



NEWPORT
CITY COUNCIL
CYNGOR DINAS
CASNEWYDD

Annual Governance Statement
2022/23

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Introduction

Newport City Council (the Council) is responsible for ensuring that its business is conducted in accordance with the law and to proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. In discharging this overall responsibility, the Council is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions and arrangements for the management of risk.

'CIPFA's Statement on the Role of the Chief Financial Officer in Local Government (2010)' sets out the governance arrangements which are in place within the Council to ensure sound financial management. The Council's [Code of Corporate Governance](#) sets out its commitment to good Governance, which is consistent with the principles of the CIPFA/SOLACE Framework '*Delivering Good Governance in Local Government*'. This was initially approved by Cabinet and then Council in July 2013 with a further update approved by Cabinet in July 2014. The Code was updated in 2019/20 and approved by Cabinet in April 2021.



Purpose of the Annual Governance Statement

The Council's Annual Governance Statement (AGS) provides assurances over the effectiveness of Council's Governance arrangements together with identifying areas of future focus and improvement. The AGS is based upon an assessment of the Council's Code of Corporate Governance and the 7 principles:

A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.	E. Developing the entity's capacity, including the capability of its leadership and the individuals within it.
B. Ensuring openness and comprehensive stakeholder engagement.	F. Managing risks and performance through robust internal control and strong public financial management.
C. Defining outcomes in terms of sustainable economic, social, and environmental benefits.	G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability.
D. Determining the interventions necessary to optimise the achievement of the intended outcomes.	

The AGS is a requirement of the Accounts and Audit (Wales) Regulations 2014. It also takes account of the Local Government and Elections (Wales) Act 2021. This Statement will be incorporated into the Council's Annual Wellbeing Self-Assessment Report. This Statement demonstrates that Newport City Council is compliant with these regulations for 2022/23.

Section 2 of the AGS provides an overview of the Council's Self-Assessment and the recommendations / further actions it needs to undertake to improve its governance arrangements.

Local Government and Elections (Wales) Act 2021

The Local Government and Elections (Wales) Act 2021 requires local authorities to secure continuous improvement in the way, which its functions are exercised, having regard to strategic effectiveness, service quality, service availability, fairness, sustainability, efficiency and innovation. As part of the Act, the Council has to annually self-assess its governance and performance arrangements and to keep under review the extent to which it is fulfilling the 'performance requirements' that is, the extent to which:

- It is exercising its functions effectively;
- It is using its resources economically, efficiently and effectively; and
- Its governance is effective for securing the above.

To assess the effectiveness of the Council's governance and performance arrangements, the Act advises that local authorities can integrate its Annual Well-being Report (Well-being of Future Generations Act), AGS and other annual / statutory reports to support the Council's overall self-assessment. The findings, areas for improvement and actions of this AGS will be integrated into the Council's annual Well-being Self-Assessment report.

About Newport City Council and its Governance Framework

Newport City Council consists of 51 elected members representing [21 Wards](#) across Newport. Local Councillors are elected by the community to decide how the Council should carry out its various activities and represent public interest as well as individuals living within the ward.

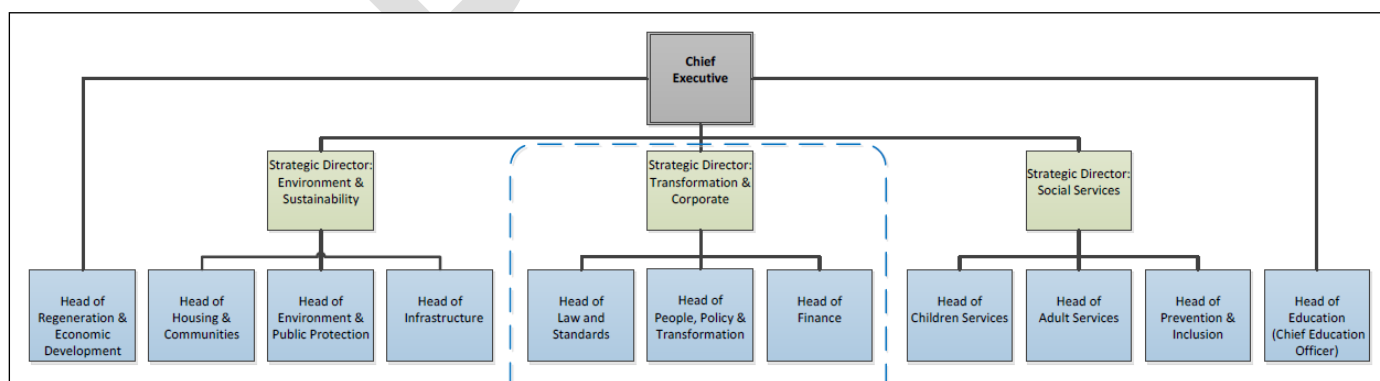
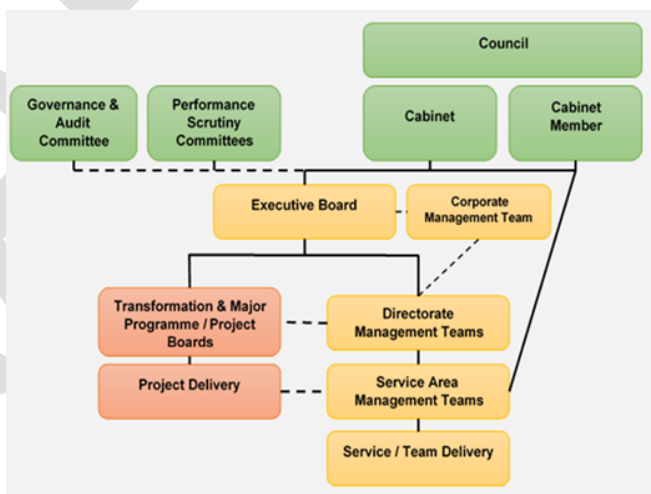
The roles and responsibilities (including decision making) of the Council, its Cabinet and supporting committees are outlined in the [Council's Constitution](#) which was last updated in March 2023. Officers (employees, staff inc. agency or other non-employed situations) are responsible for carrying out the Council's functions.

The Cabinet carries out all of the Council's functions which are not the responsibility of any other part of the Council (whether by law or under the Council's Constitution). The Cabinet consists of the Leader with a maximum of 9 other Councillors appointed to the Cabinet to oversee the delivery of specific functions.

Newport City Council's [Democratic and Committee structure](#) consists of a wide range Standing Regulatory Committees, Overview & Scrutiny Committees and other committees to enable and support the Council and Cabinet to discharge its duties and responsibilities set out in the Council's constitution.

The Council's Chief Executive and Head of Paid Service is the Council's primary policy advisor and works with elected members and lead the Council's strategic management team to ensure that direct services to the public and support services are managed effectively and economically to provide best value. To support the Chief Executive the Council has three Strategic Directors and 11 Heads of Service some of whom provide statutory roles:

- Chief Executive & Returning Officer
- Chief Finance Officer (Section 151 Officer) – Head of Finance
- Director of Social Services
- Chief Education Officer
- Monitoring Officer and Head of Democratic services – Head of Law & Standards
- Senior Information Responsible Officer – Head of Law & Standards



The governance framework comprises the systems and processes, and culture and values, by which the Council is directed and controlled and its activities through which it accounts to, engages with and leads the

community. It enables the Council to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost effective services.

The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an on-going process designed to identify and prioritise the risks to the achievement of the Council's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically. The governance framework has been in place at the Council throughout the year 2022/23, and up to the date of approval of the statement of accounts.

Newport City Council's Corporate Plan 2022-27

The Council's [Corporate Plan](#) for 2022 to 2027 "*An Ambitious, Fairer, Greener Newport for everyone*" sets out the 5 year vision and direction for the Council. This was signed off during 2022/23. The Corporate Plan forms part of the Council's policy framework, and prior to agreement had been through the necessary consultation with scrutiny and members of staff.

The Corporate Plan outlines four Well-being Objectives which will support the Well-being of Future Generations Act and local, regional and national delivery. The Well-being Objectives are:

- **Well-being Objective 1 (Economy, Education & Skills)** – Newport is a thriving and growing city that offers excellent education and aspires to provide opportunities for all.
- **Well-being Objective 2 (Newport's Environment & Infrastructure)** – A city that seeks to protect and enhance our environment whilst reducing our carbon footprint and preparing for a sustainable and digital future.
- **Well-being Objective 3 (Preventative and Equitable Community and Social Care)** – Newport is a supportive city where communities and care are at the heart of what we do.
- **Well-being Objective 4 (An Inclusive, Fair and Sustainable Council)** – Newport City Council is an inclusive organisation that places social value, fairness and sustainability at its core.

The Corporate Plan is delivered through service area plans. Service plans are set in conjunction with Cabinet Members and scrutiny committees to ensure oversight and accountability for the delivery of the actions. An annual report of progress against the Corporate Plan is presented to Cabinet and published so that it can be shared with all employees and members of the public to present an open and transparent view of how the Council is working towards its vision and objectives and how further work will be focused to ensure further improvement.

Regional and Partnership Involvement

The Council is also involved with several regional partnership groups which are responsible for discharging duties prescribed in various legislation. Each of these groups have their own formal governance and performance arrangements which are subject to their own legislative and local arrangements. A summary of the Council's involvement in these groups are outlined below:

- **[Gwent Public Services Board \(PSB\)](#)** – The Gwent PSB was established by the Well-being of Future Generations (Wales) Act 2015. The Gwent PSB includes representatives from other Gwent local authorities, Health, South Wales Fire and Rescue service, Natural Resources Wales. Other strategic partners such as Gwent Police, Public Health Wales, University of South Wales and others are also involved.
- **[Cardiff Capital Region \(Corporate Joint Committee\)](#)** - The Local Government and Elections (Wales) Act 2021, allowed for the creation of Corporate Joint Committees (CJCs) to oversee the delivery of regional development plans, transport plans and economic plans. Similar to local authorities, the CJC

has to publish and deliver a [Well-being Plan](#) and further governance arrangements in relation to the CJC are in progress. Further detail on CJC activities can be found [here](#).

- [Gwent Regional Partnership Board \(RPB\)](#) – Local authorities and local health boards are required to establish Regional Partnership Boards under the Partnership Arrangements (Wales) Regulations 2015. The Gwent RPB consists of the Gwent local authorities and Aneurin Bevan University Health Board to discharge these duties.

How did we Assess the Effectiveness of our Governance Arrangements?

The effectiveness of the Council’s governance arrangements was undertaken through a series of evidence based assessments used to assess their effectiveness to enable the Council to discharge its duties under the Code of Corporate Governance and its 7 principles.

A wide range of internal and external evidence was obtained to demonstrate where the Council was meeting its requirements under the Code of Corporate Governance and also where further improvements need to be undertaken. The table below provides a summary of key evidence and assurance activity to demonstrate how the Council assessed its arrangements and the sources of the evidence received. These are outlined in greater detail in section 2 of the report.

Assurance Required	Evidence of Assurance Received
<ul style="list-style-type: none"> • Achievement of Objectives. • Adherences to ethical standards. • Compliance with laws, regulations, internal policies & procedures. • Standards of conduct and behaviour. • Financial Management including value for money. • Sustainability. • Quality of service delivery. • Management of risk(s). • Accountability. 	<ul style="list-style-type: none"> • Council Constitution. • Codes of Conduct • Corporate / Service policies & procedures. • Democratic Council and Cabinet. • Performance Scrutiny and Regulatory Committees. • Governance & Audit Committee • Agendas, minutes and webcasts of Democratic committees. • Executive Leadership Team and statutory officer groups • Internal Audit reports • External Regulator reports (Audit Wales, Care Inspectorate Wales & Estyn) • Other external reports on effectiveness of services • Statutory and discretionary annual reports • Financial Regulations and Contract Standing Orders • Medium Term Financial Plan, Statement of Accounts • End of Year Performance Reports • Risk Reports • Counter Fraud arrangements • Annual Well-being and Governance Assessment • End of year performance reports and service plans • Ombudsman’s annual letter.

Internal Audit (IA) and Annual Audit Opinion 2022/23

The Public Sector Internal Audit Standards (PSIAS) state that the ‘Chief Audit Executive must deliver an annual internal audit opinion and report that can be used by the organisation to inform its governance statement.’ Internal Audit is an independent, objective assurance and consulting activity designed to add value and improve an organisation’s operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance process.

IA provides assurance to the Executive Board, Heads of Service and the Governance & Audit Committee that services are being delivered effectively, efficiently and economically with fraud and error minimised. In the Chief Internal Auditor’s opinion, adequate assurance was obtained over the course of 2022/23 resulting in an

overall 'Reasonable' assurance audit opinion to be issued for the Council's internal controls. This was based on audit work undertaken by the team; the Revised Internal Audit Annual Plan was approved by the Governance & Audit Committee in July 2022. 77% of the approved Audit Plan was completed against the target of 80%, with 38 audit opinions issued. Further detail regarding the Internal Audit work undertaken and the team's performance is included within the Internal Audit Annual Report 2022/23 which was presented to the Governance & Audit Committee in May 2023.

Four unfavourable audit opinions were issued during 2022/23, 2 within Social Services, 1 within Finance/all services and 1 within Infrastructure. These have been brought to the attention of the Governance & Audit Committee and call ins to Committee have taken place during the year and/or are due to take place during 2023/24.

The Corporate Governance Follow Up audit commenced during 2022/23. This audit was previously rated as unsatisfactory. The audit was concluded in June 2023 and a draft report issued. An improved draft opinion rating of 'Substantial' (level of Assurance) was given, demonstrating the improvements made and actions taken by managers to improve the overall governance arrangements.

Note: *At the end of 2022/23 and into quarter 1 of 2023/24, a Corporate Risk has been raised in relation to the Internal Audit service providing overall audit opinion on the effectiveness of the Council's internal control. This has not impacted on the 2022/23 Annual Governance Statement but will be considered as part of the 2023/24 AGS assessment.*

Section 2 – Annual Governance Statement Summary and Overall Conclusion 2022/23

The Council has overall assessed its governance arrangements to be **effective**. The Council has based this upon the assessment completed in the table below. Any actions outstanding from the 2021/22 Annual Governance Statement and any further actions to improve can be seen in the Action Plan in **Section 3**.

Summary of the Council's Assessment against the Code of Corporate Governance Principles:

Principle	Red (R)	Amber (A)	Green (G)	No. of Actions
Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.				6
Principle B: Ensuring openness and comprehensive stakeholder engagement.				3
Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits.				0
Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes.				4
Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it.				3
Principle F: Managing risks and performance through robust internal control and strong public financial management.				2
Principle G: Implementing good practices in transparency, reporting and audit to deliver effective accountability.				1

Key:

	Generally sound governance arrangements in place, moderate issues for improvement identified.
	Significant issues identified that could impact on the overall governance arrangements. Actions required.
	Critical issues have been identified. Improvements required urgently.

Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.



The Council is accountable not only for how much it spends, but also for how we use the resources under our stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes we have achieved. In addition, we have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, we can demonstrate the appropriateness of all our actions and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.

Sub-Principles	What Arrangements are in place to support this?	Further Assurances / Areas for Improvement (Where Applicable) Received 2022/23	Further Action(s) to improve
<p>Behaving with integrity</p>	<ul style="list-style-type: none"> ▪ Members Code of Conduct in Constitution which reflects Local Authorities (Model Code of Conduct) (Wales) Order 2016. ▪ Employee Code of Conduct in Constitution (Feb 2023). ▪ Registers of employee declarations / interests and gifts & hospitality. ▪ Induction training for Members and Employees. ▪ Member/Officer Protocol in Constitution. ▪ Whistleblowing Policy (July 2022) ▪ Anti-Fraud, Bribery and Corruption Policy (Cabinet – April 2021) ▪ Standards Committee ▪ Standards Committee Annual Report presented to Council. ▪ Member Dispute Resolution ▪ Compliments, Comments and Complaints Policy. 	<ul style="list-style-type: none"> ▪ For 2022/23, all of the Council’s existing policies and procedures remain in place. <p>Additional assurances and of improvement include:</p> <ul style="list-style-type: none"> ▪ Newport City Council is developing its new People Plan which will support new Council Values. This is identified as a key action in the People, Policy & Transformation Service Plan. ▪ New online processes introduced for employee declarations and gifts & hospitality. ▪ New e-Learning module on Whistleblowing introduced for all staff. There were 4 Whistleblowing cases raised during 2022/23, all of which were not upheld. 	<ul style="list-style-type: none"> ▪ Launch / Introduce new People Plan and Council values. ▪ Development of a Fraud Risk Assessment. ▪ Review Counter Fraud arrangements and strengthen reporting in this area. ▪ NCC Code of Corporate Governance to be reviewed / updated.

Sub-Principles	What Arrangements are in place to support this?	Further Assurances / Areas for Improvement (Where Applicable) Received 2022/23	Further Action(s) to improve
	<ul style="list-style-type: none"> ▪ Code of Corporate Governance ▪ Monthly staff communications through staff newsletters. 	<ul style="list-style-type: none"> ▪ Revised Policy Customer Feedback: Compliments, Comments and Complaints (April 2023). ▪ Standards Committee 2021-22 Annual Report to Council Nov 2022. ▪ Regular update to Standards Committee on complaints made to the Ombudsman about City & Community Councillors. (April 2022, July 2022, Jan 2023). 	
Demonstrating strong commitment to ethical values	<ul style="list-style-type: none"> ▪ Corporate Plan 2022-27 has set four principles for delivery. ▪ Contract Standing Orders (2020). ▪ Codes of Conduct for Members and Employees. ▪ Financial Regulations (2016). ▪ Standards Committee. ▪ Whistleblowing Policy (July 2022) ▪ Employee HR policies and engagement. ▪ Compliments, Comments and Complaints Policy and Annual Report. 	<ul style="list-style-type: none"> ▪ For 2022/23, all of the Council's existing policies and procedures remain in place. <p>Additional assurances include:</p> <ul style="list-style-type: none"> ▪ Corporate Plan 2022-27 has four principles which will support its delivery: Fair and Inclusive, Empowering each other; Listening Council; Newport's Values (People Plan). ▪ Employee Code of Conduct Updated February 2023 for disclosures. ▪ New e-Learning module on Whistleblowing introduced for all staff. ▪ Mandatory training for all employees. ▪ Staff networks established with well-being / ethical focus and commitments 	Creation of an employee values and behaviour framework and policy
Respecting the rule of law	<ul style="list-style-type: none"> ▪ Member and Employee Codes of Conduct in Constitution. ▪ Role of Head of Paid Service, Section 151 Officer and Monitoring Officer established in Constitution. ▪ CIPFA statement on the Role of the Chief Financial Officer. ▪ Anti-Fraud, Bribery and Corruption Policy (Cabinet – April 2021) ▪ Governance & Audit Committee 	<ul style="list-style-type: none"> ▪ For 2022/23, all of the Council's existing policies and procedures remain in place. <p>Additional assurances include:</p> <ul style="list-style-type: none"> ▪ Newport Constitution updated 1st March 2023. ▪ Employee Code of Conduct Updated February 2023 for disclosures. ▪ Mandatory training for employees. 	No further action required.

Sub-Principles	What Arrangements are in place to support this?	Further Assurances / Areas for Improvement (Where Applicable) Received 2022/23	Further Action(s) to improve
	<ul style="list-style-type: none"> ▪ Internal Audit Section ▪ Internal Audit Annual Report presented to Governance & Audit Committee. ▪ Audit Wales Annual Audit Letter ▪ Standards Committee ▪ Whistleblowing Policy (July 2022) ▪ Customer Compliments, Comments and Complaints Policy. ▪ Disciplinary Policy (Dec 2021) ▪ Regulatory Committees – Licensing & Planning 	<ul style="list-style-type: none"> ▪ IA Annual Report 2021/22 to G&AC May 2022. ▪ Standards Committee 2021-22 Annual Report to Council Nov 2022. ▪ Regular update to Standards Committee on complaints made to the Ombudsman about City & Community Councillors. (April 2022, July 2022, Jan 2023). 	

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Principle B: Ensuring openness and comprehensive stakeholder engagement.



Local government is run for the public good; organisations therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.

Sub-Principles	What Arrangements are in place to support this?	Further Assurances / Areas for Improvement (Where Received 2022/23)	Further Action(s) to improve									
<p>Openness</p>	<ul style="list-style-type: none"> ▪ Committee meeting agendas and papers published in advance of meetings. ▪ Minutes published following meetings. ▪ Decision making process described in Constitution. ▪ Forward Work Programmes published on website showing key decisions to be made by Council and Cabinet. ▪ Consultation and Engagement Strategy & Consultation. ▪ Annual budget consultation Publication Scheme. ▪ Freedom of Information and Subject Access Requests. ▪ Customer Compliments, Comments and Complaints Policy. ▪ Public questions at Council and Cabinet Engagement with hard to reach groups such as BME, Disability and LGBTQ+ communities. As well as engagement with 	<ul style="list-style-type: none"> ▪ For 2022/23, all of the Council's existing policies and procedures remain in place. <p>Additional assurances include:</p> <ul style="list-style-type: none"> ▪ NCC Transparency Webpages updated. ▪ Customer Compliments, Comments and Complaints Policy updated and now reported to Governance & Audit Committee. (29th September 2022 & 30th March 2023) ▪ The Council has responded to Freedom of Information Act requests within the required 20 days: <table border="1" data-bbox="1066 1217 1621 1377"> <thead> <tr> <th></th> <th>2021-22</th> <th>2022-23</th> </tr> </thead> <tbody> <tr> <td>No' of FOI requests</td> <td>953</td> <td>992</td> </tr> <tr> <td>No' responded to within 20 days</td> <td>853</td> <td>903</td> </tr> </tbody> </table>		2021-22	2022-23	No' of FOI requests	953	992	No' responded to within 20 days	853	903	<p>No further action required.</p>
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Sub-Principles	What Arrangements are in place to support this?	Further Assurances / Areas for Improvement (Where Received 2022/23 Applicable)			Further Action(s) to improve
	children and young people to meet the requirement of the UNCRC.	% of FOIs responded to within 20 days	89.5% Target 88%	91% Target 88%	
Engaging comprehensively with institutional stakeholders	<ul style="list-style-type: none"> ▪ Public Service Board and One Newport Plan/Well- Being Plan. ▪ South East Wales Corporate Joint Committee. ▪ Community Safety Partnership. ▪ Partnership agreements including TOR / Contract arrangements. ▪ Partnerships Scrutiny Committee. ▪ Consultations, Surveys and Engagements. 	<ul style="list-style-type: none"> ▪ For 2022/23, all of the Council’s existing policies and procedures remain in place. <p>Additional assurances include:</p> <ul style="list-style-type: none"> ▪ The South East Wales CJC was established in 2022/23 and governance arrangements are still in progress. ▪ Partnerships Scrutiny Committee role is to assess the effectiveness of arrangements in place. ▪ Have Your Say – Consultations Webpages. 	No further action required.		
Engaging with individual citizens and service users effectively	<ul style="list-style-type: none"> ▪ Ward role of Councillors / ward meetings. ▪ Review of Public Engagement in Newport City Council. ▪ Participation Strategy 2022-2026 ▪ Have Your Say consultations on NCC Webpage ▪ Consultation principles and toolkit available on Intranet. ▪ Compliments, Comments & Complaints Policy and Annual Report. ▪ Medium Term Financial Plan (Budget Proposals) – Public Engagement. ▪ Public wi-fi on Newport Transport buses. 	<ul style="list-style-type: none"> ▪ For 2022/23, all of the Council’s existing policies and procedures remain in place. <p>Additional assurances include:</p> <ul style="list-style-type: none"> ▪ Participation Strategy was implemented in 2022/23 as part of Local Government and Elections (Wales) Act 2021. ▪ Annual Report on Compliments, Comments & Complaints for 2021/22 to G&AC 29th September 2022 & Cabinet 16th November 2022. ▪ Specific engagement work on key projects to improve participation e.g. play areas improvement programme. ▪ Participatory budgeting programmes delivered with communities / residents 	<p>Developments to Council website to improve access and interaction and quality of information.</p> <p>As part of wider Customer Services review; engage with users / customers to assess experience and ease of use of on-line ‘My Council Services’ system</p>		

Sub-Principles	What Arrangements are in place to support this?	Further Assurances / Areas for Improvement (Where Applicable) Received 2022/23	Further Action(s) to improve												
		<p>to identify projects and priorities for one-off funding ‘</p> <ul style="list-style-type: none"> The following table shows the number of complaints received for the past two years: <table border="1" data-bbox="1066 475 1624 754"> <thead> <tr> <th></th> <th>2021-22</th> <th>2022-23</th> </tr> </thead> <tbody> <tr> <td>Stage 1 Complaints</td> <td>271</td> <td>341</td> </tr> <tr> <td>Stage 2 Complaints</td> <td>31</td> <td>46</td> </tr> <tr> <td>Complaints to PSOW</td> <td>24</td> <td>37</td> </tr> </tbody> </table> <ul style="list-style-type: none"> Have Your Say – Consultations Webpages 		2021-22	2022-23	Stage 1 Complaints	271	341	Stage 2 Complaints	31	46	Complaints to PSOW	24	37	
	2021-22	2022-23													
Stage 1 Complaints	271	341													
Stage 2 Complaints	31	46													
Complaints to PSOW	24	37													

Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits.



The long-term nature and impact of many of local government's responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the Authority's purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.

Sub-Principles	What Arrangements are in place to support this?	Further Assurances / Areas for Improvement (Where Received 2022/23)	Further Action(s) to improve
Defining Outcomes	<ul style="list-style-type: none"> ▪ Corporate Plan produced and reviewed annually in accordance with Local Government & Elections (Wales) Act 2021 and 'Wellbeing Objectives' in Wellbeing of Future Generations (Wales) Act 2015. ▪ Other strategic plans to support Corporate responsibilities e.g. Climate Change Plan, Local Area Energy Plan, Welsh Language Plan etc. ▪ Annual and Mid-year Performance Monitoring Reports. ▪ Annual Self-Assessment Review. ▪ Well-being Plan 2018-23 produced by Public Service Board (One Newport) ▪ Service Plans reviewed annually by each Head of Service. ▪ Monthly Performance and Financial Monitoring meetings held for each service area. 	<ul style="list-style-type: none"> ▪ For 2022/23, the Council's existing policies and procedures remain in place. <p>Additional assurances include:</p> <ul style="list-style-type: none"> ▪ Corporate Plan 2022-27 approved by Council in November 2022. ▪ Other strategies updated in 2022/23 were Digital Strategy 2023-2027, Participation Strategy 2022-2026, Welsh Language Strategy 2022-2027 and Welsh in Education Strategic Plan 2022-2032. ▪ Annual Self-Assessment Report 2022/23 to be published in October / November. ▪ Mid-year review 2022/23 paused but replaced with Scrutiny review of new service plans to support new Corporate Plan. ▪ 2022/23 End of Year Reviews to be completed in July 2023. 	<p>No further action required on framework in place</p> <p>Local Air quality Plan will be approved and published in 2023/24</p>

Sub-Principles	What Arrangements are in place to support this?	Further Assurances / Areas for Improvement (Where Applicable) Received 2022/23	Further Action(s) to improve
	<ul style="list-style-type: none"> ▪ Corporate Performance and Planning Policy and Risk Management Policy. 	<ul style="list-style-type: none"> ▪ Performance and Planning Policy updated and finalised in June 2023. ▪ Risk Management Policy to be updated in Autumn 2023. ▪ New Regional PSB Well-being Planned in development. Launched in 2023/24 ▪ RPB Annual report 2023/24 setting out progress of regional priorities and outcomes. 	
<p>Sustainable economic, social and environmental benefits</p>	<ul style="list-style-type: none"> ▪ Medium Term Financial Plan covering 3 financial years approved annually by Council. ▪ Strategic Plan for Procurement 2020-2024 ▪ Corporate Plan 2022-2027 ▪ Climate Change Plan 2022-2027 ▪ FEIAs including Socio-Economic Duty. ▪ Performance and Planning Policy and Risk Management Policy ▪ Cabinet Reports and Scrutiny Reports ▪ One Newport (PSB) / / Marmot Principles (Fair Society Healthy Lives) ▪ New regional Area Plan 2023/24 signed off by RPB and submitted to Welsh Government on behalf of NCC 	<ul style="list-style-type: none"> ▪ For 2022/23, the Council's existing policies and procedures remain in place. <p>Additional assurances include:</p> <ul style="list-style-type: none"> ▪ Developed an NCC Core List of TOMs (Themes, Outcomes & Measures) for measuring Social Value delivery through Commissioning, Procurement and Contract Management and associated reporting. (Cabinet – March 2023) ▪ Carbon Literacy Training for employees. ▪ 2022/23 budget not dependant on general use of reserves and 2023/24 budget approved similarly 	<p>No further action required for overall framework</p> <p>Application of TOM'S to procurement exercises threshold to be reduced to those above £175k to capture more spend / contracts where this is applied and assessed against</p>

Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes.



Local government achieves its intended outcomes by providing a mixture of legal, regulatory and practical interventions. Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved. They need robust decision-making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource input while still enabling effective and efficient operations. Decisions made need to be reviewed continually to ensure that achievement of outcomes is optimised.

Sub-Principles	What Arrangements are in place to support this?	Further Assurances / Areas for Improvement (Where Applicable) Received 2022/23	Further Action(s) to improve
<p>Determining interventions</p>	<ul style="list-style-type: none"> ▪ Corporate Plan 2022-27. ▪ PSB Well-being Plan 2018-22 and new one 2023-28. ▪ New regional Area Plan 2023/24 signed off by RPB and submitted to Welsh Government on behalf of NCC ▪ Officer review of Welsh Government Legislation including Cabinet / Cabinet Member reports as necessary. ▪ Scrutiny function. ▪ Performance & Planning Policy and Risk Management Policy. ▪ Finance and Legal implications considered in all Council, Cabinet and Committee reports. ▪ Options for decision making considered in all Council, Cabinet and Committee reports. 	<ul style="list-style-type: none"> ▪ For 2022/23, the Council's existing policies and procedures remain in place. <p>Additional assurances include:</p> <ul style="list-style-type: none"> ▪ Transformation Plan will support delivery of the new Corporate Plan. New programmes and projects supported by improved business cases to enable evidence based decision making. ▪ Climate Change Plan approved March 2022 with actions identified for workstreams, first annual report Sep 2023. ▪ . ▪ Annual Self-Assessment of performance and governance aligned with new Local Government & Elections (Wales) Act 2021. 	<p>Establish 'capital assurance group' to provide oversight on behalf of Executive Board on capital schemes and contribution to achieve Council priorities</p> <p>Transformation approach and programme to be fully developed and reported</p>

Sub-Principles	What Arrangements are in place to support this?	Further Assurances / Areas for Improvement (Where Applicable) Received 2022/23	Further Action(s) to improve
	<ul style="list-style-type: none"> ▪ Council / Cabinet / Cabinet Member reports. ▪ Results of consultation exercises ▪ Fairness Equality Impact Assessment process. 	<ul style="list-style-type: none"> ▪ The RPB Area Plan is reviewed regularly by RPB sub partnerships and updates are shared with NCC through Annual Report. ▪ RPB meeting summaries shared with One Newport 	
<p style="text-align: center;">Planning interventions</p>	<ul style="list-style-type: none"> ▪ Review of Public Engagement in Newport City Council. ▪ Performance (Finance, Human Resources and service plans), Risks and strategic planning reported to Executive Board, CMT, DMT and service management teams. ▪ Mid-year and End of Year performance reports to Scrutiny and Cabinet. ▪ Quarterly reporting of performance and risk. ▪ Annual budget setting process in place including consultation exercise. ▪ Annual Service Plan review and updates. ▪ Financial Regulations (2016). ▪ Senior Management Structure. 	<ul style="list-style-type: none"> ▪ For 2022/23, the Council's existing policies and procedures remain in place. <p>Additional assurances include:</p> <ul style="list-style-type: none"> ▪ Service plans updated in November / December 2022. All service plans subject to Scrutiny review and Cabinet Member(s) approval in Quarter 3. 	<p>No further action required.</p>
<p style="text-align: center;">Optimising achievement of intended outcomes</p>	<ul style="list-style-type: none"> ▪ Quarterly Financial Monitoring reports to Cabinet. ▪ Medium Term Financial Plan. ▪ Budget consultation. ▪ End of year performance reviews to Scrutiny and Cabinet. ▪ Quarterly performance and risk updates to senior officer groups, Cabinet Members. ▪ Service area Challenge Reviews by Executive Board. 	<ul style="list-style-type: none"> ▪ For 2022/23, the Council's existing policies and procedures remain in place. <p>Additional assurances include:</p> <ul style="list-style-type: none"> ▪ Cabinet Reports on the outcomes of budget and finance performance. ▪ End of year performance report to Cabinet in Autumn '23 as part of the Council's annual report. ▪ Challenge Reviews to be introduced for end of year performance by Executive Board. 	<p>Establish Capital Assurance Group to provide oversight on delivery of capital programme</p> <p>Introduce service on-going challenge reviews, and work to develop employee check-ins.</p>

Sub-Principles	What Arrangements are in place to support this?	Further Assurances / Areas for Improvement (Where Received 2022/23)	Further Action(s) to improve

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Principle E — Developing the entity's capacity, including the capability of its leadership and the individuals within it.



Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mindset, to operate efficiently and effectively and achieve their intended outcomes within the specified periods. A local government organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Because both individuals and the environment in which an authority operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of the leadership of individual staff members. Leadership in local government entities is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.

Sub-Principles	What Arrangements are in place to support this?	Further Assurances / Areas for Improvement (Where Applicable) Received 2022/23	Further Action(s) to improve
<p>Developing the entity's capacity</p>	<ul style="list-style-type: none"> ▪ Regular performance review for all staff as part of Wellness at Work Policy. ▪ Governance structure to ensure leadership and governance arrangements in place. ▪ Service planning process includes workforce planning. ▪ Quarterly financial and performance reports to Cabinet. ▪ Partnership & collaborative working arrangements e.g. PSB, RPB, Regional working. ▪ Graduate and apprenticeship schemes in place. 	<ul style="list-style-type: none"> ▪ For 2022/23, all of the Council's existing policies and procedures remain in place. <p>Additional assurances and of improvement include:</p> <ul style="list-style-type: none"> ▪ New governance structure to support the 11 service areas. ▪ Executive Board (Chief Executive / Strategic Directors). ▪ Directorate Management Teams (Director and Heads of Service) ▪ Service Management Teams (Heads of Service / Service Managers). ▪ Restructures and service area redesigns ongoing to meet service user's needs. 	<ul style="list-style-type: none"> ▪ Understanding the workforce capacity and capability to deliver the Transformation Plan and Corporate Plan objectives. ▪ Engagement with the planned governance review of the RPB. ▪ Appointment of a second Responsible Individual to ensure independent oversight as defined in the legislation for regulated services within Social Services ▪ Development of agreed reporting structure for the RIs

Sub-Principles	What Arrangements are in place to support this?	Further Assurances / Areas for Improvement (Where Applicable) Received 2022/23	Further Action(s) to improve
	<ul style="list-style-type: none"> ▪ Reporting the work of the Responsible Individual (RI) under RISCA to Executive Board on a regular cycle 	<ul style="list-style-type: none"> ▪ Internal Audit reviews highlighted weaknesses in control and as a result management have identified resourcing and resilience as a priority. 	
<p>Developing the capability of the entity's leadership and other individuals</p>	<ul style="list-style-type: none"> ▪ Member/Officer Protocol in Constitution. ▪ Scheme of Delegation published in Constitution. ▪ Monthly One to One meeting are held involving the Leader, Cabinet Members, Chief Executive, Strategic Directors, Heads of Service and 3rd tier staff. ▪ Councillor Training Programme developed based on a Training Needs Assessment. ▪ Continual performance review for all staff under check-ins (iTrent). ▪ Occupational Health and Wellness at Work policy exists with aim of promoting the health and wellbeing of all employees to enable them to achieve their full potential at work. ▪ Action plans within Internal Audit reports. ▪ Lessons Learnt – Central Accountancy / External Audit. ▪ Graduate and apprenticeship schemes in place. 	<ul style="list-style-type: none"> ▪ For 2022/23, all of the Council's existing policies and procedures remain in place. <p>Additional assurances include:</p> <ul style="list-style-type: none"> ▪ People, Policy & Transformation Service Plan 22/23 End of Year Report. ▪ Workforce Development included in all service area plans. ▪ Corporate monitoring of staff check ins. ▪ Exceptional Talent Programme ▪ Lessons Learnt 2021/22 (Accounts Closedown) reported to G&AC 30.03.23. 	<p>People Plan development 2023/24.</p> <p>'Management development programme' for Executive Directors and Heads of Services rolled out in 2023/24.</p>

Principle F — Managing risks and performance through robust internal control and strong public financial management.



Local government needs to ensure that the organisations and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities. A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will ensure financial discipline, strategic allocation of resources, efficient service delivery and accountability. It is also essential that a culture and structure for scrutiny is in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.

Sub-Principles	What Arrangements are in place to support this?	Further Assurances / Areas for Improvement (Where Applicable) Received 2022/23	Further Action(s) to improve
Managing Risk	<ul style="list-style-type: none"> ▪ Risk Management Policy in place including risk appetite statement. ▪ Corporate / service area risks monitored every quarter. ▪ Corporate Risk Register reviewed by the Executive Board and Directorate Management Teams. ▪ Governance & Audit Committee & Cabinet reporting on risk once a quarter. ▪ Risk Management integrated into Cabinet and Cabinet Member reports. ▪ Annual Digital report presented to Overview Scrutiny Management Committee. 	<ul style="list-style-type: none"> ▪ For 2022/23, all of the Council's existing policies and procedures remain in place. <p>Additional assurances and of improvement include:</p> <ul style="list-style-type: none"> ▪ New Risk Management Policy has not been finalised. Further Cabinet, senior officer, GAC scrutiny required before finalisation in 2023/24. ▪ Corporate Risk Register Qtr1 2022-23 to G&AC Sept 2022. ▪ Corporate Risk Register Qtr2 2022-23 to G&AC Jan 2023. 	<ul style="list-style-type: none"> ▪ Finalise and Implement new Risk Management Policy.

Sub-Principles	What Arrangements are in place to support this?	Further Assurances / Areas for Improvement (Where Applicable) Received 2022/23	Further Action(s) to improve
	<ul style="list-style-type: none"> ▪ Regulatory bodies and Cabinet / senior officers annual risk assessment. 	<ul style="list-style-type: none"> ▪ Corporate Risk Register Qtr3 2022-23 to G&AC Mar 2023. ▪ Corporate Risk Register Qtr4 2022-23 to G&AC July 2023. ▪ 2021/22 Digital Report to O&SM July 2022. ▪ 2022/23 Annual Information Risk Report to O&SM August 2023. ▪ Strengthened reporting to Cabinet Members. 	
<p>Managing Performance</p>	<ul style="list-style-type: none"> ▪ Performance and Planning Policy is in place. ▪ Performance against Corporate Plan reviewed annually (reported in Autumn). ▪ Mid-Year Review and End of Year Review of service plan delivery with Scrutiny and Cabinet. ▪ Quarterly performance reviews by Executive Board and Directorate Management Teams. ▪ Service Plans and performance measures reviewed annually. ▪ Scrutiny function ▪ Other annual performance reports produced on subject topic areas and regulatory requirements. ▪ Annual Report from Director of Social Services. 	<ul style="list-style-type: none"> ▪ For 2022/23, all of the Council's existing policies and procedures remain in place. <p>Additional assurances include:</p> <ul style="list-style-type: none"> ▪ Performance and Planning Policy finalised in June 2023 following Scrutiny. ▪ Internal Challenge Reviews into service area performance, underperformance, risk and areas of concern. ▪ Annual performance reports on specific areas produced e.g. Climate Change Plan annual report, Digital Strategy annual report, Strategic Equalities and Welsh Language annual reports. These are also presented to Scrutiny, Cabinet, Cabinet Member(s) and Council where applicable. ▪ Director of Social Services Annual Report 2022/23 presented to Cabinet June 2023. 	<p>Establish 'capital assurance group' to monitor delivery of capital projects on behalf of Executive Board.</p>

Sub-Principles	What Arrangements are in place to support this?	Further Assurances / Areas for Improvement (Where Applicable) Received 2022/23	Further Action(s) to improve
<p>Robust Internal Control</p>	<ul style="list-style-type: none"> ▪ Governance & Audit Committee provide assurance on effectiveness of internal control, risk management and governance processes. ▪ Governance & Audit Committee Annual Performance Review ▪ Governance & Audit Committee Annual Report to Council. ▪ Anti-Fraud, Bribery and Corruption Policy (Cabinet April 2021) ▪ Role of Internal Audit Section (Internal Audit Charter) ▪ Annual IA Plans approved by Governance & Audit Committee. ▪ Annual IA Reports & quarterly Plan v Progress reports to Governance & Audit Committee. ▪ G&AC Call in of Unfavourable audit opinions. ▪ All waivers of Contract Standing Orders and urgent decisions are reported through the Governance & Audit Committee quarterly. ▪ Civil Contingencies / Business Continuity arrangements to manage community risk. ▪ Annual Governance Statement ▪ Financial Regulations (2016) ▪ Contract Standing Orders (2020) 	<ul style="list-style-type: none"> ▪ For 2022/23, all of the Council's existing policies and procedures remain in place. <p>Additional assurances and of improvement include:</p> <ul style="list-style-type: none"> ▪ 2021/22 IA Annual Report presented to G&AC 26th May 2022. Head of Internal Audit Opinion. ▪ 2022/23 Revised IA Plan presented to G&AC 28th July 2022. ▪ Qtr1 2022/23 Progress v Plan presented to G&AC 29th September 2022. ▪ Qtr2 2022/23 Progress v Plan presented to G&AC 27th October 2022. ▪ Qtr3 2022/23 Progress v Plan presented to G&AC 26th January 2023. ▪ Call ins of unfavourable audit opinions to G&AC during 2022/23. ▪ Urgent decisions reported to G&AC during 2022/23. ▪ Financial Regulations training – mandatory for staff. ▪ Audit Wales report into the Council's Counter Fraud arrangements raised 2 recommendations for improvement on reporting of its Counter Fraud arrangements. <p>Note: At the end of 2022/23 and into Quarter 1 of 2023/24, Corporate Risk raised in relation to the provision of Internal Audit service. This has not impacted the 22/23 Internal Audit opinion. See section 1.</p>	<p>Development of a Fraud Risk Assessment.</p> <p>Review Counter Fraud arrangements and strengthen reporting in this area.</p>

Sub-Principles	What Arrangements are in place to support this?	Further Assurances / Areas for Improvement (Where Applicable) Received 2022/23	Further Action(s) to improve
		<ul style="list-style-type: none"> • <i>New governance arrangements for CMT/Directorate Mngt Teams established with standardised agenda's and performance mngt review</i> 	
Managing data	<ul style="list-style-type: none"> ▪ Data Protection Policy (2019) ▪ Information Governance Group in place. ▪ Senior Information Risk Officer (SIRO) in place. ▪ Information Asset Register ▪ Information sharing guidance published. ▪ Information Risk Policy] ▪ Business Continuity arrangements in place. ▪ Annual Information Governance report to Governance & Audit Committee and Cabinet. ▪ Freedom of Information and Subject Access Request policies and procedures. 	<ul style="list-style-type: none"> ▪ For 2022/23, all of the Council's existing policies and procedures remain in place. <p>Additional assurances include:</p> <ul style="list-style-type: none"> ▪ 2021/22 Annual Information Risk Report to O&SM Sept 2022. ▪ Information Governance Group meetings. ▪ The Council has responded to Freedom of Information Act requests within the required 20 days. ▪ Information Security & GDPR – mandatory training for staff. 	No Further action required.

Sub-Principles	What Arrangements are in place to support this?	Further Assurances / Areas for Improvement (Where Applicable) Received 2022/23	Further Action(s) to improve
<p>Strong public financial management</p>	<ul style="list-style-type: none"> ▪ Financial Regulations (2016) in Constitution ▪ Contract Standing Orders (2020) in Constitution ▪ Accounting Instructions on Intranet. ▪ Treasury Management Strategy & Annual Outturn Report ▪ Capital Strategy (including Capital Programme) ▪ Capital Strategy Asset Management Group (CSAMG) ▪ Monthly monitoring and reporting of service area budgets. ▪ Monitoring reports presented to Executive Board, DMT, CMT and service area management teams. ▪ Peer / challenge reviews on finance / budget setting. ▪ Revenue Budget Monitor & Capital Reports to Cabinet. ▪ Regular reporting on NCC response to External Pressures impacting Council Services (cost of living crises) 	<ul style="list-style-type: none"> ▪ For 2022/23, all of the Council's existing policies and procedures remain in place. <p>Additional assurances include:</p> <ul style="list-style-type: none"> ▪ Half yearly report on Treasury Management for 2022/23 presented to G&AC Oct 2022. ▪ Treasury Management Outturn Report 2022/23 presented to Cabinet June 2023. ▪ New five year Capital Programme from 2023/24. ▪ People Services Capital Board. ▪ Finance Business Partnering in place. ▪ Financial Regulations training – mandatory training. ▪ Monthly update to Cabinet members on the key pressures facing our communities, businesses, and council services, along with updates on how we are working collaboratively with our partners to help support our residents. 	<p>Include all external grant programmes into the council's gross budget to ensure included in the council's financial management arrangements.</p> <p>Review and re-structure the business support function who support the significant grant funded programmes across Housing and Communities, Prevention and Inclusion and regeneration & Economic Development services. This will provide improved corporate governance of the grant funded programmes and clarity between financial administration and more strategic financial management support.</p>

Principle G: Implementing good practices in transparency, reporting and audit to deliver effective accountability.



Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.

Sub-Principles	What Arrangements are in place to support this?	Further Assurances / Areas for Improvement (Where Applicable) Received 2022/23	Further Action(s) to improve
Implementing good practice in transparency	<ul style="list-style-type: none"> Report templates exist to ensure consistency in reports. Annual Reports and Self-Assessment of Governance and performance arrangements. NCC Transparency Webpage. 	<ul style="list-style-type: none"> For 2022/23, all of the Council's existing policies and procedures remain in place. <p>Additional assurances include:</p> <ul style="list-style-type: none"> NCC Transparency webpages updated. Publishing of committee agendas and reports on NCC website. Meeting webcasts available on NCC website. 	No further action required.
Implementing good practices in reporting	<ul style="list-style-type: none"> Annual Statement of Accounts audited by external auditor and approved by Council. NCC Code of Corporate Governance based on CIPFA/SOLACE Framework 2016 (2020/21) Annual Governance Statement as part of the Statement of Accounts. Annual Self-Assessment of Performance. Annual Performance report 	<ul style="list-style-type: none"> For 2022/23, all of the Council's existing policies and procedures remain in place. <p>Additional assurances and areas for improvement include:</p> <ul style="list-style-type: none"> 2021/22 Statement of Accounts (including AGS) to G&AC Jan 2023. Late sign off, mainly due to external factors. 	<ul style="list-style-type: none"> Timely sign off of 2022/23 Statement of Accounts.

Sub-Principles	What Arrangements are in place to support this?	Further Assurances / Areas for Improvement (Where Applicable) Received 2022/23	Further Action(s) to improve
	<ul style="list-style-type: none"> ▪ 6 monthly service plan reviews and reports to Scrutiny and Cabinet. ▪ Annual reports to Scrutiny and Cabinet. 	<ul style="list-style-type: none"> ▪ Committee work programmes in place for reporting. 	
<p>Assurance and effective accountability</p>	<ul style="list-style-type: none"> ▪ External Audit provided by Audit Wales. ▪ Six monthly reports on Audit Wales and Regulatory activity to Governance & Audit Committee. ▪ Performance of Internal Audit Section monitored by Governance & Audit Committee. ▪ Internal Audit annual report to Governance & Audit Committee. ▪ Internal management structure / governance arrangements: <ol style="list-style-type: none"> I. Executive Board (Chief Exec & Directors) II. Corporate Management Team (Chief Exec / Directors / Heads of Service) III. Directorate Management Teams (Directors and Heads of Service) ▪ Annual Governance Statement ▪ Regular meetings with Audit Wales between Leader / Chief Exec and Exec Board. ▪ Annual meeting between external regulators and Cabinet / Senior Officers. 	<ul style="list-style-type: none"> ▪ For 2022/23, all of the Council's existing policies and procedures remain in place. <p>Additional assurances include:</p> <ul style="list-style-type: none"> ▪ Audit Wales & Regulatory Bodies 6mth update to G&AC Jan 2023. (Apr-Dec 2022) ▪ Regular Progress Against Audit Plan reports to G&AC during 2022/23. ▪ Regular meetings of Exec Board / CMT / DMT's during 2022/23. ▪ 2021/22 IA Annual Report presented to G&AC 26th May 2022. ▪ Qtr1 2022/23 Progress v Plan presented to G&AC 29th September 2022. ▪ Qtr2 2022/23 Progress v Plan presented to G&AC 27th October 2022. ▪ Qtr3 2022/23 Progress v Plan presented to G&AC 26th January 2023. ▪ Draft AGS to G&AC. 	<p>No further action required.</p>

Section 3 – Annual Governance Statement 2021/22 Action Plan Update

Issue	Action	Responsible Officer	Update / Current Status – June 2023 Comments / Evidence
<p>Consultation and Engagement Policy requires review.</p>	<p>To review the required policy and seek appropriate approval.</p> <p><i>Progress to date:</i></p> <p>To be reviewed as part of the implementation plan for the Local Govt. & Elections (Wales) Act during 2021/22.</p>	<p>Head of Law & Standards</p>	<p><u>Complete</u></p> <p>Participation Strategy was adopted for 2022-2026 by Council in May 2022. Participation Strategy Final Format (newport.gov.uk) Whilst the strategy will not be fully reviewed in 2023, it will be considered by Democratic Services Committee as part of their terms of reference.</p>
<p>The revised Code of Corporate Governance needs to be communicated to all jointly managed and shared service organisations.</p>	<p>Communicate the revised Code of Corporate Governance to all jointly managed and shared service organisations and that assurance on compliance is received for the Annual Governance Statement.</p>	<p>Head of Finance Chief Internal Auditor</p>	<p>Outstanding. Carried Forward for action</p>
<p>Action needs to be taken in response to the 'Corporate Governance' Unsatisfactory Internal Audit report (Finalised December 2020).</p>	<p>Management to agree a response to the report and ensure concerns are addressed.</p> <p><i>Progress to date:</i></p> <p>Management actions agreed; assurance has been provided that agreed actions have been implemented; Internal Audit to undertake a follow up audit in 2022/23.</p>	<p>Head of People & Business Change [Head of People, Policy & Transformation]</p> <p>Head of Law & Standards</p> <p>Head of City Services [Head of People, Policy and Transformation]</p>	<p><u>Complete</u></p> <p>Management actions agreed; assurance has been provided that agreed actions have been implemented; Internal Audit issued the draft follow up review, June 2023.</p> <p>Initial findings are 'substantial' (that is better than reasonable), subject to agreement of action updates and deadlines.</p>

Issue	Action	Responsible Officer	Update / Current Status – June 2023 Comments / Evidence
<p>A review of the governance arrangements around the development, delivery and monitoring of the Council's future 'Transformation Programme' is currently underway and will also include clear responsibilities and arrangements for other key areas, such as financial management, capital programme, major projects etc.</p>	<p>To conclude the review and communicate the outcome to all concerned.</p>	<p>Head of People, Policy & Transformation</p>	<p><u>In Progress</u></p> <p>Transformation approach under development June 2023. The first programmes have commenced and new project management documentation is being reviewed. Clear owners (SROs) are established for the programme, and the escalation is to Executive Board.</p> <p>This action superseded by action 12 in 2023/24 action plan.</p> <p>Planning and Performance Policy update reviewed by Scrutiny and Cabinet Member report will go through the democratic process June 2023.</p>
<p>New Members have the appropriate skills to effectively undertake their roles</p>	<p>Training and Induction for new Members will be reviewed and updated following Local Government elections in May 2022.</p>	<p>Democratic and Electoral Services Manager</p>	<p><u>Complete</u></p> <p>Curriculum of induction training was rolled out in 2022/23.</p>
<p>Ideally there should be a formal policy for the type of issues that the Council will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service provision is contributing towards the achievement of intended outcomes needs to be developed.</p>	<p>Consideration to be given to developing a formal policy and communicating it to all relevant stakeholders.</p>	<p>Head of People, Policy & Transformation</p>	<p><u>Complete</u></p> <p>Participation strategy agreed. Public engagement is also the subject of annual update to Overview and Management Scrutiny Committee.</p>

Issue	Action	Responsible Officer	Update / Current Status – June 2023 Comments / Evidence
The Council's Constitution is kept up to date following recent legislation.	Consideration needs to be given to further update the Council's Constitution to reflect the Local Government and Elections (Wales) Act 2021.	Head of Law & Standards	<u>Complete</u> Council Constitution last updated in March 2023 and includes Local Government and Elections (Wales) Act.

Section 4 – Annual Governance Statement 2022/23 Action Plan Update

The below Action Plan will be monitored and reported in 2023/24 and also included in the Council's Annual Well-being Self-Assessment report 2022/23. Ongoing actions from 21/22 action plan will be carried forward.

Action No.	Issue / Action	Principle	Lead Directorate / Service Area	Start Date	Anticipated Completion Date
1	Communicate the revised Code of Corporate Governance to all jointly managed and shared service organisations and that assurance on compliance is received for the Annual Governance Statement.	C/F from previous action plan (see below)	Transformation & Corporate Finance	1 st April 2023	31 st March 2024
2	Transformation approach under development June 2023. The first programmes have commenced and new project management documentation is being reviewed. Clear owners (SROs) are established for the programme, and the escalation is to Executive Board. Planning and Performance Policy update reviewed by Scrutiny and Cabinet Member report will go through the democratic process June 2023.	C/F from 2021/22 action plan	Transformation & Corporate People, Policy & Transformation	Ongoing	31 st March 2024
3	Launch / Introduce new People Plan.	A – Behaving with Integrity	Transformation & Corporate	1 st April 2023	31 st December 2023

Action No.	Issue / Action	Principle	Lead Directorate / Service Area	Start Date	Anticipated Completion Date
			People, Policy & Transformation		
4	Development of a Fraud Risk Assessment.	A – Behaving with Integrity	Transformation & Corporate Finance	1 st July 2023	30 Sept 2024
5	Review Counter Fraud arrangements and strengthen reporting in this area.	A – Behaving with Integrity	Transformation & Corporate Finance	1 st July 2023	30 Sept 2024
6	NCC Code of Corporate Governance to be reviewed / updated.	A – Behaving with Integrity	Transformation & Corporate Finance Law & Standards	1 st July 2023	30 Sept 2024
7	Creation of an employee values and behaviour framework and policy	A - Demonstrating strong commitment to ethical values	People, Policy & Transformation	1 st June 2023	31 st March 2024
8	Developments to Council website to improve access and interaction and quality of information	B - Engaging with individual citizens and service users effectively	People, Policy & Transformation	1 st June 2023	31 st March 2025
9	As part of wider Customer Services review; engage with users / customers to assess experience and ease of use of on-line 'My Council Services' system	B - Engaging with individual citizens and service users effectively	Finance	30 Oct 2023	30 th March 2024
10	Application of TOM'S to procurement exercises threshold to be reduced to those above £175k to capture more spend / contracts where this is applied and assessed against	B - Sustainable economic, social and environmental benefits	Finance	1 April 2023	30 Sept 2023

Action No.	Issue / Action	Principle	Lead Directorate / Service Area	Start Date	Anticipated Completion Date
11	Establish 'capital assurance group' to provide oversight on behalf of Executive Board on capital schemes and contribution to achieve Council priorities	D - Determining interventions D - Optimising achievement of intended outcomes F - Managing Performance	Finance	1 April 2023	1 Sept 2023
12	Transformation approach and programme to be fully developed and reported	D - Determining interventions	People, Policy & Transformation	1 April 2023	31 st March 2024
13	Introduce service on-going challenge reviews, and work to develop employee check-ins.	D - Optimising achievement of intended outcomes	People, Policy & Transformation	1 April 2023	30 th Sept 2023
14	Appointment of a second Responsible Individual (RI) to ensure independent oversight as defined in the legislation for regulated services within Social Services Development of agreed reporting structure for the RIs	E - Developing the entity's capacity	Social Care	1 April 2023	30 th November 2023
15	'Management development programme' for Executive Directors and Heads of Services rolled out in 2023/24	E - Developing the capability of the entity's leadership and other individuals	People, Policy & Transformation	September 2023	30 th June 2024
16	Understanding the workforce capacity and capability to deliver the Transformation Plan and Corporate Plan objectives.	E – Developing the Entity's Capacity	Transformation & Corporate People, Policy & Transformation	1 st April 2023	31 st December 2023
17	Include all external grant programmes into the council's gross budget to ensure included in the council's financial management arrangements.	F - Strong public financial management	Finance Housing Communities &	1 April 2023	30 th Sept 2024

Action No.	Issue / Action	Principle	Lead Directorate / Service Area	Start Date	Anticipated Completion Date
	Review and re-structure the business support function who support the significant grant funded programmes across Housing and Communities, Prevention and Inclusion and regeneration & Economic Development services. This will provide improved corporate governance of the grant funded programmes and clarity between financial administration and more strategic financial management support.		Prevention & Inclusion Regeneration & Inclusion		
18	Finalise and Implement new Risk Management Policy.	F – Managing Risk	Transformation & Corporate People, Policy & Transformation	1 st April 2023	31 st December 2023
19	Timely sign off of 2022/23 Statement of Accounts.	G – Implementing Good Practices in Reporting	Transformation & Corporate Finance	1 st April 2023	31 st December 2023