



SCHEDULE OF PROTOCOLS

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1. Introduction and General Services Provisions

- 1.1 This Protocol sets out the overarching principles by which all of the Schedules will follow as defined within the enableNY Collaboration Agreement, and how services will be delivered to the Parties to this agreement. The standardisation, simplification and sharing of the service delivery model will improve resilience and effectiveness and improve value for money for the communities of North Yorkshire.
- 1.2 enableNY has a mission to provide high quality, efficient business support services for the Office of the Police Fire and Crime Commissioner, North Yorkshire Police and North Yorkshire Fire and Rescue Service. These collaborative support services will improve how local policing and fire services work together whilst delivering the priorities set out within the North Yorkshire Police and Crime Plan and North Yorkshire Fire and Rescue Plan.
- 1.3 To engender trust in the process of collaboration, it is imperative that the transition to the new enableNY model and the future delivery of support services, are unpinned by a series of value adding principles.
- 1.4 In order to transition to a fully collaborative professional service offering, all support functions within enableNY will be re-modelled. Due process will be followed to engage the enableNY workforce in the design and development of new service operating models prior to their consideration and approval at Executive Board.
- 1.5 Unless otherwise stated within this Protocol, all existing policies and procedures will be followed to provide services to the Parties to the enableNY Collaboration Agreement. Services will be commissioned and assured in accordance with the enableNY Governance Schedule.
- 1.6 For the purpose of clarity, legal services will be commissioned directly by the parties to this agreement and are not be provided directly or indirectly by enableNY. The commissioning of these services is a matter for the parties to this agreement.

2. Overarching Principles

- 2.1 All enableNY services will be performed in line with the following overarching principles:
 - Outcome based detailed service catalogues will be agreed with the partners to allow effective commissioning and delivery of services to meet needs in line with the arrangements described within the Governance Schedule
 - Provision of services will be agreed and measurable standards with performance management and customer service being at the heart of all we do
 - Provision of services will be in line with any agreed financial resource levels and in line with the Finance Schedule
 - Provision of services will be in line with relevant legislation and the organisation policies of the commissioning partners
 - Service provision and governance will be in line with the arrangements described within the Governance Schedule
 - Each enableNY function will maintain suitable policy and procedure to ensure compliance with relevant standards and with the requirements set out and agreed with the partners
 - Provision of services will be reviewed at least annually to ensure fitness for purpose, ability to meet changes in demand and to meet and adapt to the needs of the commissioning partners

- Support of Services will be provided by a single point of contact as described in the service catalogue
- Escalations and dispute resolution will be performed as described in the service catalogue and Governance Schedule
- People organisation and resources will be designed in accordance with the principles set out in the People Services Schedule and will be reviewed to ensure the resources match the demand agreed by the service users in accordance with Governance Schedule
- Business Partnering Services will be provided as described in the enableNY function Service Plan
- Assets will remain in the ownership of the Police Fire and Crime Commissioner or where applicable the relevant Party to the Collaboration Agreement
- All assets will be managed and maintained in line with appropriate good practice and any relevant legislation.

3. Review of Protocol

- 3.1 All Schedules listed will be subject to an annual review. Proposed amendments will be subject to Executive Board approval.

4. Requests for New Services or Changes to Existing Services

- 4.1 Requests for a new service or a change to an existing service will be processed in line with the Governance schedule.

5. Finance and Assets Management

- 5.1 The commissioning partner's budgets and assets will remain separate for audit and accountability purposes. All required separation of any legal or financial interests will be maintained in line with statutory requirements and any agreed governance arrangements of the partners.

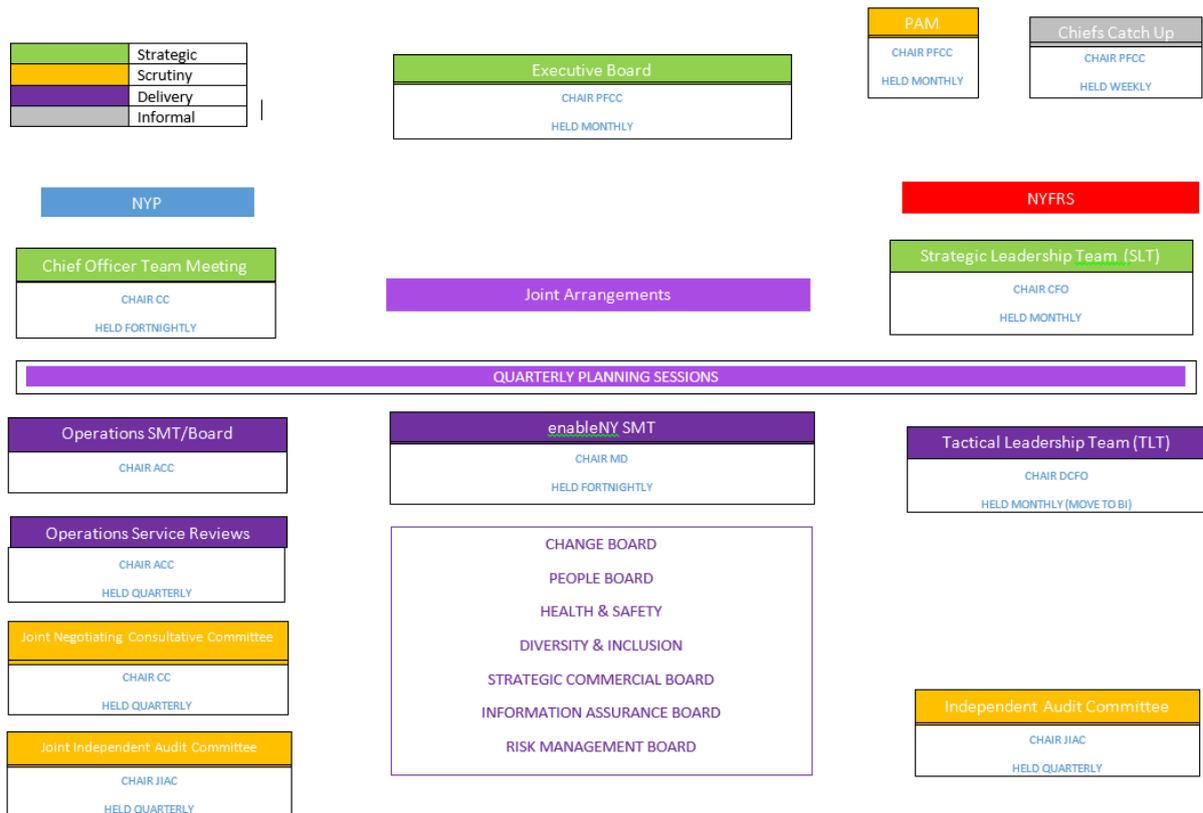
SCHEDULES

6. GOVERNANCE SCHEDULE

- 6.1 This Schedule sets out the governance arrangements in line with Section 10 of the Enable Collaboration Agreement that will oversee and assure the commissioning and delivery of services through enableNY.
- 6.2 enableNY services will be delivered in line with the following Governance principles:
- enableNY services will be delivered in accordance with the overarching Governance arrangements that are established for both Parties

- enableNY services will be based on agreed Service Plans and accessed through an outcome based detailed service catalogue which will be agreed between the Parties to allow effective commissioning and delivery of services
- The standards of performance management will be agreed between the Parties and monitored by the Managing Director who is accountable to the Executive Board
- Provision of services will be in line with relevant legislation and the organisational policies of the Parties unless otherwise stated in enableNY Schedules
- This protocol will be subject to an annual review to ensure fitness for purpose.

6.3 The governance arrangements for enableNY will be as shown below:



6.4 The governance arrangements are in development and where Terms of Reference for each of the meetings are available, these are appended as links to this document at Appendix A. Once enableNY is fully established, the relevant Terms of Reference for the strategic, scrutiny and delivery meetings shown above will be published.

6.5 Any decision made will be recorded as set out in the applicable Terms of Reference or escalated through the appropriate decision making arrangements as set out in the Code of Corporate Governance for either Party.

6.6 Escalation and dispute resolution shall be referred in the first instance through the Service User’s immediate line management arrangements up to the point of responsible officer. Further escalation will be reported to Executive Board if considered to be matters of public interest in accordance with Dispute Resolution Section 19 of the enableNY Collaboration Agreement.

7. PEOPLE SERVICES SCHEDULE

7.1 This Schedule sets out the people management principles, in line with Section 11 of the Enable Collaboration Agreement, and how services will be delivered to the Parties to this agreement.

7.2 People Services Operating Models

In order to transition to a fully collaborative professional service offering, all support functions within enableNY will be re-modelled. Due process will be followed to engage enableNY workforce in the design and development of new service operating models, and once finalised, these will be tabled at Executive Board for consideration and approval.

7.3 Service Structures

enableNY service structures will be re-designed to mirror these new service operating models. Relevant policies and procedures will be followed to align colleagues into the new structure where practicable; this may include slotting-in, ring-fencing for internal competition and/or an open competitive selection process. Where due process has been followed and colleagues have not secured a role within the new structure, voluntary/compulsory redundancy processes may ensue.

7.4 High Performance People Practices

In order to ensure colleagues have the ability, motivation and opportunity to perform highly within the newly defined structures, a series of enableNY people practice principals will be followed:

- **Job Re-design** - the design of roles within the new structure will be reflected in newly written job descriptions, defining role expectations, priorities and values of enable NY. These job descriptions will be evaluated using an agreed job evaluation system, and will form the basis of selection decisions into the new structure. They will also inform current and future personal development needs.
- **Induction & Training** – following transition into the new structure, an enableNY induction for both existing and new colleagues will ensue. This will require involvement of NYP and NYFRS Services Users. Role related training needs will be analysed and, where required, appropriate training interventions will be put in place to up-skill the workforce.
- **Performance Appraisal and Development** – in keeping with the principals of intent based leadership, the importance of regular feedback and autonomy in contributing to enableNY outcomes will be critical. In order to ensure a defined link between PDR and intrinsic reward factors, job enrichment which leads to more meaningful work, experience of responsibility and knowledge of results will underpin the PDR process for enableNY colleagues.
- **Employee Participation** – regular and meaningful two-way communication will be imperative to ensure a smooth transition and embed new ways of working. This will be achieved through the introduction of an enableNY staff forum, comprising a combination of recognised trade union representatives and colleagues from each support service. The enableNY staff forum will be co-ordinated and chaired by enableNY Head of People Services.

7.5 Terms and Conditions of Employment

The initial transition to the new enableNY operating models and structures will comprise colleagues on a mix of NYP and NYFRS terms and conditions of employment. As existing colleagues are aligned to the new structure, or move within the structure during their employment, they will retain their respective terms and conditions.

7.6 Where a role is to be recruited to by an external candidate; in order to maintain a workforce that remains as far as is practicable in balance with the ratio of enableNY colleagues employed at the outset of this collaboration by the employing bodies (NYFRS and NYP), the following protocol will be followed.

An assessment will be undertaken to;

- determine the ratio of the work of the role and how it falls between the two employing bodies and,
- how this affects the overall ratio of the enableNY workforce employed between the two employing bodies.

Following that assessment the appointment will be offered by the employing body that best achieves the maintenance of the initial ratio of employment at the outset of the enableNY collaboration.

8. FINANCIAL SERVICES SCHEDULE

8.1 In line with Section 13 of the Enable Collaboration Agreement, this Schedule sets out the ratios to split costs and savings and the principles to be applied in the delivery of the services below:

- Cost Sharing Arrangements
- Budget Planning
- Payments and Income Recovery
- Procurement
- Payroll

8.2 Cost Sharing Arrangements

- Unless the Executive Board (EB) agrees to accept that the costs should be split on a different basis, the costs associated with collaboration (including but not limited to police and fire staff, police and fire officers, on-costs and non-pay expenditure) will be shared in a ratio agreed between NYP (being the funds of the Chief Constable and the PFCCNY as agreed) and NYPFCCFRA.
- The ratio will be agreed jointly by the two Section 151 Officers and submitted to EB for approval. The agreed ratio will remain in place until there is a material change in service provision, when EB will be asked to approve a revised, jointly agreed ratio from the two Section 151 Officers. For 2020/21 planning purposes, a provisional split of NYP 80 : NYPFCCFRA 20 has been used.
- The costs associated with each discrete collaborative function will be defined as a cost pool for the purposes of cost sharing. It is anticipated that a cost pool will be created for each collaborative function but over time cost pools may be consolidated.

- For each new collaborative function implemented under the Enable Collaboration, an Agreed Ratio shall be calculated by the Chief Finance Officers of each corporation sole as parties to the collaborative function(s) and agreed by EB.

8.3 Budget Planning

- The Section 151 Officers shall be responsible for ensuring that a fully costed annual budget for enableNY Collaboration function(s) is prepared and submitted to the EB prior to the start of the subsequent financial year and will report at least quarterly to EB as to the financial position of enableNY functions within the overall financial reports. Final accounts for enableNY will be within the final accounts of each corporation sole and prepared in line with statutory deadlines and audit requirements.
- The proposed budget shall include all increases for remuneration or general price increases for ancillary items and expenses and the percentages to be applied for such increases shall be agreed annually by the Section 151 Officers.

8.4 Payments and Income Recovery

- enableNY will ensure all payments are made promptly and in line with contractual requirements, and appropriately commissioned and authorised. Income due to the Parties will be invoiced promptly and recovered in liaison with service users. Both payments and income activity will be used by enableNY to inform cashflow projections for the Parties.

8.5 Procurement

- The procurement of all equipment and services for use in relation to an enableNY Collaboration function shall be commissioned by the Parties utilising the Procurement Service to be determined by the Section 151 Officers. The Parties will work towards the development of common procedures and governance arrangements in respect of procurement.

8.6 Payroll

- enableNY will be commissioned to provide a range of payroll services to the Parties, recognising the differing requirements of contractual terms and conditions of service for workforces and different pay cycles, and ensure the most efficient utilisation of systems in the authorisation and processing of changes and queries.

8.7 The lead officers for Financial Services are:

North Yorkshire Fire and Rescue Service	North Yorkshire Police
Head of Finance & Section 151 Officer, in consultation with PFCC Section 151 Officer	Head of Finance & Section 151 Officer

9. ASSET SERVICES SCHEDULE

9.1 This Schedule sets out the asset management principles, in line with Section 14 of the Enable Collaboration Agreement, and how services will be delivered to the Parties to this agreement.

9.2 Asset Services relate to all services provided in respect of:

- Estates – provision and maintenance of the Parties’ buildings and related infrastructure
- Transport and Fleet – provision and maintenance of the Parties’ vehicles and associated services
- Logistics – Supply, storage and distribution of equipment and clothing.

9.3 Asset Services Operating Model and Performance

Asset Services will provide a fully collaborative professional service offering to meet service user needs. All asset support functions within enableNY will be re-modelled in line with the principles set out in the other enableNY Schedules.

9.4 Collaboration/Co-location

Where there is a measurable benefit to both Parties to this agreement, Asset Services will provide shared use of assets to maximise efficient and agile utilisation in line with the overarching principles of this protocol. This will be achieved through a number of ways including, but not limited to:

- Co-location
- Vehicle sharing
- Use of shared contracted services
- Standardisation of assets

10. INFORMATION COMMUNICATION TECHNOLOGY (ICT) SCHEDULE

10.1 This Schedule sets out the ICT management principles, in line with Section 14 of the Enable Collaboration Agreement, and how services will be delivered to the Parties to this agreement.

10.2 Any requests for a new ICT service or a change to an existing service will be processed in line with the Governance Schedule.

10.3 All ICT budgets and assets for the Parties will remain separate for audit and accountability purposes. All required separation of any legal or financial interests will be maintained in line with statutory requirements and any agreed governance arrangements of the partners.

10.4 Where there is a measurable benefit to both Parties to this agreement, ICT will seek to maximise efficient and agile utilisation of Infrastructure, software systems and contracts in line with the overarching principles of this protocol and in compliance with security policies belonging to the affected parties.

11. INFORMATION MANAGEMENT SCHEDULE

11.1 In line with Section 16 of the Enable Collaboration Agreement this Schedule sets out the Information Management and Civil Disclosure principles to be applied in the delivery of the service below:

- Data Protection and Subject Access Requests
- FOI arrangements
- Information Sharing
- Records Management
- Information Security
- Training & Awareness
- Audit

11.2 Data Protection and Subject Access Requests

- For the purposes of the GDPR each Party shall remain the Data Controller for any personal data recorded on the information systems (electronic and paper) under their control.
- Each Data Controller will retain their own provisions for the role of the Senior Information Risk Owner (SIRO), Data Protection Officer (DPO), information security, records management and Information Asset Owners.
- Each Party will retain its own Record of Processing Activities in line with requirements of GDPR Article 30.

11.3 FOI arrangements

- FOIs made to any or all of the Parties will be dealt with in the following ways:
 - NYFRS through the Central Administration Office
 - NYP through the Civil Disclosure Unit
 - PFCC through the OPFCC
- Internal Reviews will be conducted by the Civil Disclosure Unit for NYP and PFCC and by the Central Administration Office for NYFRS
- Each party will retain its own FOI Disclosure Log and is responsible for ensuring that FOI request are responded to within the prescribed timescales

11.4 Information Sharing

- A Register of Information Sharing Agreements (ISA) will be maintained for each Party.
- The relevant Civil Disclosure Unit/Central Administration Office will oversee the drafting and agreement of ISAs and arrange sign off by the Senior Information Risk Owner. A record of the ISA will be maintained by the Civil Disclosure Unit/Central Administration Office.

11.5 Records Management

- At all times due regard should be made to Authorised Professional Practice (APP) and Standard Operating Procedures as appropriate for either Party.
- Each Party will maintain its own Information Asset Register and associated records of data flows.
- Each Party will ensure retention periods for retaining or deleting information will be applied and adhered to as appropriate for either Party.

11.6 Information Security

- The Parties recognise that they have obligations relating to the security of data in their control. All employees within both organisations will enforce confidentiality standards and the needs to protect sensitive governmental data.

- All employees of both organisations will adhere to prescribed security requirements. Any security incidents, personal data breaches and newly identified vulnerabilities must be reported to the relevant data controller immediately through the defined processes.
- All Parties must continue to enforce the Government Security Classification to protect governmental data and ensure that this scheme resonates through all information management including; processing, transmission, storage, retention and disposal.

11.7 Training & Awareness

- Each Party to ensure the completion of mandatory training courses relevant to their business areas.
- Each Party to ensure the review of key security policies and procedures are undertaken.

11.8 Audit

- Each Party to ensure audit requirements are maintained, including the responsibilities of Information Asset Owners to comply with Annual Assurance Statements.
- Each Party to facilitate respective internal and external audits (e.g. ICO audits).

11.9 The lead officers for Information Management are:

North Yorkshire Fire and Rescue Service	North Yorkshire Police
Central Administration Office Manager	Information Management Lead

12. INTERNAL AUDIT SCHEDULE

- 12.1 Each party shall have an internal audit service that operates in line with their Code of Corporate Governance.
- 12.2 The parties shall avoid conflict or duplication arising from internal audit activity by making arrangements to share their respective internal audit strategies and plans, ensuring all subsequent adjustments are communicated.
- 12.3 As the collaboration develops the parties shall periodically review the provision of their internal audit services to exploit any opportunity for alignment.

Appendix A: Governance Meetings - Terms of Reference (ToR)

The governance arrangements are in development and where Terms of Reference for each of the meetings are available, these are listed below.

Once enableNY is fully established, the relevant Terms of Reference for the strategic, scrutiny and delivery meetings set out in the governance structure will be published.

Strategic:

- Executive Board ToR - <https://www.northyorkshire-pfcc.gov.uk/police-oversight/governance/governance-process/eb/>

Scrutiny:

- Joint Independent Audit Committee (NYP) ToR - <https://www.northyorkshire-pfcc.gov.uk/police-oversight/governance/jiac/#terms-of-reference>
- Independent Audit Committee (NYFRS) ToR - <https://www.northyorkshire-pfcc.gov.uk/fire-oversight/governance/fire-iac/>
- Public Accountability Meeting (PAM) ToR - <https://www.northyorkshire-pfcc.gov.uk/police-oversight/governance/governance-process/corporate-scrutiny-board/>