

CORPORATE GOVERNANCE FRAMEWORK

SCHEDULE TO ASSIST IN PUTTING THE SIX PRINCIPLES INTO PRACTICE

PRINCIPLE ONE: FOCUSING ON THE PURPOSE OF THE AUTHORITY AND ON OUTCOMES FOR THE COMMUNITY AND CREATING AND IMPLEMENTING A VISION FOR THE LOCAL AREA.

The code should reflect the requirement for local authorities to:	Source documents/good practice/other information demonstrating competence	Score 1-10	Improvement Plans reported For 2009/10 assessment	Progress of 2009/10 Improvements Plans	Specific actions for Continuous Improvement for 2010/11	Lead Officer for Improvement Actions
Develop and promote the authority's purpose and vision.	Used as a basis for: - corporate and service planning - shaping the community strategy -local area or performance agreements	9	Further embed awareness across the organisation.	Strategic Management Team are considering a review of the Corporate vision to reflect the changing environment the organisation is now faced with.	Develop as part of the review of the Council's Corporate Plan in 2010/11	Partnerships and Communications Manager
Review on a regular basis the authority's vision for the local area and its impact on the authority's governance arrangements	<ul style="list-style-type: none"> • Governance code • Asset Management Strategy • Move towards excellence ambition <p>The Corporate Plan is subject to an Annual refresh as part of the development of the Council's Annual Report and a full review is carried out every three years.</p>	9	Review on a timely basis	There are plans in place to review the Corporate Plan, for Go Live in 2011 and alignment to refreshed Sustainable Community Strategy (Go Live November 2010)	Full review of Corporate Plan every three years - Officers to liaise with Corporate Governance Group to consider any impact on governance arrangements.	Partnerships and Communications Manager

The code should reflect the requirement for local authorities to:	Source documents/good practice/other information demonstrating competence	Score 1-10	Improvement Plans reported For 2009/10 assessment	Progress of 2009/10 Improvements Plans	Specific actions for Continuous Improvement for 2010/11	Lead Officer for Improvement Actions
Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties	<ul style="list-style-type: none"> • Partnership toolkit • Governance code • SHL management Agreement • SoStevenage Guide 	8	Extend use of the Partnership toolkit - Develop good practice based on partnership toolkit/partnership risk management work done with Zurich Municipal.	Partnership toolkit has been used to review SoSafe (community safety partnership) and Social Inclusion Forum, and is promoted to other SoStevenage theme partnerships. SoStevenage risk register reviewed December 2009 and theme partnerships are being encouraged to adopt their own.	No specific actions but current standards to be maintained and enhanced where feasible	Partnerships and Communications Manager
Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance	<ul style="list-style-type: none"> • Annual financial statements • Annual Report 	9	No specific actions identified		Ensure 2010 Annual report includes information regarding the Council's use of natural resources.	Performance and Improvement Manager

The code should reflect the requirement for local authorities to:	Source documents/good practice/other information demonstrating competence	Score 1-10	Improvement Plans reported For 2009/10 assessment	Progress of 2009/10 Improvements Plans	Specific actions for Continuous Improvement for 2010/11	Lead Officer for Improvement Actions
Decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available.	<ul style="list-style-type: none"> • Customer focus strategy • Equality & Diversity impact assessments • Community Conference outputs • Gov-metric development 	7	<ol style="list-style-type: none"> 1. Customer Focus Strategy embedding from June 2009 2. Maximise use of Gov-metric 	The Council's Customer Focus and Engagement Strategy 2009/10 – 2012/13 was approved by Executive in November 2009. Initial projects that are imminent have been scoped.	Remaining Customer Focus Strategy Projects to be scoped by June 2010.	Head of Customer Service and Business Improvement
Put in place effective arrangements to identify and deal with failure in service delivery	<ul style="list-style-type: none"> • Complaints procedure • Councillor Call for Action (CCfA)arrangements 	7	<ol style="list-style-type: none"> 1. N114 – development of collection and analysis mechanisms 2. Customer Focus Strategy 3. Developing CCfA arrangements for local (one ward) issues when all attempts at resolution have failed (not relevant to an individual complaints) 	<ol style="list-style-type: none"> 1. A Full data quality checklist has been compiled for NI14 and the measure was cleared by Internal Audit in 2008/09. 2. The Council's Customer Focus and Engagement Strategy 2009/10 – 2012/13 was approved by Executive in November 2009. 3. CCfA arrangements have been included in the Constitution 	1. Continued development of collection mechanisms for NI14 to ensure wider coverage.	Head of Customer Service and Business Improvement

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Decide how value for money is to be measured and make sure that the authority or partnership has the information needed to review value for money and performance effectively.	<ul style="list-style-type: none"> The results are reflected in authority's performance plans and in reviewing the work of the authority. The Asset Management Plan ensures efficient use of the authority's assets. 	7	Develop on work already started	A complete review of recharges has been carried out - A database of information on recharges has been developed and this has strengthened the financial intelligence that is informing both service provision and delivery of key projects such as the Council's new 'Working Together Programme'	Continue to improve information relating to partnership delivery and benchmark costs with neighbouring authorities.	Head of Finance
Measure the environmental impact of policies, plans and decisions.	Climate Change Strategy endorsement by partnerships.	7	<p>Use of three years external funding</p> <p>Review and update of Climate Change Strategy</p> <p>Proposal for new post to help support and develop this area</p> <p>Completion of IT server rationalisation to reduce electricity costs and reduce impact of increased energy costs</p>	Improved score reflects improved planning mechanisms including the forming of the Climate Action Sustainability Team (CAST)	Enhanced mechanism to be introduced as part of Project Governance procedure	Performance and Improvement Team Manager/Client Relationship and Programme Manager.

PRINCIPLE TWO MEMBERS AND OFFICERS WORKING TOGETHER TO ACHIEVE A COMMON PURPOSE WITH CLEARLY DEFINED FUNCTIONS AND ROLES

The code should reflect the requirement for local authorities to:	Source documents/good practice/other information demonstrating competence	Score 1-10	Improvement Plans reported For 2009/10 assessment	Progress of 2009/10 Improvements Plans	Specific actions for Continuous Improvement for 2010/11	Lead Officer for Improvement Actions
<p>1. Set 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</p> <p>2. Set out a clear statement of the respective roles and responsibilities of other authority members, members generally and senior officers.</p>	<ul style="list-style-type: none"> • Constitution • Record of decisions and supporting materials 	9	Considering Job Descriptions for Councillors various roles	Job descriptions to be considered following elections.	Job descriptions to be considered following elections.	Borough Solicitor
Determine a scheme of delegation and reserve powers within the constitution, including a formal schedule of those matters specifically reserved for collective decision of the authority, taking account of relevant legislation, and ensure that it is monitored and updated when required.	<ul style="list-style-type: none"> • Constitution 	10	Review of Constitution, including scheme of delegation to go to Council in April	Completed	No specific actions but current standards to be maintained	Borough Solicitor

The code should reflect the requirement for local authorities to:	Source documents/good practice/other information demonstrating competence	Score 1-10	Improvement Plans reported For 2009/10 assessment	Progress of 2009/10 Improvements Plans	Specific actions for Continuous Improvement for 2010/11	Lead Officer for Improvement Actions
Make a chief executive or equivalent responsible and accountable to the authority for all aspects of operational management	<ul style="list-style-type: none"> • Conditions of employment • Scheme of delegation • Statutory provisions • Job descriptions/ specification • Performance management system 	9	Review job description for chief executive	Interim strategic management arrangements in place	Job description to be refreshed as part of vacancy management procedures.	Head of Human Resources and Organisational Development
Develop protocols to ensure that the leader and chief executive (or equivalents) negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained.	<ul style="list-style-type: none"> • Weekly 1:1 meetings • Joint Executive / SMB meetings held • Leader annually outlines priorities for the coming year • Effective working relationship demonstrated through recent budget savings exercises and corporate restructure. 	8		Improved score reflects effective working relationship demonstrated through savings exercises.	Enhance Protocols to ensure mutual understanding of roles.	Borough Solicitor
Make a senior officer (the S151 officer) 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"> • Section 151 responsibilities • Statutory provision • Statutory reports • Budget documentation • Job description/specification • Constitution including Contract Standing Orders and Financial Regulations 	9	No specific actions identified	Not applicable	No specific actions but current standards to be maintained and enhanced where feasible	

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Make a senior officer (usually the monitoring officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with.	<ul style="list-style-type: none"> • Monitoring officer provisions • Statutory provision • Job descriptions/ specification 	9	Review Job Description	Completed	No specific actions but current standards to be maintained and enhanced where feasible	Borough Solicitor
Develop protocols to ensure effective communication between members and officers in their respective roles.	<ul style="list-style-type: none"> • Member/officer protocol • Modern Member Programme activities • Joint officer/Member working groups • Informal briefings 	8	Tools in place to be reviewed to ensure consistency. Will be part of the Member & Management development strategies Once reviewed, to be communicated to Officers and Members	Several topics have been covered by the 2009/10 Modern Member Programme. The feedback Members provide on each event is monitored and the views expressed are summarised and sent to the relevant officer to inform future development.	The Council is liaising with neighbouring authorities that have signed up to the Member Development Charter to share best practice that will inform the achievement of Charter Status.	Head of Human Resources and Organisational Development

The code should reflect the requirement for local authorities to:	Source documents/good practice/other information demonstrating competence	Score 1-10	Improvement Plans reported For 2009/10 assessment	Progress of 2009/10 Improvements Plans	Specific actions for Continuous Improvement for 2010/11	Lead Officer for Improvement Actions
Set out the terms and conditions for remuneration of members and officers and an effective structure for managing the process, including an effective remuneration panel (if applicable)	<ul style="list-style-type: none"> • Pay and conditions policies and practices • Members' Allowances Scheme • Independent remuneration panel 	9	No specific actions identified	Not applicable	No specific actions but current standards to be maintained and enhanced where feasible	
Ensure that effective mechanisms exist to monitor service delivery	<ul style="list-style-type: none"> • Balanced Scorecard sets out key measures • Programme Governance Arrangements monitor delivery of priorities • Gov-metric monitors elements of satisfaction • Insurance claims 	8	No specific actions identified	Lower score reflects the need for enhanced service planning processes.	<p>Carry out a review of the Service Planning Process during 2010/11, effective for 2011/12 plans.</p> <p>(Also links to the delivery of actions identified in the Customer Focus Strategy)</p>	Performance and Improvement Manager

The code should reflect the requirement for local authorities to:	Source documents/good practice/other information demonstrating competence	Score 1-10	Improvement Plans reported For 2009/10 assessment	Progress of 2009/10 Improvements Plans	Specific actions for Continuous Improvement for 2010/11	Lead Officer for Improvement Actions
<p>Ensure that the organisation's vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated</p>	<p>Corporate Plans are developed using key demographic information and the views of the public and partners. Corporate documents set out:</p> <ul style="list-style-type: none"> • Vision • Corporate ambitions and priorities • Related performance measures • <p>Consultation during 2009/10 included:</p> <ul style="list-style-type: none"> • Community Conference • Town-wide Residents' Survey <p>Neighbourhood forums also provide a mechanism for obtaining customer feedback.</p> <p>Budgets set out the available resources to deliver plans and these are aligned to the service planning process.</p> <p>Partners are consulted through engagement with So Stevenage</p>	<p>9</p>	<p>No specific actions identified</p>	<p>Not applicable</p>	<p>The SoStevenage Sustainable community strategy is being refreshed in 2010. The evidence base will include population information, health profiles, deprivation index, place and residents survey results, economic wellbeing, the environment, crime statistics, educational attainment and transport data and seek the views of as many organisations in Stevenage as possible.</p> <p>The refreshed strategy will be launched in November 2010.</p>	<p>Communications and Partnerships Manager</p>

The code should reflect the requirement for local authorities to:	Source documents/good practice/other information demonstrating competence	Score 1-10	Improvement Plans reported For 2009/10 assessment	Progress of 2009/10 Improvements Plans	Specific actions for Continuous Improvement for 2010/11	Lead Officer for Improvement Actions
When working in partnership ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the authority	<ul style="list-style-type: none"> • Roles and responsibilities for Portfolio Holders involved in Partnerships in place • Executive Members briefings • Portfolio Holders involvement in themed partnerships 	8	Further embedding the new arrangements	<p>A Guide to SoStevenage has been written, which incorporates all the governing policies and procedures for SoStevenage. This includes information on the roles and responsibilities of members, and will be disseminated to the partnership once agreed in December.</p> <p>The lower score reflects concerns with governance arrangements relating to Strategic Partnerships.</p>	No specific actions but current standards to be maintained and enhanced where feasible	Communications and Partnerships Manager

PRINCIPLE THREE: PROMOTING VALUES FOR THE AUTHORITY AND DEMONSTRATING THE VALUES OF GOOD GOVERNANCE THROUGH UPHOLDING HIGH STANDARDS OF CONDUCT AND BEHAVIOUR

The code should reflect the requirement for local authorities to:	Source documents/good practice/other information demonstrating competence	Score 1-10	Improvement Plans reported For 2009/10 assessment	Progress of 2009/10 Improvements Plans	Specific actions for Continuous Improvement for 2010/11	Lead Officer for Improvement Actions
Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect.	Chief Executives information sessions are held to cascade timely updates on the authority's intentions and values to all staff.	9	No specific actions identified		Interim arrangements are currently in place for the Chief Executive role - Maintain information cascade sessions following formal recruitment of Chief Executive.	Strategic Management Board
Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols.	<ul style="list-style-type: none"> • Members/officers' code of conduct • Performance appraisal • Complaints procedures • Anti-fraud and – corruption policy • Member/officer protocols 	7	Review, update and communicate	The local code of conduct is being revised. However, Central Government is no longer enforcing revisions to the code.	No specific actions but current standards to be maintained and enhanced where feasible	Borough Solicitor
Put in place arrangements	<ul style="list-style-type: none"> • Contract Standing 		In place but needs	The local code is being	No specific actions	Borough Solicitor

The code should reflect the requirement for local authorities to:	Source documents/good practice/other information demonstrating competence	Score 1-10	Improvement Plans reported For 2009/10 assessment	Progress of 2009/10 Improvements Plans	Specific actions for Continuous Improvement for 2010/11	Lead Officer for Improvement Actions
to ensure that members and employers of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice.	<ul style="list-style-type: none"> orders • Codes of conduct • Financial regulations 	8	<p>reviewing, updating and communicating</p> <p>Needs a regular review process</p>	revised. However, Central Government is no longer enforcing revisions to the code.	but current standards to be maintained and enhanced where feasible	
Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations and communicate these with members, staff, the community and partners.	<ul style="list-style-type: none"> • Codes of conduct • PDMs • Corporate briefings for staff • Organisational values 	8	Rules in place but need reviewing and communicating	<p>The corporate organisational values are reflected in the appraisal process.</p> <p>Competency based Job descriptions have been developed for Senior Management that reflect levels of public accountability.</p>	Review and enhance appraisal process	Head of Human Resources and Organisational Development
Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice	<ul style="list-style-type: none"> • Codes of conduct • Equality and Diversity strategy • Fair Trade status 	8	No specific actions identified		No specific actions but current standards to be maintained and enhanced where feasible	
Develop and maintain an effective standards	<ul style="list-style-type: none"> • Terms of reference 	9	No specific actions identified		No specific actions but current	

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committee					standards to be maintained and enhanced where feasible	
Use the organisation's 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"> • Decision making practices • Equality and Diversity policy 	7	No specific actions identified		No specific actions but current standards to be maintained and enhanced where feasible	
In pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partners' behaviour both individually and collectively.	<ul style="list-style-type: none"> • Protocols for partnership working • Partnership toolkit in place, tested & working effectively • Sub-group of LSP Executive , with clear roles & responsibilities for the allocation of performance reward grant 	7	<p>Review of Grant Aid process and allocation underway</p> <p>Continued working with LSP & themed partnerships</p>	<p>New community grants policy in place. A partner panel has been set up that contributes to the decision-making for the 2010/11 grant allocations.</p> <p>A Guide to SoStevenage has been written, which incorporates all the governing policies and procedures for SoStevenage.</p>	Evaluation of the Grant Aid procedure to ensure decision making is robust.	Communications and Partnerships Manager

PRINCIPLE FOUR TAKING INFORMED AND TRANSPARENT DECISIONS WHICH ARE SUBJECT TO EFFECTIVE SCRUTINY AND MANAGING RISK

The code should reflect the requirement for local authorities to:	Source documents/good practice/other information demonstrating competence	Score 1-10	Improvement Plans reported For 2009/10 assessment	Progress of 2009/10 Improvements Plans	Specific actions for Continuous Improvement for 2010/11	Lead Officer for Improvement Actions
Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall and that of any organisation for which it is responsible	<ul style="list-style-type: none"> ▪ Scrutiny is supported by robust evidence and data analysis ▪ Joint working with HCC and other districts ▪ CCfA arrangements 	8	Develop arrangements for CCfA	Arrangements for CCfA have been incorporated into the Constitution. In addition Scrutiny is now supported by a clear, focussed work programme informed by regular review of Forward Plan decisions.	No specific actions but current standards to be maintained and enhanced where feasible	Borough Solicitor
Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based.	<ul style="list-style-type: none"> ▪ Decision-making protocols record of decisions and supporting materials 	9	No specific actions identified		No specific actions but current standards to be maintained and enhanced where feasible	
Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice.	<ul style="list-style-type: none"> ▪ Members' code of conduct ▪ Member/Officer Protocol 	9	No specific actions identified	A fundamental review of recording Members Allowances and Expenses was carried out during 2009/10.	No specific actions but current standards to be maintained and enhanced where feasible	Borough Solicitor

The code should reflect the requirement for local authorities to:	Source documents/good practice/other information demonstrating competence	Score 1-10	Improvement Plans reported For 2009/10 assessment	Progress of 2009/10 Improvements Plans	Specific actions for Continuous Improvement for 2010/11	Lead Officer for Improvement Actions
Develop and maintain an effective audit committee (or equivalent) which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the functions of such a committee	<ul style="list-style-type: none"> ▪ Terms of reference ▪ Membership ▪ Training for committee members 	9	No specific actions identified		No specific actions but current standards to be maintained and enhanced where feasible	
Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints	<ul style="list-style-type: none"> ▪ Complaints procedure 	7	Develop Customer Focus Strategy	The Council's Customer Focus and Engagement Strategy 2009/10 – 2012/13 was approved by Executive in November 2009. Initial projects that are imminent have been scoped.	Remaining Customer Focus Strategy Projects to be scoped by June 2010.	Head of Customer Services and Business Improvement
Ensure that those making decisions whether for the authority or the partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications	<ul style="list-style-type: none"> • Members' induction scheme ▪ Training for committee chairs ▪ All Member briefings ▪ Balanced Scorecard ▪ Timely, accurate and up-to-date budget information ▪ Regular Portfolio Holder briefings ▪ Report templates ▪ Report writing training for Officers 	8	Review of management training	The Modern Member programme has covered several topics in 2009/10 The feedback Members provide on each event is monitored and a summary sent to relevant officers.	<ol style="list-style-type: none"> 1. Training needs analysis framework to align training to key Member roles 2. Support for Chairs and Vice Chairs in managing the introduction of Neighbourhood Forums 3. Media training for Executive Members 	Training and Development Manager

The code should reflect the requirement for local authorities to:	Source documents/good practice/other information demonstrating competence	Score 1-10	Improvement Plans reported For 2009/10 assessment	Progress of 2009/10 Improvements Plans	Specific actions for Continuous Improvement for 2010/11	Lead Officer for Improvement Actions
Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately	<ul style="list-style-type: none"> ▪ Record of decision making and supporting materials ▪ Mandatory Legal & Financial implications paragraph in all Executive reports 	6	No specific actions identified	Improved score reflects enhanced processes in relation to financial reporting.	No specific actions but current standards to be maintained and enhanced where feasible	
Ensure that risk management is embedded into the culture of the authority; with members and managers at all levels recognising that risk management is part of their jobs.	<ul style="list-style-type: none"> ▪ Risk management strategy ▪ Financial standards and regulations ▪ Risk Management Group ▪ Members Risk Management Champion ▪ Risk Management implications on all Executive report templates 	7	Complete the embedding of risk management across the organisation and ensure it contributes to strategic outcomes	<p>Risk management group monitor Operational Risk Registers and consider the implications of risk, giving consideration to the cross-cutting perspective.</p> <p>Strategic Management Board and the Audit Committee monitor the Strategic Risk register on a quarterly basis.</p>	Develop the Council's project management procedures to facilitate consideration of associated risks.	Head of Customer Services and Business Improvement
Ensure that arrangements are in place for whistle-blowing to which staff and all those contracting with the authority have access	<ul style="list-style-type: none"> • Whistle-blowing policy 	9	Approved policy	The Whistleblowing Policy has been refreshed during 2009/10. A flyer was attached to Feb 2010 payslips and displayed on notice boards within Council premises to make staff aware of the refreshed procedures.	No specific actions but current standards to be maintained and enhanced where feasible	Head of Finance

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Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine but also strive to utilise powers to the full benefit of their communities.	<ul style="list-style-type: none"> ▪ Constitution ▪ Monitoring officer provisions ▪ Statutory provision 	8	Monitoring Officer post recognised but does not fully comply with requirements	The responsibilities of the Monitoring Officer have been enhanced in a revised job description.	No specific actions but current standards to be maintained and enhanced where feasible	Borough Solicitor
Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on local authorities by public law.	Strong in regularity areas	8	No specific actions identified		No specific actions but current standards to be maintained and enhanced where feasible	
Observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justice – into their procedures and decision-making processes.	<ul style="list-style-type: none"> ▪ Monitoring officer provisions ▪ Job description /specification ▪ Statutory provision 	8	Job description for Monitoring Officer to be reviewed.	The responsibilities of the Monitoring Officer have been enhanced in a revised job description.	No specific actions but current standards to be maintained and enhanced where feasible	Borough Solicitor

PRINCIPLE FIVE DEVELOPING THE CAPACITY AND CAPABILITY OF MEMBERS AND OFFICERS TO BE EFFECTIVE

The code should reflect the requirement for local authorities to:	Source documents/good practice/other information demonstrating competence	Score 1-10	Improvement Plans reported For 2009/10 assessment	Progress of 2009/10 Improvements Plans	Specific actions for Continuous Improvement for 2010/11	Lead Officer for Improvement Actions
Provide 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"> ▪ Training and development plan ▪ Induction programme ▪ Update courses/information ▪ Members training & development programme rests with Head of Human Resources and Organisational Development ▪ Signed up to the Members Development Charter ▪ East of England Member Development Charter 	7	<p>There are currently non-tailored programmes in place which are under review</p> <p>Member development programme will be enhanced and developed.</p>	<p>The Modern Member programme has covered several topics in 2009/10 The feedback Members provide on each event is monitored and a summary sent to relevant officers.</p>	<ul style="list-style-type: none"> • The officer induction process is currently under review. A new programme will be introduced that aligns more closely to the needs of differing officer roles. • Individual member Development Plans will be prepared during 2010/11. • A Member Induction programme will be developed during 2010/11. 	Training and Development Manager
Ensure that the statutory officers have the skills resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the authority	<ul style="list-style-type: none"> ▪ Job description/personal specifications membership of top management team 	8	<ul style="list-style-type: none"> ▪ Senior Management Team job descriptions and person specifications to be updated ▪ Skills and resources in place but some weaknesses in the understanding of the role of the Monitoring Officer to be addressed 			Borough Solicitor

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Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively	<ul style="list-style-type: none"> ▪ Training development plan ▪ Modern Member Programme ▪ East of England Member Development Charter ▪ Pilot skills audit ▪ HR work programme ▪ ECDL ▪ Report writing training for managers ▪ Financial management training ▪ New senior management team 	7	<ul style="list-style-type: none"> ▪ HR work programme ▪ Proposed management competencies implementation ▪ Member and Management development programme roll out ▪ New appraisal system implementation 	<p>1. A scoped HR Work Programme is in place that is prioritised and reflects resource capacity</p> <p>2. The implementation of a competency based scheme for managers will be completed during 2010/11</p> <p>3. The Modern Member programme has covered several topics in 2009/10 The feedback Members provide on each event is monitored and a summary sent to relevant officers.</p> <p>4. The review of the Appraisal system has been delayed to 2010/11 due to capacity.</p>	<ul style="list-style-type: none"> • Review Officer Appraisal System during 2010/11. • The implementation of a competency based scheme for managers will be completed during 2010/11. 	Head of Human Resources and Organisational Development

The code should reflect the requirement for local authorities to:	Source documents/good practice/other information demonstrating competence	Score 1-10	Improvement Plans reported For 2009/10 assessment	Progress of 2009/10 Improvements Plans	Specific actions for Continuous Improvement for 2010/11	Lead Officer for Improvement Actions
Develop 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"> ▪ EHRC - Equalities Framework ▪ Risk Management – training & development ▪ Equalities & Diversity training, including level 5 Tower Hamlets experience ▪ CAA awareness training ▪ Training and development plan reflect requirements of a modern councillor including: <ul style="list-style-type: none"> • the ability to scrutinise and challenge • the ability to recognise when outside advice is required • advice on how to act as an ambassador for the community • leadership and influencing skills 	8	<ul style="list-style-type: none"> • Proposed management competencies implementation • Member and Management development programme roll out 	<p>1. The implementation of a competency based scheme for managers will be completed during 2010/11</p> <p>2. The Modern Member programme has covered several topics in 2009/10 The feedback Members provide on each event is monitored and a summary sent to relevant officers</p>	The implementation of a competency based scheme for managers will be completed during 2010/11.	Head of Human resources and Organisational Development

The code should reflect the requirement for local authorities to:	Source documents/good practice/other information demonstrating competence	Score 1-10	Improvement Plans reported For 2009/10 assessment	Progress of 2009/10 Improvements Plans	Specific actions for Continuous Improvement for 2010/11	Lead Officer for Improvement Actions
ensure that effective arrangements are in place for reviewing the performance of the executive as a whole and of individual members and agreeing an action plan which might, for example, aim to address any training or development needs	<ul style="list-style-type: none"> ▪ The Leader of the Council Conducts performance and development interviews with Executive members and key Chairs 	8	Job Descriptions for Members roles	Arrangements are to be clarified following 2010 elections.	Position to be reviewed following 2010 election	Borough Solicitor
ensure that effective arrangements 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"> ▪ strategic partnership framework ▪ stakeholders' forums' terms of reference ▪ area forums' roles and responsibilities ▪ residents' panel structure ▪ Community Conference (inc .Participatory Budgeting) ▪ Neighbourhood Conference ▪ Take Part Pathfinder 	9	No specific actions identified	Improved Score reflects introduction of Participatory Budgeting Pilot at Community Conference 2009 and the Take Part Pathfinder designed to build capacity in the community to encourage involvement.	No specific actions but current standards to be maintained and enhanced where feasible	
ensure that career structures are in place for members and officers to encourage participation and development	<ul style="list-style-type: none"> ▪ succession planning 	7	No specific actions identified		No specific actions but current standards to be maintained and enhanced where feasible.	

PRINCIPLE ENGAGING WITH LOCAL PEOPLE AND OTHER STAKEHOLDERS TO ENSURE ROBUST PUBLIC ACCOUNTABILITY

The code should reflect the requirement for local authorities to:	Source documents/good practice/other information demonstrating competence	Score 1-10	Improvement Plans reported For 2009/10 assessment	Progress of 2009/10 Improvements Plans	Specific actions for Continuous Improvement for 2010/11	Lead Officer for Improvement Actions
<ul style="list-style-type: none"> • make clear to themselves, all staff and the community to whom they are accountable and for what • consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required 	<p>The following documents set out how and why the Council delivers particular services:</p> <ul style="list-style-type: none"> • community strategy • Corporate Plan Annual Report • Neighbourhood Forums <p>The So Stevenage (LSP) Guide sets out arrangements for working with partners.</p> <p>Residents are consulted through various means including:</p> <ul style="list-style-type: none"> • Town wide Surveys • Community Conference 	9	No specific actions identified	Improved score reflects introduction of the SoStevenage Guide.	No specific actions but current standards to be maintained and enhanced where feasible.	

The code should reflect the requirement for local authorities to:	Source documents/good practice/other information demonstrating competence	Score 1-10	Improvement Plans reported For 2009/10 assessment	Progress of 2009/10 Improvements Plans	Specific actions for Continuous Improvement for 2010/11	Lead Officer for Improvement Actions
produce an annual report on the activity of the scrutiny function	<ul style="list-style-type: none"> Annual Report 	9	No specific actions identified		No specific actions but current standards to be maintained and enhanced where feasible	
<ul style="list-style-type: none"> ensure that clear channels of communication are in place with all sections of the community and other stakeholders, and put in place monitoring arrangements to ensure that they operate effectively hold meetings in public unless there are good reasons for confidentiality ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have difference priorities and establish explicit processes for dealing with these competing demands 	<p>Residents are consulted through various means including:</p> <ul style="list-style-type: none"> Town wide Surveys Community Conference <p>The So Stevenage (LSP) Guide sets out arrangements for working with partners.</p> <p>Equality Impact assessments are completed for projects and service delivery.</p>	9	Equalities Impact Assessments to be completed and action plans implemented.	Equalities Impact Assessments in place.	Improve compliance monitoring.	Strategic Management Team

The code should reflect the requirement for local authorities to:	Source documents/good practice/other information demonstrating competence	Score 1-10	Improvement Plans reported For 2009/10 assessment	Progress of 2009/10 Improvements Plans	Specific actions for Continuous Improvement for 2010/11	Lead Officer for Improvement Actions
establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users about including a feedback mechanism for those consultees to demonstrate what has changed as a result	<ul style="list-style-type: none"> • partnership framework • communication strategy • Communication strategy linked to CDRP & LSPG • “You said – We did” • Community Conference • Neighbourhood Conference 	8	<p>Participatory Budgeting</p> <p>“Make Stevenage Sparkle”</p> <p>Consultation with Social Inclusion Panel of So Stevenage on future Grant Aid</p>	<p>Participatory Budgeting took place at the 2009 Community Conference in July. Participants were split into SoStevenage community strategy theme groups, and presented with information about a list of bids.</p> <p>Consultation with Social Inclusion Panel on Grant Aid completed.</p>	Review arrangements and set a clear programme of consultation.	Partnerships and Communications Manager
on an annual basis, publish a performance plan giving information on the authority’s vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period	<ul style="list-style-type: none"> • annual report • annual financial statements • corporate plan • annual business plan 	9	No specific actions identified		No specific actions but current standards to be maintained and enhanced where feasible.	

The code should reflect the requirement for local authorities to:	Source documents/good practice/other information demonstrating competence	Score 1-10	Improvement Plans reported For 2009/10 assessment	Progress of 2009/10 Improvements Plans	Specific actions for Continuous Improvement for 2010/11	Lead Officer for Improvement Actions
ensure that the authority as a whole is open and accessible to the community, service users and its staff and ensure 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"> • Constitution • “Working together” corporate value • Neighbourhood teams 	10	Customer Focus Strategy	The Council's Customer Focus and Engagement Strategy 2009/10 – 2012/13 was approved by Executive in November 2009. Initial projects that are imminent have been scoped.	Remaining Customer Focus Strategy Projects to be scoped by June 2010.	Head of Customer Services and Business Improvement
develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making	<ul style="list-style-type: none"> • Constitution • SMB/Staff-side meetings • Joint consultative committee meetings (employer and staff) • Staff survey 	9	No specific actions identified		Ensure 2010 Annual report includes information regarding the Council's use of natural resources.	Performance and Improvement Manager

Additional Reference documents- Principle One

Strong and Prosperous Communities, DCLG (October 2006)
The Policies of Place, The Leadership Centre for Local Government (October 2006)
A Councillor's Guide to Performance Management (second edition), IDeA (June 2006)
A Manager's Guide to Performance Management (second edition), IDeA (June 2006)

Additional Reference documents- Principle Two

Final Report of the SOLACE Commission on Managing in a Political Environment, SOLACE (2005), *Changing Organisational Cultures*, Audit Commission (2005)

Additional Reference documents- Principle Three

Standards of Conduct in English Local Government: The Future, ODPM (2005)
Tools to assist local authorities for self-assessment purposes: *Ethical Governance Diagnostic: Setting High Standards in Public Life*, Audit Commission (2005)

Additional Reference documents- Principle Four

- *Worth the Risk: Improving Risk Management in Local Government*, Audit Commission (2001)
- *Risk Management in the Public Services*, CIPFA/ALARM (2001)
- *The Orange Book – Management of Risk Principles and Concepts*, HM Treasury (October 2004)
- *Audit Committees: Practical Guidance for Local Authorities*, CIPFA (2005)
- *The Good Scrutiny Guide: A Pocket Guide for Public Scrutineers*, Centre for Public Scrutiny (2006)
- *Overview and Scrutiny in Local Government: A Handbook for Elected Members*, Centre for Public Scrutiny (2006)
- *A Wider Conversation: Effective Scrutiny of Local Strategic Partnerships*, IDeA (February 2007)

Tools to assist local authorities for self-assessment purposes: *A Toolkit for Local Authority Audit Committees*, The CIPFA Better Governance Forum (2006)

Additional Reference documents- Principle Five: *Frontline Councillor: How Local politicians can Make a Difference to their Communities*, IDeA (2007)

Additional Reference documents- Principle Six:

Governing Partnerships: Bridging the Accountability Gap, Audit Commission (2005)
The Good Governance Standard for Public Services, The Independent Commission on Good Governance in Public Services (2004)

Tools to assist local authorities for self-assessment purposes**The Annual Governance Statement:**

Meeting the Requirements of the Accounts and Audit Regulations 2003, incorporating Accounts and Audit (Amendment) (England) Regulations 2006 – Rough Guide for Practitioners, The CIPFA Finance Advisory Network (2007)

