annual business plan report to P & R
	Equinox Property Holdings Ltd	Strategic Director - P Boyce & Housing Director	Equinox & GYBC	Equinox & GYBC (GYBC lead)	GYBC wholly owned company - Renting and operating of Housing Association real estate	£1.5m Loan agreed with GYBC to be drawn down in stages (75/25 loan equity)	Member appointment - Outside Body Private Limited Company Companies No: 12208644 - https://beta.companieshouse.gov.uk/company/12208644
17	Great Yarmouth Transport and Infrastructure Member Steering Group	Director of Planning and Growth	GYBC, NCC, EA, Highways England	GYBC, NCC	To promote and coordinate infrastructure improvements in and benefitting Great Yarmouth Borough		https://great-yarmouth.cmis.uk.com/great-yarmouth/OutsideBodies/tabid/69/ctl/ViewCMIS_OutsideBody/mid/395/id/80/Default.aspx Economic Development
18	Wherry Line Community Rail Partnership	Strategic Planning Manager	Rail industry, local authorities, parish councils, rail users, station adopters and local businesses. The Partnership was formed by NCC and Anglia Railways. Additional funding partners have joined.	NCC & Anglia Railways, supported by Dept for Transport & National Community Rail Organisation ACoRP.	To promote the railway and the surrounding area to develop economic and environmental benefits for residents, visitors and tourists	GYBC contribution £500 p.a.	Links into Town Centre Masterplan. Part of the Norfolk Rail Group http://www.wherrylines.org.uk/index.htm . Part of the Norfolk Rail Group. Quarterly meetings. AGM
19	Great Yarmouth Cultural Heritage Partnership	Head of Inward Investment		GYBC, GYTA	To involve Councillors, businesses and the public in the Culture and Heritage of the Borough	£42,800 Norfolk Museum Service	Art and Culture Liaison Board oversea and bring together relationships. Encompasses Seachange St Georges & GYPT.
	St George's Trust	Head of Inward Investment	GYBC & St Georges Trust	GYBC	Theatre & Arts & Culture	£80,000 Special Project Reserves 19/20 + 22/21 Budget	Lease Agreement between Landlord & Tenant. Draft Business Plan Quarterly meetings. Liaison board - no member appointment
	SeaChange Board	Head of Inward Investment	GYBC & SeaChange Arts	GYBC		Circa annual £58k (£58,500 20/21 budget)	Member appointment
	Great Yarmouth Preservation Trust	Head of Inward Investment	GYBC & GYPT	GYBC, GYPT	Saving historical buildings. Attracting funding from outside agencies. Successful delivery of projects	£0 - 2 days per week for office time	Quarterly meetings. Annual review of projects. Member appointment - Outside Body Registered charity - 280628 http://apps.charitycommission.gov.uk/Showcharity/RegisterOfCharities/CharityWithoutPartB.aspx?RegisteredCharityNumber=280628&SubsidiaryNumber=0

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NO	PARTNERSHIP NAME	RESPONSIBLE OFFICER	MEMBERS	LEAD PARTNER	PURPOSE / OBJECTIVES	COUNCIL ANNUAL FINANCIAL INPUT	POWERS / LEVELS OF DELEGATION / MONITORING AND REPORTING LINES (where / who do they report and frequency of reporting)
OPERATIONAL / CONTRACTUAL PARTNERSHIPS							
20	GY Norse	Head of Property and Asset Management	GYBC & Norse	GYBC, Norse	To repair and maintain all the council's housing assets	Circa £18,423,793 annual budget	Partnership Agreement Company No: 09195591 - https://beta.companieshouse.gov.uk/company/09195591
21	GYB Services	Strategic Director - P Boyce	GYBC & Norse	GYBC, Norse	Waste collection, street cleansing and grounds maintenance	£4,696,913 20/21 budget	Bi-Monthly board meetings. Monthly Operational Meetings Member appointment Outside Body Partnership Agreement. Company No: 04897142 - https://beta.companieshouse.gov.uk/company/04897142
22	Early Help Partnership (HUB)	Strategic Director - P Boyce	GYBC, NCC, CCG, Police	GYBC	To co-ordinate the activity of the Early Help Hub. To assist with early intervention in operational and public service issues	£20,000 - NCC, £10,000 PCC and £10,000 CCG. GYBC - host and accommodation	Partnership Agreement. Funding ends 21/22
23	Anti-Social Behaviour Action Group	Strategic Director - P Boyce	GYBC, Police	Police	Multi agency response to ASB cases	£0 - resources to attend meetings and implement action plan.	Sharing information & Protocols
24	Norfolk Safeguarding Children's Board	Strategic Director - P Boyce	All section 11 authorities	NCC	To safeguard children and young people	Circa £5,800 annual Budget	
25	MARAC - Multi Agency Partnership Safeguarding Adults & Children from victims of Domestic Abuse	Strategic Director - P Boyce	GYBC, Police	Police	Multi agency response to domestic abuse cases	£5,075 - contribution children	0 - Officer time
26	MAPPA - Multi Agency Public Protection Agency	Strategic Director - P Boyce	GYBC, Police	Police	Multi agency response to high risk offender cases		0 - Officer time
27	Broads Authority	Strategic Planning Manager	GYBC, local authorities, Secretary of State appointees (community and national park interests)	Broads Authority	Statutory purposes and duty.	Precept / Levy Payment to Broads Authority for drainage £267,968 - 20/21 budget	Member appointment to Outside Body Broads Plan http://www.broads-authority.gov.uk/
28	SALS	Early Help Manager	Early Help link to multi agency group	Police	To provide an integrated approach to addressing issues of street attached lifestyles	None	
29	Community Lead Housing	Housing Director	Locality & GYBC	GYBC	Providing community lead housing expertise to support establishment of local groups and delivery of affordable homes		Contract - process to deal with failure of service

						IMPACT ON COUNCIL CORPORATE OBJECTIVES	
NO	PARTNERSHIP NAME	RESPONSIBLE OFFICER	MEMBERS	LEAD PARTNER	PURPOSE / OBJECTIVES	COUNCIL ANNUAL FINANCIAL INPUT	POWERS / LEVELS OF DELEGATION / MONITORING AND REPORTING LINES (where / who do they report and frequency of reporting)
30	Integrated Housing Adaptation Team	Housing Director	GYBC and Norfolk County Council	GYBC, NCC	Delivering adaptations to residents homes	£0 - Host social services Occupational Health Team	Regular operational meetings. County wide 6 weekly meetings and Bi Monthly Strategic IHAP meetings. Serving notice to end the current contractual arrangements so the contract ends on 31 March 2020
31	Housing First	Housing Director		Herring House Trust	Multi agency response to cases of rough sleeping and prevention of homelessness	Circa £30,000 annual return to NCC	SLA and Memorandum of understanding. Returns to NCC. Monthly meetings and Annual review
32	Police and Crime Panel	TBC	Representatives of all district councils & County – have to be members, plus independent	NCC	To scrutinize the PCC for Norfolk	0	Member appointment
33	Gt Yarmouth & Waveney Healthy Homes Assistance including I'm going home	Independent Living Services Manager	GYBC, Waveney DC, Suffolk County Council, NCC, NHS GY & Waveney CCG		An attractive mix of housing that will be fit for purpose for all. Successful pilot year secured funding to March 2019. Better utilisation of Better Care Fund DFG allocation sustain improved safety within homes of targeted cohorts. System savings to reinvest in the delivery of further preventative interventions. Improved outcomes for GYBC & Waveney patients & vulnerable people	Admin and resources to run the scheme. The costs for the actual works undertaken from the respective partners Disable Facilities Grant monies. GYBC - £16,031.99 East Suffolk Council - £16,031.99, SCC £38,761.65, NCC £38,761.65, NHS GY & Waveney CCG - £0 - 20/21 Budget	Memorandum of Agreement. Monthly operational meeting & reporting. Quarterly partner project meeting & reporting. Annual report to partners. As scheme is to March 2020 have not considered Codes of Conduct or creating a risk register, if becomes a full service these will be considered.
34	East Coast Community Health Care	Housing Director	GYBC - EECH	GYBC	To provide a medical screening and occupational health services to Housing Options	Occupational Therapist post to be funded and in HRA reduced budget line to £6,000	SLA . Contract ending 31 March 2020
35	Norfolk Coast (AONB) Partnership (Joint Advisory Panel)	Strategic Planning Manager	GYBC, NNDC, BCKLWN, NCC, BA, Community Representative(s)	Norfolk Coast Partnership Manager	To conserve and enhance the AONB's natural beauty; to facilitate and enhance public enjoyment, understanding and appreciation of it; and to promote sustainable forms of social and economic development that in themselves conserve and enhance the area's natural beauty.	£953 - grant from DEFRA and contributions from local authorities	A GYBC Member sits on the Corporate Management Board of the Partnership. The Management plan is currently being updated for 2019-2024, This should formally be adopted Summer 2019 and will set out responsibilities up until 2024. Member appointment Outside Body#
36	Neighbourhood Management Board – MESH (Gorleston)	Strategic Director - L Barker	Elected members GYBC & NCC, NHS, Police, GYBC, NCC, Ormiston Venture Academy, East Anglian Complementary Health, Business & local residents	Neighbourhood Management.	To coordinate services and activities in Gorleston	£0 - officer time, hosting and managing process	Terms of Reference. Member appointment - Outside Body Query significance rating score - how would we engage with the community
37	Neighbourhood Management Board - Make It Happen (Southtown, Cobholm and Halfway House)	Strategic Director - L Barker	GYBC, Elected members, NHS, Police, NCC and residents	Neighbourhood Management	To coordinate services and activities in Southtown, Cobholm & Halfway House	£0 - officer time, hosting and managing process	Terms of Reference. Member appointment - Outside Body
38	Neighbourhood Management Board - Comeunity (Yarmouth)	Strategic Director - L Barker	Elected members for wards, CVS, NCC and GYBC officer and residents.	Neighbourhood Management	To coordinate services and activities in Yarmouth	£0 - officer time, hosting and managing process	Terms of Reference. Member appointment - Outside Body

						IMPACT ON COUNCIL CORPORATE OBJECTIVES	
NO	PARTNERSHIP NAME	RESPONSIBLE OFFICER	MEMBERS	LEAD PARTNER	PURPOSE / OBJECTIVES	COUNCIL ANNUAL FINANCIAL INPUT	POWERS / LEVELS OF DELEGATION / MONITORING AND REPORTING LINES (where / who do they report and frequency of reporting)
39	Norfolk Health & Wellbeing Board	Strategic Director - P Boyce	All Norfolk districts, NCC, GY and Waveney CCG etc	NCC – Director of Public Health	Prevention, Inequalities and Integration	None - officers and member resource	
40	GY&W Health and Wellbeing Leadership Forum	Strategic Director - P Boyce	East Coast Community Health, Carers Matter Norfolk, All Hallows Healthcare Trust, Icen Healthcare, Waveney DC, Sentinel Leisure Trust, Patient Advisory Group, Great Yarmouth & Waveney, Suffolk CC, James Paget University Hospital, Pulse UK, Healthwatch Suffolk, Voluntary Norfolk	East Coast Community Health		None	
41	Coastal Partnership East	Head of Property and Asset Management	GYBC, Waveney DC , Suffolk Coastal DC, North Norfolk DC	East Suffolk DC	To create a resilient coastal partnership bringing together coastal management, resources and expertise across the partners	£28,056.74 contribution 19/20 (estimate contribution for 20/21 - £30,262)	https://www.coasteast.org.uk/ Coastal Partnership East Board / Environment Committee / Member appointment Outside Body
42	Tidal Defences Business Partnership	Head of Property and Asset Management	Environment Agency, GYBC, local Business representatives	Environment Agency	Raise awareness and funds for the River Yare tidal defences.	£8.2 million Grant & £5.4 million DEFRA grant funding. All funding to EA	Voluntary Group. Memorandum of understanding and Terms of Reference. Quarterly meetings
43	Norfolk Resilience Forum (NRF)	Head of Environmental Services	GYBC, NNDC, SNDC, KLWN, Breckland, Broadland, Norwich, NCC, Norfolk Fire and Rescue, Norfolk Constabulary, East of England Ambulance Trust, Coastguard, Inland rescue, CCG's NHS Trusts	Norfolk Constabulary	To meet the requirements of the civil contingencies Act and to create a resilient partnership across the whole of Norfolk	Circa £1,000 Annual Budget	Memorandum of Agreement. ELT / MT as required

Subject: Partnership Governance Framework

Report to: Audit and Risk Committee, 14 December 2020

Report by: Kaye Bate, Corporate Risk Officer



SUBJECT MATTER/RECOMMENDATIONS

This report contains an update to the Partnership Governance Framework, in accordance with best practice.

Recommendation to Audit and Risk Committee: To approve the revised Partnership Governance Framework as set out in the attached document.

1. INTRODUCTION/BACKGROUND

- 1.1 Partnerships play a key role in delivering community strategies and in helping to promote the well-being of the area. Local authorities work in partnership with others – public agencies, private companies, community groups and voluntary groups. Local Authorities still deliver services, but their distinctive leadership role is to bring together contributions of the various stakeholders. They therefore need to deliver a shared vision of services based on user wishes.
- 1.2 The Chartered Institute of Public Finance and Accountancy (CIPFA) guidance places a greater emphasis on governance arrangements in partnerships and in the need for clear lines of accountability:
 - Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably
 - Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively
 - Ensuring that partnerships are based on:
 - trust
 - a shared commitment to change
 - a culture that promotes and accepts challenge among partners
 - Recognising the benefits of partnerships and collaborative working where added value can be achieved
- 1.3 This governance framework complies with good practice including Delivering Good Governance in Local Government (CIPFA/SOLACE) and aims to ensure that Great Yarmouth Borough Council maintains a structured approach to entering into new partnerships or membership to outside bodies

2. Partnership Governance Framework

- 2.1 The Partnership Governance Framework aims to clarify responsibilities for identifying, reporting and to increase awareness of good governance and risk management.

2.2 The Framework is required to be reviewed every 3 years and submitted to the Audit and Risk committee for approval. On an annual basis details of the responsible officers are reviewed to ensure that the details remain relevant and up to date.

2.3 The Partnership Governance Framework provides guidance to officers on:

- What partnership working is
- How to enter into a new partnership
- How to set up a new partnership
- How to maintain appropriate governance arrangements in existing partnerships
- How to exit from a partnership

The framework does not cover:

- Procurements (unless they are delivering major services in a strategic arrangements)
- Informal discussion / consultation groups
- Short term arrangements

2.4 In support of the Partnership Governance Framework a Partnership Register is maintained which lists all the partnerships that the council are involved in or lead on.

3. FINANCIAL IMPLICATIONS

3.1 None

4. RISK IMPLICATIONS

4.1 There are no direct risks or implications arising from this report

5. CONCLUSIONS

5.1 The attached Partnership Governance Framework has been reviewed in accordance with best practice.

Areas of consideration: e.g. does this report raise any of the following issues and if so how have these been considered/mitigated against?

Area for consideration	Comment
Monitoring Officer Consultation:	No
Section 151 Officer Consultation:	No
Existing Council Policies:	No
Financial Implications:	No
Legal Implications (including human rights):	No
Risk Implications:	No
Equality Issues/EQIA assessment:	No
Crime & Disorder:	No
Every Child Matters:	No



PARTNERSHIP GOVERNANCE FRAMEWORK

Date of Policy	January 2020
Author	Corporate Risk Officer
Document Status	Draft Version 5
Next Review Date	January 2020
Audit and Risk Committee	March 2020

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1.3 Policy statement

1.4 Review

2. Partnership Working

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2.2 Entering into new partnerships where Great Yarmouth Borough Council are not the lead body

2.3 Setting up new partnerships where Great Yarmouth Borough Council are the lead body

2.4 Exiting partnerships

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3.2 Partnership evaluation

3.3 Risk Management arrangements

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3.7 Financial management arrangements

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1.0 Introduction

Partnerships play a key role in delivering community strategies and in helping to promote the well-being of the area. Local authorities work in partnership with others – public agencies, private companies, community groups and voluntary groups. Local Authorities still deliver services, but their distinctive leadership role is to bring together contributions of the various stakeholders. They therefore need to deliver a shared vision of services based on user wishes.

The Chartered Institute of Public Finance and Accountancy (CIPFA) guidance places a greater emphasis on governance arrangements in partnerships and in the need for clear lines of accountability:

- Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably
- Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively
- Ensuring that partnerships are based on:
 - trust
 - a shared commitment to change
 - a culture that promotes and accepts challenge among partners
- Recognising the benefits of partnerships and collaborative working where added value can be achieved

This governance framework complies with good practice including Delivering Good Governance in Local Government (CIPFA/SOLACE) and aims to ensure that Great Yarmouth Borough Council maintains a structured approach to entering into new partnerships or membership to outside bodies

Detailed guidance is available from the Corporate Risk Officer.

1.1 Aims and objectives

The purpose of this framework is to provide guidance on:

- What partnership working is
- How to enter into a new partnership
- How to set up a new partnership
- How to maintain appropriate governance arrangements in existing partnerships
- How to exit from a partnership

The main reasons for entering into a partnership are:

- The desire to find new ways to share risk
- The ability to access new resources
- To provide new and better ways of delivering services and forge new relationships

1.2 Definition of a partnership working

Great Yarmouth Borough Council definition of a partnership is:

‘an agreement between two or more independent bodies to work collectively to achieve an objective’

For Great Yarmouth Borough Council this means:

- Elements of joint problem solving
- Shared Governance
- Collective responsibility
- Longer term mutual support
- Shared aims / vision and an interdependency

This framework does not cover:

- Procurements (unless they are delivering major services in a strategic arrangements)
- Informal discussion / consultation groups
- Short term arrangements

1.3 Policy statement

Great Yarmouth Borough Council is committed to working in partnership to deliver wider outcomes reaching the communities we serve.

We need to have a clear and consistent approach to partnership working in order to ensure that:

- We achieve best value in the provision of services
- We can plan to use resources effectively
- We can encourage innovative working and positive outcomes
- Community leadership and engagement is promoted effectively
- Partnership risks are being managed effectively
- Suitable business continuity arrangements are put in place where the loss of a partnership could adversely affect the ability to deliver critical services
- We can meet our statutory responsibilities where partnerships assist in the delivery of statutory services which are the responsibility of Great Yarmouth Borough Council.

Great Yarmouth Borough Council’s policy in relation to partnerships is to ensure that its formal partnership arrangements:

- Promote at least one of our corporate priorities and reflect our core values
- Provide mutual benefits for each partner in proportion to the contribution
- Satisfy our obligations to deliver value for money and comply with requirements for governance, risk management and probity
- Provide accountability where decisions are being made about expenditure of public money

1.4 Review

The framework will be reviewed at least every 3 years, by the Corporate Risk Officer (or more frequently if fundamental changes are required) and approved by Policy and Resources Committee. Subsequent to any such approval, the following parties shall be consulted:

- Corporate Risk Group
- Executive Leadership Team
- Audit and Risk Committee

The Corporate Risk Officer shall review the framework annually to ensure that details remain relevant and up to date. This review will not require re-endorsement of the policy.

Partnerships and membership to outside bodies should be regularly challenged in line with the terms of reference and classification of the partnership to ensure benefits are still being gained and the partnership is fit for purpose.

2.0 Partnership working

All partnerships should have a formal agreement. The process of agreeing a document is itself an important element of partnership governance; it will help clarify roles and relationships and build goodwill and trust.

Whilst there is no single form of document that will suit the size and scope of all partnerships, the main elements that should be considered are:

- Name of partnership and aims and objectives
- Membership, including status of different Board members
- Powers and roles
- Income and financial matters, including right of access of Internal Audit
- Meetings, minutes and decision making processes
- Timescales and amendments to rules
- Exit strategy

All proposed partnerships will require approval by the Executive Leadership Team (ELT). Appendix 1 provides a checklist of information to be submitted to the ELT.

2.1 Roles and responsibilities

Lead Officer

All partnerships must have a nominated lead officer from GYBC who is responsible for the day to day relationship with the partner organisation and to provide a point of contact between the council and the partnership. The responsibilities of the lead officers are:

- To ensure that the partnership is added to the partnership register and any risks are logged.
- To ensure that the framework is applied to their partnership by following the guidance for governance and accountability for new and existing and for exiting a partnership
- To review performance against agreed procedures and targets and provide updates on partnerships that link into the Councils strategic objectives according to the partnership classification and terms of reference. To report, on an exception basis, if any issues arise between regular reports

- To carry out a review of the partnership governance arrangements in accordance with the terms of reference, progress with the partnership and/or any risk issues that may impact on the Council
- To put information about the partnership on our website and ask them to link to our website if they have one of their own and if appropriate.

Corporate Risk Officer

- To coordinate the Council's approach to partnership governance including quality assurance of adherence to this framework
- To prompt for updates to the Partnership Register
- To include updates on partnership working on an annual basis
- To review the Partnership Governance Framework and publish on the Council's Website and The Loop

Executive Leadership Team / Management Team

- To approve new partnerships
- To agree an effective partnership governance framework to manage partnership working across the Council
- To receive reports on individual partnerships that link into the Council's strategic objectives according to the partnership classification and terms of reference
- To have an overview of partnership working across the Council and to ensure that partnerships are properly supported, and resources are provided to allow partnerships to succeed
- To challenge outcomes and assist lead officers and heads of service to address any issues raised
- To identify learning from the past year and make recommendations as appropriate to ensure that the organisation benefits

Policy and Resources Committee

- To receive a report annually on the effectiveness of partnership arrangements
- To agree where necessary future direction and/or any actions arising from the evaluation
- To assess and challenge continued involvement in partnerships

Director of Finance

The Director of Finance is the strategic champion for partnership governance and is responsible for liaising with the budget holder on partnership governance issues.

- To advise on effective controls that will ensure that resources are not wasted.
- To advise on the key elements of funding a project. They include:
 - risk appraisal and management
 - resourcing, including taxation issues
 - audit, security and control requirements
 - carry-forward arrangements.
- To ensure that the accounting arrangements are satisfactory.

2.2 Entering into new partnerships where GYBC is not the lead body

When approached to enter into a partnership where Great Yarmouth Borough Council is not the lead organisation the lead officer should consider the following:

- Does it assist to deliver the Council's priorities as detailed in 'The Plan'?
- Does it have the appropriate governance arrangements?
- What resources will be required (time, money, stationery)?
- Does the withdrawal of a partner increase the financial risk?
- Will it be able to add value?
- Ensure decision making requirements are met prior to entering into the partnership

2.3 Setting up a new partnership where Great Yarmouth Borough Council is the lead body.

When developing a new partnership, you should be clear how the partnership can achieve your organisation's goals. It includes detailing:

- How many partnerships you need and the type of organisation you will partner with.
- What each partnership needs to deliver for you, your partners and the people of Great Yarmouth in line with community aspirations
- What resources you and your partners will need to achieve those aims
- The criteria to enable you to select and understand how to work with partners
- The activities can be focused on a service area or the whole organisation. In deciding the scale, consider key stakeholder, their authority and the level of sponsorship
- How the partnership will add value to existing arrangements
- Making sure the appropriate monitoring body is aware of the partnership

Organisations that approach partners without thorough completion of these matters risk the following outcomes:

- Partnership overload: Duplicate partnerships will be developed, and activity will not be co-ordinated across a number of business areas
- High failure rate during Partnership Development: Without clarity of why partnerships are being developed and what's in it for partners, negotiation can become difficult and often fail
- Over promising under delivering: Failing to recognise the resources needed to deliver the partnership and can lead to expectations being set which cannot be met
- Partnership fatigue: The true power of developing partnership which you couldn't do alone is lost and become a by-word for a range of relationships

The partnership must understand clearly what the partnership will deliver for itself and its partners, the resources needed and the actions to progress each partnership to launch. Included in this should be:

- Clear objectives linked to strategic aims and objectives
- A description of the proposition the partnership will deliver and its benefits for the organisation, each of the partners and the people of Great Yarmouth as a whole
- The detailed information that will enable stakeholders to understand the resources they will provide and those needed from partners
- An action plan through to the partnership's launch including structure, governance and terms of reference
- Legal and financial regulations

- Associated risks and issues

For partnerships that link into the delivery of the Council's strategic objectives the answers to the above questions should be documented in a short briefing note to ELT to ask for approval to proceed.

2.4 Exiting partnerships

All partnering arrangements have a life span and it is important to identify when they no longer meet the needs of the partner. When no longer effective the partnership should meet to discuss:

- The circumstances under which a partnership may be dissolved
- The legalities and financial implications / final account
- Any outstanding work or business
- End of partnership report
- Communication to stakeholders not directly involved in the management of the partnership
- Communication to the Council for removal from the Partnership Register

A clear exit strategy needs to be in place for both the planned and unplanned cessation of a partnership arrangement. An exit plan allows for:

- Minimal disruption
- Smooth transition (away from the partnership)
- No nasty surprises

3.0 Governance arrangements for partnerships

Governance should be proportionate to responsibilities and risks. Arrangements should promote financial and management accountability between partners and support good governance.

The main objective is to ensure a successful partnership that delivers high quality and cost effective services through ensuring robust governance and risk management practices are in place. Further guidance can be obtained from the Corporate Risk Officer.

Not all partnerships carry the same degree of risk. Appendix 2 sets out the definition and governance requirements for each classification of a partnership.

3.1 Partnership Register

A Partnership Register is maintained by the Corporate Risk Officer and published on The Loop. The register will be reviewed on a quarterly basis and presented to ELT / MT.

The partnership register main functions are:

- To provide an overview of the partnerships that the Council has and how these link to the council's Strategic, Corporate / Contractual and Operational objectives
- To provide a framework to allow a robust challenge and scrutiny of the partnerships and membership of outside bodies to take place
- To identify any group relationship (for accounting purposes) and/or any governance issues for exception reporting.

It is intended that partnerships will be managed at the service level but with an overview and challenge at corporate leadership level.

3.2 Partnership evaluation

Partnerships must be evaluated as per the partnership classification and terms of reference to ensure that they remain fit for purpose and continue to provide value for money.

This evaluation should be carried out by the lead officer and any issues noted in the partnership register. Any exceptions should be reported to the relevant Head of Service for reporting purposes if required.

3.3 Risk Management arrangements

Risk management is about identifying and managing significant obstacles and weaknesses that exist within the partnership. All partnerships, regardless of their size and scope should consider risk. For more significant partnerships a risk assessment and joint risk register maybe required which can also specify which agency or agencies are responsible for managing the action plan to reduce individual risks.

By knowing and understanding the risks, the partnerships will be better informed when it comes to setting priorities, policy making, financial planning and managing performance. A good place to start is by considering a few basic questions:

- What are the partnerships objectives?
- What things might stop the partnership from achieving their objectives?
- What, if anything, can be done to prevent things from happening?

When identifying partnership risks consideration should be given to doing this as a joint exercise with all partners.

Typical risks associated with partnership working are for example;

- Unclear governance arrangements
- Service delivery failures
- Incompatible systems and processes
- Lack of commitment from other partners
- Unclear financial and legal liabilities
- Differing cultures – poor relationships
- Failure of partners to perform

For more information, including useful prompts to the type of risks which partnerships might consider detailed guidance can be obtained from the Corporate Risk Officer.

3.4 Equality arrangements

All partnerships regardless of their size and scope should consider equality and diversity issues and agree a reasonable approach to equality analysis. For more information, including guidance and example of equality analysis template please contact the Equality Team.

A designated member of the partnership management group should be identified as having responsibility for ensuring consideration of equality and diversity issues with appropriate recording and review.

3.5 Information sharing arrangements

Where partnership arrangements involve sharing, storing or collecting of information, responsibility needs to be assigned and appropriate controls put in place. You must ensure that there is a legal requirement to share this information and further guidance can be sought from the Council Senior Information and Performance Manager.

3.6 Performance management arrangements

Monitoring and reporting should take place within the partnership to understand how it is progressing. This should include review of:

- Progress against milestones
- Performance against key indicators
- Progress against budgets
- Actions from annual review where appropriate
- Progress against key actions
- Performance on managing risk
- Governance arrangements

Slippage or deviation in agreed key performance indicators must be reported back to the partnership and consideration given to exception reporting to the Council if appropriate.

There is an expectation that the Council will only become involved in partnerships that have in place at least basic arrangements for performance management. Partnerships with more formal workload, more onerous responsibilities and larger resources will have more sophisticated performance management arrangements in place. Lead officers on partnerships should consider aligning these arrangements with the Council's own performance management system.

Reviewing the partnership will provide assurance that proper systems are in place and that the partnership's outcomes and performance can be monitored and evaluated. It will also provide the partnership with reassurance about the effectiveness and value of its own input, and whether our requirements are being met.

3.7 Financial management arrangements

The Council has its own financial regulations and the financial arrangements in a partnership should not contradict this but seek to encapsulate those standards.

Financial issues should be considered when setting up or entering into a partnership. Some partnerships may not have any financial accountability. Further guidance can be obtained from the Director of Finance. The arrangements must set out:

- The accountable organisation
- Level of reporting
- Procedure for authorisation of expenditure
- Frequency of reporting
- Procedures for expenditure decisions

Frequency will depend on statutory requirements, size and accountability of each partnership.

Partnerships are often set up as a result of Government initiatives and funded by a grant. Upon cessation of the grant the Council may be expected to include these projects into the Councils day to day business therefore you need to be aware of potential funding shortfalls, loss of assets etc. A clear exit strategy needs to be in place for both planned and unplanned occasion of a partnership arrangement.

Document Retention: it should be identified who is going to be responsible for holding documents and for that party to be aware of the legal requirements of retaining documents for various statutory and grant body requirement periods.

3.8 Code of conduct

Board members and staff will observe the Council's Codes of Conduct for members and officers and Behaviours Framework, which include disclosure of personal interest, register of hospitality and the Protocol on gifts and hospitality. Many other partnership members will have their own standards and codes from employing bodies to follow, it is important that each partnership design their own shared codes of conduct that all members can agree to conform to.

Employees are also reminded of the Whistleblowing Policy. This policy is intended to encourage and enable employees to raise serious concerns within the Council rather than overlooking a problem or 'blowing the whistle' outside. This policy document makes it clear that you can do so without fear of victimisation, subsequent discrimination or disadvantage. This policy applies equally to the work that staff do within partnerships.

Employees are also reminded of the Council's Safeguarding Policy. This policy sets out the Council's protection procedures and specifies the roles and responsibilities of the Council's representatives for whom this policy and procedures is mandatory. This policy applies equally to the work that staff do within partnerships.

Appendix 1: Checklist for ELT Approval

	Requirement	Attached
1	Name of Partnership	
2	Why is the Partnership required/what value does it add	
2	Membership	
3	Powers and Roles (inc agreed key performance indicators)	
4	Budget/Financial Exposure	
5	Governance (audit, financial, annual review)	
6	Meetings	
7	GYBC Resource requirements (staff, time)	
8	Risk profile (reputation, cost, outcomes)	
9	Classification (Strategic, Corporate, Operational)	
10.	Exit Strategy	

Appendix 2: Partnership Classification, Definition and Operational Requirements

	Strategic – help to delivery corporate vision and values	Corporate - support or connect and relate to borough as a whole	Operational / Contractual - Service providing a service
Definition	<ul style="list-style-type: none"> Delivered as part of GYBC Corporate Strategy High value May impact reputation/service if not delivered 	<ul style="list-style-type: none"> Impacts / related to more than one service Medium resource commitment Significant reputational impact if not delivered Statutory Requirement 	<ul style="list-style-type: none"> Linked to key service delivery Delivered by single service/team Contributes to service delivery Delivering Statutory or optional service High reputational impact if not delivered
Requirements	<ul style="list-style-type: none"> Partnership Agreement in place Operational / implementation plan in place Risks understood and mitigated Regular stakeholder meetings take place, issues logged Six monthly performance reports provided to ELT 	<ul style="list-style-type: none"> Partnership Agreement in place Operational / implementation plan in place Risks understood and mitigated Regular stakeholder meetings take place, issues logged Annual performance reports provided to ELT 	<ul style="list-style-type: none"> Working practices understood and agreed Resources managed to ensure effective working Head of Service provides appropriate management and oversight Performance updates provided to the Management Team as appropriate

AUDIT AND RISK COMMITTEE – WORK PROGRAMME 2020/21

September 2020*	December 2020	January 2021	March 2021
Internal Audit			
Progress Report on Internal Audit Activity 2020/21		Progress Report on Internal Audit Activity 2020/21	Progress Report on Internal Audit Activity 2020/21
Follow Up Report on Internal Audit Recommendations	Follow Up Report on Internal Audit Recommendations - Update	Follow Up Report on Internal Audit Recommendations	Follow Up Report on Internal Audit Recommendations
Head of Internal Audit Annual Report and Opinion 2019/20		Audit Committee Self-Assessment	Strategic and Annual Internal Audit Plan 2021/22
External Audit			
Annual Audit Letter Year ended 31 March 2019			
2019/20 Audit Plan			Audit Results Report 2019/20**
Finance / Accounts			
			Final Statement of Accounts 2019/20 **
Risk Management			
Annual Report on Risk Management Arrangements 2019/20		Corporate Risk Register	Corporate Risk Register
Governance			
Code of Corporate Governance	Partnerships Register		Partnerships Register
	Partnerships Governance Framework		
Draft Annual Governance Statement 2019/20		Annual Governance Statement – Progress Update	Final Annual Governance Statement 2019/20**

*Includes items previously scheduled for June/July Audit and Risk Committee – moved to September or November

AUDIT AND RISK COMMITTEE – WORK PROGRAMME 2020/21

** For reporting on conclusion of the annual accounts audit for 2019/20.