

ISLE OF ANGLESEY COUNTY COUNCIL		
Report to	EXECUTIVE COMMITTEE	
Date	9 SEPTEMBER 2013	
Subject	DRAFT UPDATED LOCAL CODE OF GOVERNANCE	
Portfolio Holder(s)	CLLR ALWYN ROWLANDS	
Lead Officer(s)	DEPUTY CHIEF EXECUTIVE	
Contact Officer	Einir Wyn Thomas x2605	
Nature and reason for reporting		
Update of a policy document which is subsidiary to the Council's Constitution and does not require approval by full Council		
A – Introduction / Background / Issues		
<p>The CIPFA/SOLACE Framework Delivering Good Governance in Local Government requires local authorities seeking to meet best practice to adopt a Local Code of Governance. The aim of the Code is to bring together the key elements of corporate governance which exist within the Authority. The Executive approved the original Local Code of Governance on 15 October 2012.</p> <p>The Local Code is used as the basis for the annual review of governance, and the resulting Annual Governance Statement (AGS).</p> <p>Since last year then there has been a review by Wales Audit Office of our arrangements for the AGS. The Audit Committee has also discussed extending its role in relation to obtaining assurances about governance, and monitoring of action plans relating to governance.</p> <p>As a result of these reviews and of the conclusions of other national studies, the Local Code has been extended and redrafted.</p>		
B - Considerations		
<p>The main changes are to include the secondary principles, and to include reference to items from the developing governance action plan.</p> <p>The Schedules have also been introduced with this draft.</p>		
C – Implications and Impacts		
1	Finance / Section 151	(consulting on draft)
2	Legal / Monitoring Officer	Support the Report

C – Implications and Impacts		
3	Human Resources	n/a
4	Property Services	n/a
5	Information and Communications Technology (ICT)	n/a
6	Equality	n/a
7	Anti-poverty and Social	n/a
8	Communication	n/a
9	Consultation	n/a
10	Economic	n/a
11	Environmental	n/a
12	Crime and Disorder	n/a
13	Outcome Agreements	n/a

CH - Summary

The draft Local Code of Governance has been updated following review and the Executive is asked to adopt the revised code.

D - Recommendation

That the Executive adopts the revised Local Code of Governance

Name of author of report: Einir Wyn Thomas

Job Title: Head of Service

Date: 27 August 2013

Appendices:

Draft Local Code of Governance with related Schedules

Background papers

**ISLE OF ANGLESEY COUNTY COUNCIL
LOCAL CODE OF GOVERNANCE
Draft for Executive – September 2013**

Introduction

1. Corporate Governance is the system by which local authorities direct and control their functions and relate to their communities. It is founded on the basic principles of openness and inclusivity, integrity and accountability together with the overarching concept of leadership. It is an inter-related system that brings together the underlying set of legislative requirements, governance principles and management processes.
2. This Code sets out the Isle of Anglesey County Council's approach to achieving and maintaining good corporate governance. It follows guidance produced by the Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives and Senior Managers (SOLACE) in their Framework for Delivering Good Governance in Local Government. It links to the Anglesey Transformation Plan which sets out the programme of change driven by the organisation in order to meet its strategic aim and sets out the agenda for the term of the current Council up to 2016.
3. The Council is by nature, a complex organisation which affects the lives of all citizens in the area: as well as providing and commissioning a diverse range of services, it also works with partner organisations that provide other public services. The Council's aims and priorities reflect these responsibilities.
4. The Council sees Corporate Governance as doing the right things, in the right way, for the right people in a timely, inclusive, open, honest and accountable manner. It comprises the systems and processes, and also the culture and values, by which the Council is directed and controlled and how it accounts to and engages with its citizens. The basic premise is:

good governance = good decision making = good performance
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Governance Principles

5. The Council operates through a governance framework that brings together its legislative responsibilities and management processes with six core governance principles based on those developed by the Independent Commission on Good Governance in Public Services in 2004. These are:

Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area;
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Members and officers working together to achieve a common purpose with clearly defined functions and;
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Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour;
Taking informed and transparent decisions which are subject to effective scrutiny and managing risk;
Developing the capacity and capability of members and officers to be effective; and
Engaging with local people and other stakeholders to ensure robust public accountability.

6. The Council commits itself to each of these principles and the secondary principles. The schedules show the main governance arrangements in place and how these will contribute to complying with the code.

Monitoring, Review and Amendment

7. The Council's commitment to good corporate governance includes the application, development and maintenance of this Code. The Leader and Chief Executive together with the Audit Committee are responsible for the regular review of the governance systems and processes that are in place to ensure that they are applied and are effective. The results of the review are included in the Annual Governance Statement which is accepted by the Audit Committee, confirmed by the Leader and Chief Executive and then published with the Annual Statement of Accounts.
8. The review of governance systems and processes is based on a developing assurance framework overseen by the Audit Committee.
9. Independent sources of assurance relating to the Code's suitability and effectiveness include Internal Audit, the work of the Council's Standards Committee and the Scrutiny Function as well as External Audit and other Regulators.
10. Where the reviews of the governance arrangements reveal possible gaps or weaknesses, action is agreed that will ensure effective governance in future. Agreed action plans emanating from the review are monitored for implementation by an officer Performance Review Group and the Audit Committee.
11. This Local Code will be reviewed every two years, or more frequently, as the Deputy Chief Executive considers necessary. Proposed amendments resulting from its review, from regulators' recommendations or from changes in legislation or recommended best practice will be submitted to the Executive for approval. The schedules will be kept updated to support the on-going reviews of governance.

Schedule 1 - Governance Framework

Schedule 2 - Summary of Governance Assurance Arrangements

Schedule 3 - Mapping of Governance Arrangements to Principles

SCHEDULE 1 – Governance Framework

Corporate Strategies and Plans

- Single Integrated Plan
- Corporate Plan
- Transformation Plan
- *Medium Term Financial Plan*
- *Efficiency Strategy*
- Budget Strategy
- Annual Budget, Treasury Management Strategy and Reserves Report

Annual reports and self-assessment

- Performance Report
- Statement of Accounts
- Annual Governance Statement
- *Specific reviews of compliance and effectiveness*
- Corporate Annual Self-Assessment Report (April 2013)
- Commissioners' Quarterly Report (to May 2013)
- Annual report of the Director of Social Services
- Annual report of Scrutiny
- Annual report of Audit Committee
- Annual report of Standards Committee
- *Annual report of Health & Safety*
- Annual monitoring report for the Welsh Language Commissioner
- *Officer Assurance Statements*
- *Commissioned reports from time to time*

Council's Constitution

- Part 2 – Articles of the Constitution
- Part 3 – Responsibility for Functions and Schemes of Delegation
- Part 4 – Rules of Procedure
- Part 5 – Codes and Protocols

Democratic Arrangements

- Audit Committee
- Scrutiny Committees
- Standards Committee
- Democratic Services Committee
- Local Service Boards
- Joint Committees
- Programme Boards
- Group Leaders' forum
- *Agreed working arrangements for Leader and Chief Executive*
- Members' Code of Conduct (5.1)
- Register of interests
- Relationship Protocol for Officers and Members (5.3)
- *Protocol on Committee Reports*
- Political Management Protocols (5.8)
- Members job descriptions
- Member Development Programme and Champion
- Scheme of Members Allowances (Part 6)
- Democratic Renewal Strategy

Officer Arrangements

- Management Structure (Part 7)
- Job descriptions
- Statutory Officers: Head of Paid Service; Monitoring Officer; Chief Finance Officer
- *Chief Finance Officer Protocol and annual review*
- *Defined roles for Senior Leadership Team, Penaethiaid and Performance Review group*
- Officers Code of Conduct (5.2)
- Relationship Protocol for Officers and Members (5.3)
- Bullying and Harassment policy (5.4)
- Officer Employment Procedure Rules (4.10)
- People Strategy and related HR policies
- Corporate Personal Development Review framework
- Induction and training arrangements
- Pay Policy Statement

Performance Management and other Management arrangements

- Business planning arrangements, business plans and monitoring reports
- Performance Management arrangements, scorecards and monitoring arrangements
- Service and Budget Reviews
- Programme and project management framework
- Budget and Policy Framework Rules (4.3)
- Financial Procedure Rules (4.8)
- Contract Procedure Rules (4.9)
- Asset Management Plans, policies and procedures
- *Partnership and Collaboration Arrangements*
- Budget monitoring reports
- Risk Management strategy and Risk Register
- Procedural guidance and management systems

Other Key policies and Protocols

- Concerns and Complaints Policy
- Strategic Equality Plan and Equality and Diversity Policy
- Welsh Language Scheme
- Local Code of Governance
- Information governance and access policies and arrangements
- Health & Safety Policy and Strategy
- Arrangements for Safeguarding Vulnerable Adults and Children
- Emergency Plan
- *Business Continuity Plan*
- Communication Strategy
- Whistleblowing Policy (5.5)
- Policy for the Prevention of fraud and corruption (5.6)
- Protocol on gifts and hospitality (5.9)
- ICT Security policies

Stakeholder engagement

- Community Engagement Strategy
- Local Joint Consultative Committee
- *Staff Surveys*

- Managers Conference
- Staff Briefings
- Regular meetings with Regulators
- Community Council Charter
- Voluntary Sector Compact
- Community Newspaper
- Leaflets, Press and Social Media

Internal Independent Assurance

- Internal Audit Annual Plan
- Internal Audit Charter, Protocol and Professional Standards
- Internal Audit reviews and reports
- Annual Report of the Head of Internal Audit

External Assurance and Regulation

- External Audit in relation to Local Government Measure
- WAO's Annual Improvement Report
- External Audit for financial audit
- Annual Audit Letter
- Report to those charged with governance
- Audit opinion and certificate of closure of audit
- CSSIW regulatory programme and annual report
- Estyn regulatory programme
- Local Government Ombudsman annual report
- Welsh Language Commissioner
- Information Commissioner's Office
- Health & Safety Executive
- ... *other regulators from time to time*
- Third Party Assurance reports
- Peer reviews

Accreditation

for example

- Investors in People – retained in 2013 for the period 2013-16
- Government Connect – annual accreditation achieved in September 2012
- *Wales Charter for Member Support and Development (aiming to achieve in 2013)*

Items in italic print appear in the Governance Action Plan for 2013-14 or may be commissioned from time to time

SCHEDULE 2 – Summary of Governance Assurance Arrangements

Where do we need assurance?	What do we have in place?	Where can we get assurance?
<ul style="list-style-type: none"> • Delivery of corporate priorities • Service performance and quality • Financial planning and performance • Partnership governance and effectiveness • Programme and project management and delivery • Procurement processes • Management and engagement of staff • Clarity of roles and responsibilities • Decision making protocols • Leadership effectiveness • Standards of conduct and ethics • Compliance with laws, regulations etc. • Effectiveness of the scrutiny function • Effectiveness of internal control • Risk Management • Training and development of elected members and staff • Community engagement • Openness and transparency 	<ul style="list-style-type: none"> • Single Integrated Plan, Corporate Plan and Transformation Plan • Frameworks for planning and measuring service and employee performance • Financial management arrangements e.g. Annual Statement of Accounts, Medium-term Financial Plan, regular budget monitoring reports • Customer feedback and complaints processes • Partnership governance framework * • Programme Management* • Project management methodology * • Corporate procurement strategy* • People strategy, HR policies and procedures • Council Constitution and democratic arrangements e.g. Audit Committee, Standards Committee, scrutiny function • Scheme of delegation for decision making • Specific job roles for Head of Paid Service, CFO and Monitoring Officer • CFO Protocol* • Member/officer protocols • Terms and conditions for remuneration • Officer and member codes of conduct • Registers of interest/hospitality • Anti-fraud and corruption policy and whistleblowing arrangements • Financial and Contract Procedure Rules; Budget Procedure Rules • Asset Management policies and procedures • Staff and member training • Risk management framework • Equalities framework • Information Governance policies • ICT Security policies • Business Continuity arrangements* • Health & Safety strategy and policy • Core Values* • Effective systems, processes and controls • Effective methods for engaging employees, customers, stakeholders etc. 	<ul style="list-style-type: none"> • External Audit reviews and reports • Internal Audit assurance statements, reviews and reports • Internal audit planning linked to governance framework and risk • Estyn reviews and reports • CSSIW reviews and reports • Reviews and reports by Welsh Language Commissioner; HSE; ICO; Local Government Ombudsman • Third Party Assurance reports • Self-assessments • Peer reviews • On-going review of governance • Partnership boards • Performance Review Group • Council's democratic arrangements Scrutiny, Audit and Standards committees • Annual reports of officers and members • Senior Officer Assurance statements* • Accreditation: e.g. Government Connect, IIP, WLGA Member Charter* • Staff surveys

SCHEDULE 3 - Mapping of Governance Arrangements to Principles

Principle 1: Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area		
<i>We will:</i>	<i>by:</i>	<i>Examples of Key Processes / Assurance Mechanisms</i>
exercise strategic leadership by developing and clearly communicating our purpose, vision and intended outcomes for citizens and service users	<ul style="list-style-type: none"> developing and promoting the authority's purpose and vision, reviewing them on a regular basis, and considering the implications for governance arrangements 	<ul style="list-style-type: none"> Transformation Plan Corporate Plan Single Integrated Plan Service Planning Programme Management
	<ul style="list-style-type: none"> ensuring that our partnerships are underpinned by a common understanding and purpose that is shared by all partners 	<ul style="list-style-type: none"> Single Integrated Plan Local Service Board Joint Partnership Unit Partnership and Collaboration Arrangements
	<ul style="list-style-type: none"> publish annual accounts on a timely basis communicating our activities, achievements, financial position and performance 	<ul style="list-style-type: none"> Annual Statement of Accounts Council Tax leaflets Corporate Plan Performance Report Community Newspaper
ensure that users receive a high quality of service whether directly, in partnership, or by commissioning	<ul style="list-style-type: none"> deciding how the quality of service for users is to be measured and making sure that we have the information needed to review quality effectively and regularly 	<ul style="list-style-type: none"> Budget Planning Corporate Plan Service Planning Service Reviews Performance Management reporting Procurement Scrutiny Function Transformation Plan
	<ul style="list-style-type: none"> having in place effective arrangements to identify and deal with failures in service delivery 	<ul style="list-style-type: none"> Service Reviews Performance Management Reporting Audit Committee & Internal Audit Concerns and Complaints Policy Scrutiny Function Annual Governance Statement & Review

Principle 1: Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area		
<i>We will:</i>	<i>by:</i>	<i>Examples of Key Processes / Assurance Mechanisms</i>
ensure that best use is made of resources and that taxpayers and service users receive excellent value for money	<ul style="list-style-type: none"> deciding how value for money is to be measured and making sure that we have the information needed to review value for money and performance effectively 	<ul style="list-style-type: none"> Service Planning Information Governance Asset Management Budget reviews Procurement
	<ul style="list-style-type: none"> ensuring that timely, accurate and impartial financial advice and information is provided to assist in decision making and to ensure that we meet our policy and service objectives and provide effective stewardship of public money and value for money in its use 	<ul style="list-style-type: none"> Financial Procedure Rules Chief Finance Officer Management Structures Job Descriptions Budget Monitoring
	<ul style="list-style-type: none"> ensuring that we maintain a prudential financial framework; keep our commitments in balance with available resources; monitor income and expenditure levels to ensure that this balance is maintained and take corrective action when necessary and ensuring compliance with CIPFA's Code on a Prudential Framework for Local Authority Capital Finance and CIPFA's Treasury Management Code 	<ul style="list-style-type: none"> Medium Term Financial Strategy Annual Budget, and Reserves Report Chief Finance Officer Management Structures Job Descriptions Treasury Management Strategy Treasury Management Procedures

Principle 2: Members and officers working together to achieve a common purpose with clearly defined functions and roles		
<i>We will:</i>	<i>by:</i>	<i>Examples of Key Processes / Assurance Mechanisms</i>
ensure that there is effective leadership throughout the authority and specify clearly the roles and responsibilities of the executive and non-executive functions and also the scrutiny function	<ul style="list-style-type: none"> setting out a clear statement of the respective roles and responsibilities of the executive and of the executive's members individually, and the authority's approach towards putting this into practice 	<ul style="list-style-type: none"> Responsibility for Functions and Schemes of Delegation Job Descriptions Agreed working arrangements for Leader and Chief Executive Defined roles for Senior Leadership Team, Penaethiaid and Performance Review group Statutory Officers: Head of Paid Service; Monitoring Officer; Chief Finance Officer
	<ul style="list-style-type: none"> setting out a clear statement of the respective roles and responsibilities of other authority members, members generally, senior officers and of the leadership team and its members individually 	

Principle 2: Members and officers working together to achieve a common purpose with clearly defined functions and roles		
We will:	by:	Examples of Key Processes / Assurance Mechanisms
ensure that a constructive working relationship exists between elected members and officers and that the responsibilities of members and officers are carried out to a high standard	<ul style="list-style-type: none"> having in place a scheme of delegation and reserve powers within the constitution, which includes a formal schedule of those matters specifically reserved for collective decision of the authority and which takes account of relevant legislation, and by ensuring that it is monitored and updated when required 	<ul style="list-style-type: none"> Responsibility for Functions and Schemes of Delegation Statutory Officers: Head of Paid Service; Monitoring Officer; Chief Finance Officer
	<ul style="list-style-type: none"> the Chief Executive being responsible and accountable to the authority for all aspects of operational management 	<ul style="list-style-type: none"> Responsibility for Functions and Schemes of Delegation Statutory Officers: Head of Paid Service
	<ul style="list-style-type: none"> having protocols in place which ensure that the Leader and Chief Executive negotiate and agree their respective roles early in the relationship and which maintain a shared understanding of the roles 	<ul style="list-style-type: none"> Agreed working arrangements for Leader and Chief Executive
	<ul style="list-style-type: none"> appointing a professionally qualified Chief Financial Officer whose core responsibilities include those set out in CIPFA's Statement on the Role of the CFO in Local Government and ensure that they are properly understood throughout the authority and making the CFO responsible to the authority for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control 	<ul style="list-style-type: none"> Statutory Officers: Chief Finance Officer Chief Finance Officer Protocol and annual review Protocol on committee reports
	<ul style="list-style-type: none"> ensuring that the CFO : <ul style="list-style-type: none"> leads the promotion and delivery by the whole organisation of good financial management so that public money is safeguarded at all times and used appropriately, economically, efficiently and effectively has a line of professional accountability for finance staff throughout the organisation 	<ul style="list-style-type: none"> Chief Finance Officer Protocol and annual review Financial Procedure Rules
	<ul style="list-style-type: none"> ensuring that budget calculations are robust and reserves adequate, in line with CIPFA's guidance 	<ul style="list-style-type: none"> Statutory Officers: Chief Finance Officer Chief Finance Officer Protocol and annual review Budget and Policy Framework Rules

Principle 2: Members and officers working together to achieve a common purpose with clearly defined functions and roles		
We will:	by:	Examples of Key Processes / Assurance Mechanisms
	<ul style="list-style-type: none"> ensuring that appropriate management accounting systems, functions and controls are in place so that finances are kept under review on a regular basis. These systems, functions and controls should apply consistently to all activities including partnership arrangements, outsourcing or where the authority is acting in an enabling role 	<ul style="list-style-type: none"> Statutory Officers: Chief Finance Officer Chief Finance Officer Protocol and annual review Financial Procedure Rules
	<ul style="list-style-type: none"> a senior officer being responsible to the authority for ensuring compliance with agreed procedures and all applicable statutes 	<ul style="list-style-type: none"> Statutory Officers: Monitoring Officer
	<ul style="list-style-type: none"> ensuring that the CFO reports directly to the chief executive and is a member of the leadership team with a status at least equivalent to other members. If different organisational arrangements are adopted, explain the reasons publicly, together with how these deliver the same impact 	<ul style="list-style-type: none"> Chief Finance Officer Protocol and annual review
ensure that relationships between the authority, its partners and the public are clear so that each knows what to expect of the other	<ul style="list-style-type: none"> having in place protocols to ensure effective communication between members and officers in their respective roles 	<ul style="list-style-type: none"> Agreed working arrangements for Leader and Chief Executive Relationship Protocol for Officers and Members
	<ul style="list-style-type: none"> setting out the terms and conditions for remunerating members and officers and an effective structure for managing the process 	<ul style="list-style-type: none"> Scheme of Members Allowances Pay Policy Statement
	<ul style="list-style-type: none"> having in place effective mechanisms to monitor service delivery 	<ul style="list-style-type: none"> business plans and monitoring reports Performance Management arrangements, scorecards and monitoring arrangements Service and Budget Reviews Concerns and Complaints Policy
	<ul style="list-style-type: none"> developing our vision, strategic plans, priorities and targets through robust mechanisms, which include consultation with the local community and other key stakeholders, and by articulating and disseminating them clearly 	<ul style="list-style-type: none"> Corporate Plan Transformation Plan Community Engagement Strategy

Principle 2: Members and officers working together to achieve a common purpose with clearly defined functions and roles		
<i>We will:</i>	<i>by:</i>	<i>Examples of Key Processes / Assurance Mechanisms</i>
	<ul style="list-style-type: none"> • establishing a medium term business and financial planning process to deliver strategic objectives including: a medium term financial strategy to ensure sustainable finances; a robust annual budget process that ensures financial balance; a monitoring process that enables this to be delivered ; and ensuring that these are subject to regular review to confirm the continuing relevance of assumptions used 	<ul style="list-style-type: none"> • Medium Term Financial Plan • Efficiency Strategy • Budget Strategy • Performance Management arrangements • Budget monitoring arrangements
	<ul style="list-style-type: none"> • having in place governance arrangements for partnerships which: <ul style="list-style-type: none"> – clarify the roles of members both individually and collectively in relation to the partnership and to the authority, – clearly set out the legal status of the partnership, – make clear the extent to which representatives or organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions 	<ul style="list-style-type: none"> • Partnership and Collaboration Arrangements

Principle 3: Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

<i>We will:</i>	<i>by:</i>	<i>Examples of Key Processes / Assurance Mechanisms</i>
ensure that members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance	<ul style="list-style-type: none"> requiring the authority's leadership to set a tone for the organisation by creating a climate of openness, support and respect 	<ul style="list-style-type: none"> Group Leaders Forum Constitution Employee & Members Codes of Conduct
	<ul style="list-style-type: none"> defining and communicating through codes of conduct and protocols the standards of conduct and personal behaviour expected of our members and staff, of work between members and staff and between the authority, its partners and the community. 	<ul style="list-style-type: none"> Members' Code of Conduct Officers Code of Conduct Relationship Protocol for Officers and Members
	<ul style="list-style-type: none"> having in place arrangements which prevent our members and employees being influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders, and appropriate processes to ensure that the arrangements continue to operate in practice 	<ul style="list-style-type: none"> Policy for the Prevention of fraud and corruption Protocol on gifts and hospitality Registers of interests
ensure that organisational values, and particularly the corporate values of equality and sustainability, are put into practice and are effective	<ul style="list-style-type: none"> developing and maintaining shared values, including leadership values, for both the organisation and staff and which reflect public expectations, and by communicating these with members, staff, the community and partners 	<ul style="list-style-type: none"> Transformation Plan Communication Plan
	<ul style="list-style-type: none"> designing systems and processes in conformity with appropriate ethical standards, and by monitoring their continuing effectiveness in practice 	<ul style="list-style-type: none"> Internal Audit
	<ul style="list-style-type: none"> ensuring that systems and processes for financial administration, financial control and protection of the authority's resources and assets are designed in conformity with appropriate ethical standards and monitor their continuing effectiveness in practice 	<ul style="list-style-type: none"> Financial Procedure Rules Contract Procedure Rules Internal Audit
	<ul style="list-style-type: none"> maintaining an effective standards committee 	<ul style="list-style-type: none"> Standards Committee Standards Committee Annual Report
	<ul style="list-style-type: none"> using the our shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority 	<ul style="list-style-type: none"> Transformation Plan
	<ul style="list-style-type: none"> agreeing values for partnerships against which decision making and actions can be judged, and which are demonstrated by partners' behaviour both individually and collectively 	<ul style="list-style-type: none"> Partnership Arrangements

Principle 4: Taking informed and transparent decisions, which are subject to effective scrutiny and managing risk		
We will:	by:	Examples of Key Processes / Assurance Mechanisms
be rigorous and transparent about how decisions are taken and listen and act on the outcome of constructive scrutiny	<ul style="list-style-type: none"> maintaining an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall 	<ul style="list-style-type: none"> Scrutiny Arrangements Annual report by Scrutiny
	<ul style="list-style-type: none"> having in place open and effective mechanisms for documenting evidence for decisions and by recording the criteria, rationale and considerations on which decisions are based 	<ul style="list-style-type: none"> Protocol for Committee reports Constitution Part 4
	<ul style="list-style-type: none"> having in place arrangements to safeguard members and employees against conflicts of interest and effective processes to ensure that they continue to operate in practice 	<ul style="list-style-type: none"> Members' Code of Conduct Officers Code of Conduct Policy for the Prevention of fraud and corruption Register of interests Protocol on gifts and hospitality
	<ul style="list-style-type: none"> having in place an effective audit committee whose role is independent of the executive and scrutiny functions 	<ul style="list-style-type: none"> Audit Committee Audit Committee review of effectiveness
	<ul style="list-style-type: none"> ensuring that effective, transparent and accessible arrangements are in place for dealing with complaints 	<ul style="list-style-type: none"> Concerns and Complaints Policy
have good – quality information, advice and support to ensure that services are delivered effectively and are what the community wants / needs	<ul style="list-style-type: none"> ensuring that those making decisions, whether for the authority or partnerships, are provided with information that is fit for the purpose – relevant, timely and giving clear explanations of technical issues and their implications 	<ul style="list-style-type: none"> Committee reports protocol Information Governance Arrangements
	<ul style="list-style-type: none"> ensuring that proper professional advice is available on matters that have legal or financial implications and recorded well in advance of decision 	<ul style="list-style-type: none"> Committee reports protocol Statutory Officers: Monitoring Officer, Chief Finance Officer Chief Finance Officer Protocol
ensure that effective risk management is in place	<ul style="list-style-type: none"> embedding risk management into the culture of the authority, where members and managers at all levels recognising that risk management is part of their jobs 	<ul style="list-style-type: none"> Risk Management strategy
	<ul style="list-style-type: none"> maintaining effective arrangements for whistle-blowing which are easily accessible to officers, staff and all those contracting with or appointed by the authority. 	<ul style="list-style-type: none"> Whistleblowing Policy
use its legal powers to the full benefit of the citizens and communities in their areas	<ul style="list-style-type: none"> actively recognising the limits of lawful activity due to, for example, the ultra vires doctrine, but also striving to utilise our statutory powers to the full benefit of our communities 	<ul style="list-style-type: none"> Statutory Officers: Monitoring Officer

Principle 4: Taking informed and transparent decisions, which are subject to effective scrutiny and managing risk		
We will:	by:	Examples of Key Processes / Assurance Mechanisms
	<ul style="list-style-type: none"> recognising the limits of lawful action and observing both the specific requirements of legislation and the general responsibilities placed on authorities by public law 	<ul style="list-style-type: none"> Statutory Officers: Monitoring Officer
	<ul style="list-style-type: none"> observing all specific legislative requirements placed upon the authority, as well as the requirements of general law, and in particular, by integrating the key principles of good administrative law – rationality, legality and natural justice – into our procedures and decision making processes 	<ul style="list-style-type: none"> Statutory Officers: Monitoring Officer

Principle 5: Developing the capacity and capability of members and officers to be effective		
We will:	by:	Examples of Key Processes / Assurance Mechanisms
ensure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles	<ul style="list-style-type: none"> providing induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis 	<ul style="list-style-type: none"> Corporate Personal Development Review framework Member Development Strategy
	<ul style="list-style-type: none"> the statutory officers having the skills, resources and support necessary to perform effectively in their roles (both financial and non-financial in the case of the CFO) and by disseminating a clear understanding of their roles throughout the authority 	<ul style="list-style-type: none"> CFO Protocol Annual review of compliance Corporate Personal Development Review framework
	<ul style="list-style-type: none"> Review the scope of the CFO's other management responsibilities to ensure financial matters are not compromised 	<ul style="list-style-type: none"> CFO Protocol Annual review of compliance
	<ul style="list-style-type: none"> Provide the finance function with the resources, expertise and systems necessary to perform its role effectively 	<ul style="list-style-type: none"> CFO Protocol Annual review of compliance
develop the capability of people with governance responsibilities and evaluate their performance, as individuals and as a group	<ul style="list-style-type: none"> assessing the skills required by members and officers and committing the authority to develop these skills to enable roles to be carried out effectively 	<ul style="list-style-type: none"> Member Development Strategy Corporate Personal Development Review framework
	<ul style="list-style-type: none"> embed financial competencies in person specifications and appraisals 	<ul style="list-style-type: none"> Member Development Strategy Corporate Personal Development Review framework

Principle 5: Developing the capacity and capability of members and officers to be effective		
<i>We will:</i>	<i>by:</i>	<i>Examples of Key Processes / Assurance Mechanisms</i>
	<ul style="list-style-type: none"> ensure that councillors' roles and responsibilities for monitoring financial performance/budget management are clear, that they have adequate access to financial skills and are provided with appropriate financial training on an on-going basis to help them discharge their responsibilities 	<ul style="list-style-type: none"> Member Development Strategy CFO Protocol
	<ul style="list-style-type: none"> developing skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed 	<ul style="list-style-type: none"> Member Development Strategy
	<ul style="list-style-type: none"> ensuring that effective arrangements are in place for reviewing the performance of the executive as a whole and of individual members and by agreeing an action plan which might, for example, aim to address any training or development needs 	<ul style="list-style-type: none"> Member Development Strategy Annual reports of committees
encourage new talent for membership of the authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal	<ul style="list-style-type: none"> having in place effective arrangements in place designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority 	<ul style="list-style-type: none"> Community Engagement Strategy
	<ul style="list-style-type: none"> ensuring that career structures are in place for members and officers to encourage participation and development 	<ul style="list-style-type: none"> People Strategy Member Development Strategy Democratic Renewal Strategy

Principle 6: Engaging with local people and other stakeholders to ensure robust public accountability

<i>We will:</i>	<i>by:</i>	<i>Examples of Key Processes / Assurance Mechanisms</i>
exercise leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships	<ul style="list-style-type: none"> making clear throughout all the authority and to all staff and the community to whom the authority is accountable and for what 	<ul style="list-style-type: none"> Corporate Plan Communication Strategy Regular meetings with Regulators Local Service Board
	<ul style="list-style-type: none"> considering those institutional stakeholders to whom the authority is accountable and assessing the effectiveness of the relationships and any changes required 	
	<ul style="list-style-type: none"> producing an annual report on the activity of the scrutiny function 	<ul style="list-style-type: none"> Annual Report of Scrutiny Function
take an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning	<ul style="list-style-type: none"> ensuring that clear channels of communication are in place with all sections of the community and other stakeholders, and by having in place monitoring arrangements to ensure that they operate effectively 	<ul style="list-style-type: none"> Community Engagement Strategy Communication Plan
	<ul style="list-style-type: none"> holding meetings in public unless there are good reasons for confidentiality 	<ul style="list-style-type: none"> Community Engagement Strategy Constitution – Part 2 and 4
	<ul style="list-style-type: none"> ensuring that arrangements are in place to enable the authority to engage with all sections of the community effectively, that these recognise that different sections of the community have different priorities, and by establishing explicit processes for dealing with these competing demands 	<ul style="list-style-type: none"> Community Engagement Strategy
	<ul style="list-style-type: none"> establishing a clear policy on the types of issues we will meaningfully consult on or engage with the public and service users about, including a feedback mechanism to demonstrate what has changed as a result 	<ul style="list-style-type: none"> Community Engagement Strategy
	<ul style="list-style-type: none"> publishing an annual improvement plan giving information on the authority's vision, strategy, plans and financial statements as well as information about outcomes, achievements and the satisfaction of service users in the previous period 	<ul style="list-style-type: none"> Corporate Plan Performance Report Statement of Accounts
	<ul style="list-style-type: none"> ensuring that the authority as a whole is open and accessible to the community, service users and our staff, and that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so 	<ul style="list-style-type: none"> Community Engagement Strategy Partnership and Collaboration arrangements

Principle 6: Engaging with local people and other stakeholders to ensure robust public accountability		
<i>We will:</i>	<i>by:</i>	<i>Examples of Key Processes / Assurance Mechanisms</i>
make best use of human resources by taking an active and planned approach to meet responsibility to staff	<ul style="list-style-type: none"> developing and maintaining a clear policy on how staff and their representatives are consulted and involved in decision making 	<ul style="list-style-type: none"> People Strategy Local Joint Consultative Committee Communication Plan