

Corporate Governance Arrangements

March 2012 Self-assessment

Key to Scores:

1 - 3: High risk to the organisation, lacking significant structure
 4 - 7: Fundamental principle in place but with identifiable weakness
 8 - 10: Compliant, any actions identified are pertaining to best practice

> Updates since last year are highlighted in yellow and in red font

Six principles of Corporate Governance									
Requirement Identifier	Requirement	Corporate Governance Group Lead Officer	Evidence of Compliance	Action required in 2011/12	March 2012 Update	Score assigned March 2011	Score assigned March 2012	Explanation for Change (where applicable)	Actions for 2012/13
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.									
Supporting principle: Exercising strategic leadership by developing and clearly communicating the authority's purpose, vision and its intended outcome for citizens and service users									
1	Develop and promote the authority's purpose and vision.	Head Housing, Partnerships & Communications	> Long-term Partnership Vision for Stevenage set out in Community Strategy > Stevenage Borough Council Vision for Stevenage set out in Corporate Plan > Vision reflected in Corporate Improvement Programme > Vision reflected in performance agreements	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
2	Review on a regular basis the authority's vision for the local area and its impact on the authority's governance arrangements.	Head Housing, Partnerships & Communications	> Governance code > Asset management strategy > Move towards excellence ambition > Visioning Day to inform Corporate Plan 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	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
3	Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties.	Head Housing, Partnerships & Communications	> Partnership Toolkit > Governance Code (partnership) > SoStevenage Guide > SLL contractual agreement > Community & Voluntary Sector Strategy > Shared vision Working Together Programme - Shared Internal Audit Service agreement - Revs/Bens Shared Service agreement	Action: Carry out Housing Options feasibility study Milestone: Completion - September 2011 Responsible Officer: Head of Housing, Communications and Partnerships	The Housing Options feasibility study was completed in September 2011 The Residents' Housing Options Survey, seeking resident's views on whether to transfer Stevenage Homes back into the Council, was completed in September 2011 Stevenage Homes Limited was integrated with the Council on 1st December 2011 The Working Together programme has resulted in a number of shared services, e.g. Revenues and Benefits and Internal Audit	7	8	Following the results of the Residents' Housing Options Survey, Stevenage Homes Limited transferred to Stevenage Borough Council from 1st December 2011. Shared Services developed in 2011/12, as part of the Working Together Programme, have common vision and service agreements in place.	No specific actions but current standards to be maintained

Corporate Governance Arrangements

March 2012 Self-assessment

Key to Scores:
 1 - 3: High risk to the organisation, lacking significant structure
 4 - 7: Fundamental principle in place but with identifiable weakness
 8 - 10: Compliant, any actions identified are pertaining to best practice



> Updates since last year are highlighted in yellow and in red font

Six principles of Corporate Governance									
Requirement Identifier	Requirement	Corporate Governance Group Lead Officer	Evidence of Compliance	Action required in 2011/12	March 2012 Update	Score assigned March 2011	Score assigned March 2012	Explanation for Change (where applicable)	Actions for 2012/13
4	Publish annual accounts on a timely basis to communicate the authority's activities and achievements, its financial position and performance.	Head of Finance	> Annual Financial Statements > Annual Report > Summary of Accounts	No specific actions but current standards to be maintained	Not Applicable	10	10	Not Applicable	No specific actions but current standards to be maintained

Corporate Governance Arrangements

March 2012 Self-assessment

Key to Scores:
 1 - 3: High risk to the organisation, lacking significant structure
 4 - 7: Fundamental principle in place but with identifiable weakness
 8 - 10: Compliant, any actions identified are pertaining to best practice



> Updates since last year are highlighted in yellow and in red font

Six principles of Corporate Governance									
Requirement Identifier	Requirement	Corporate Governance Group Lead Officer	Evidence of Compliance	Action required in 2011/12	March 2012 Update	Score assigned March 2011	Score assigned March 2012	Explanation for Change (where applicable)	Actions for 2012/13
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. (continued)									
Supporting Principle: Ensuring that users receive a high quality of service whether directly, or in partnership or by commissioning									
5	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.	Head of Customer Service and Business Improvement	<ul style="list-style-type: none"> > Customer Focus Strategy > Equality and Diversity Impact Assessments > Community Conference Outputs > Gov-metric development > Balanced Scorecard > Service standards > Consultation to measure customer satisfaction 	<p>Action: Complete relevant strands of the Customer Focus Strategy</p> <p>Milestone: Detailed milestones will be agreed when reviewing priorities within the strategy</p> <p>Responsible Officer: Head of Customer Service and Business Improvement</p>	The Customer Focus Strategy has been rescoped and prioritised during 2011/12. However, full implementation will not be complete until June 2013. As part of the Programme, Customer Access reviews are planned to improve customer access options and reduce failure demand.	7	8	<p>A customer survey on website development and access is being carried out to inform future development.</p> <p>Stevenage Borough Council won Govmetric 'Council of the Year' award. The award recognises the high level of satisfaction that Stevenage Borough Council customers feedback through the website and for service delivered through the Customer Service Centre</p>	<p>(Action carried forward from 2011/12) Action: Complete relevant strands of the Customer Focus Strategy (in particular Customer Access Review Project)</p> <p>Milestone: June 2013</p> <p>Responsible Officer: Head of Customer Services and Business Improvement</p>
6	Put in place effective arrangements to identify and deal with failure in service delivery.	Head of Customer Service and Business Improvement	<ul style="list-style-type: none"> > Complaints procedure > Councillor Call for Action (CCfA) arrangements 	<p>Action: Complete relevant strands of the Customer Focus Strategy</p> <p>Milestone: Detailed milestones will be agreed when reviewing priorities within the strategy</p> <p>Responsible Officer: Head of Customer Service and Business Improvement</p>	The Customer Focus Strategy has been rescoped and prioritised during 2011/12. However, full implementation will not be complete until June 2013. As part of the Programme, a corporate review of complaints is planned. Customer Access reviews will include consideration of how complaints are handled.	7	7	Not Applicable	<p>(Action carried forward from 2011/12) Action: Complete relevant strands of the Customer Focus Strategy (in particular review of Corporate Complaints procedures)</p> <p>Milestone: March 2013</p> <p>Responsible Officer: Head of Customer Services and Business Improvement</p>
Supporting Principle: Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money									
7	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.	Head of Finance	<ul style="list-style-type: none"> > VFM benchmark arrangements with Harlow, Audit Commission VFM profiles > The results are used to review the work of the authority with effective challenge of savings options > The Asset Management Plan ensures efficient use of the authority's assets > The Working Together Programme continues to identify opportunities to increase VFM 	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
8	Ensure that timely, accurate and impartial financial advice and information is provided to assist in decision-making and to ensure that the authority meets its policy and service objectives and provides effective stewardship of public money and value for money in its use.	Chief Financial Officer	<ul style="list-style-type: none"> > Quarterly SMB reports to update on the MTFS > HoS reports > Consultant Accountant structure set up > Mandatory implications in committee reports > Key Performance Indicators > SRR 	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained

Corporate Governance Arrangements

March 2012 Self-assessment

Key to Scores:
 1 - 3: High risk to the organisation, lacking significant structure
 4 - 7: Fundamental principle in place but with identifiable weakness
 8 - 10: Compliant, any actions identified are pertaining to best practice



> Updates since last year are highlighted in yellow and in red font

Six principles of Corporate Governance									
Requirement Identifier	Requirement	Corporate Governance Group Lead Officer	Evidence of Compliance	Action required in 2011/12	March 2012 Update	Score assigned March 2011	Score assigned March 2012	Explanation for Change (where applicable)	Actions for 2012/13
9	Ensure that the authority maintains a prudential financial framework; keeps its commitments in balance with available resources; monitors income and expenditure levels to ensure that this balance is maintained and takes corrective action when necessary	Chief Financial Officer	> Quarterly SMB reports > Executive reports > Capital Strategy > GF / HRA > SRR	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
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. (continued)									
Supporting Principle: Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money (continued)									
10	Ensure compliance with CIPFA's Code on a Prudential Framework for Local Authority Capital Finance and CIPFA's Treasury Management Code.	Chief Financial Officer	> Executive reports > Treasury Management Strategy to Executive > Audit Committee reports	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
Principle 2 : Members and Officers working together to achieve a common purpose with clearly defined functions and roles									
Supporting Principle: Ensuring effective leadership throughout the authority and being clear about executive and non-executive functions and of the roles and responsibilities of the scrutiny function									
11	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. Set out a clear statement of the respective roles and responsibilities of other authority members, members generally and senior officers.	Monitoring Officer	> Constitution > Record of decisions and supporting materials > Weekly meetings	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
12	Ensure 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.	Chief Financial Officer	> CFO is the Strategic Director for Resources > Attendance at SMB	No specific actions but current standards to be maintained	Not Applicable	10	10	Not Applicable	No specific actions but current standards to be maintained
Supporting Principle: Ensuring that a constructive working relationship exists between elected members and officers and that the responsibilities of authority members and officers are carried out to a high standard									
13	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.	Monitoring Officer	> Constitution > Delegated powers approved in reports	No specific actions but current standards to be maintained	Not Applicable	10	10	Not Applicable	No specific actions but current standards to be maintained

Corporate Governance Arrangements

March 2012 Self-assessment

Key to Scores:
 1 - 3: High risk to the organisation, lacking significant structure
 4 - 7: Fundamental principle in place but with identifiable weakness
 8 - 10: Compliant, any actions identified are pertaining to best practice



> Updates since last year are highlighted in yellow and in red font

Six principles of Corporate Governance									
Requirement Identifier	Requirement	Corporate Governance Group Lead Officer	Evidence of Compliance	Action required in 2011/12	March 2012 Update	Score assigned March 2011	Score assigned March 2012	Explanation for Change (where applicable)	Actions for 2012/13
Principle 2 : Members and Officers working together to achieve a common purpose with clearly defined functions and roles (continued)									
Supporting Principle: Ensuring that a constructive working relationship exists between elected members and officers and that the responsibilities of authority members and officers are carried out to a high standard									
14	Make a chief executive or equivalent responsible and accountable to the authority for all aspects of operational management.	Monitoring Officer	<ul style="list-style-type: none"> > Conditions of employment > Scheme of delegation > Statutory provisions > Job descriptions/specification > Performance management system 	No specific actions but current standards to be maintained	Not Applicable	10	10	Not Applicable	No specific actions but current standards to be maintained
15	Ensure that the authority's governance arrangements allow the CFO direct access to the CEO and to other leadership team members.	Chief Financial Officer	<ul style="list-style-type: none"> > CFO is the Strategic Director for Resources > CFO is the Deputy CE > Attendance at SMB 	No specific actions but current standards to be maintained	Not Applicable	10	10	Not Applicable	No specific actions but current standards to be maintained
16	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.	Monitoring Officer	<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 ongoing corporate restructures > Balanced Scorecard is presented to SMB on a quarterly basis > Agreements in place with regard to a Protocol for responses to legislative changes > Member/Officer protocol > Chief Executive's key objectives for 12/13 agreed 	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
17	Make the CFO (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 on internal financial control.	Chief Executive	<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 > Committee reports require Financial clearance > Requirement to establish robustness of estimates > CFO statements 	No specific actions but current standards to be maintained and enhanced where feasible	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained

Corporate Governance Arrangements

March 2012 Self-assessment

Key to Scores:
 1 - 3: High risk to the organisation, lacking significant structure
 4 - 7: Fundamental principle in place but with identifiable weakness
 8 - 10: Compliant, any actions identified are pertaining to best practice



> Updates since last year are highlighted in yellow and in red font

Six principles of Corporate Governance									
Requirement Identifier	Requirement	Corporate Governance Group Lead Officer	Evidence of Compliance	Action required in 2011/12	March 2012 Update	Score assigned March 2011	Score assigned March 2012	Explanation for Change (where applicable)	Actions for 2012/13
18	Appoint a professionally qualified CFO whose core responsibilities include those set out in the Statement on the Role of the CFO in Local Government and ensure that they are properly understood throughout the authority.	Chief Financial Officer	> CFO Job Description	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
Principle 2 : Members and Officers working together to achieve a common purpose with clearly defined functions and roles (continued)									
Supporting Principle: Ensuring that a constructive working relationship exists between elected members and officers and that the responsibilities of authority members and officers are carried out to a high standard									
19	Ensure that the CFO: > 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.	Chief Financial Officer	> CFO is the Strategic Director for Resources > Head of Finance reports directly to the CFO > Job Description of the Head of Finance > Regular presentations > SMB / Members' briefing notes > SMT	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
20	Ensure that budget calculations are robust and reserves adequate, in line with CIPFA's guidance.	Chief Financial Officer	> MTFS presented to LSPG, Resources Scrutiny and Development Committee, and Challenge Board > Risk assessment of reserves > Involvement of the Head of Finance > Quarterly monitoring > KPIs presented to SMB	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
21	Ensure 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.	Chief Financial Officer	> Quarterly reports to SMB > Quarterly reports to Executive Committee > Monthly reports from Heads of Service	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
22	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.	Chief Executive	> Monitoring officer provisions > Statutory provision > Job descriptions and specification	No specific actions but current standards to be maintained and enhanced where feasible	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
Supporting Principle: Ensuring relationships between the authority, its partners and the public are clear so that each know what to expect of the other									

Corporate Governance Arrangements

March 2012 Self-assessment

Key to Scores:
 1 - 3: High risk to the organisation, lacking significant structure
 4 - 7: Fundamental principle in place but with identifiable weakness
 8 - 10: Compliant, any actions identified are pertaining to best practice



> Updates since last year are highlighted in yellow and in red font

Six principles of Corporate Governance									
Requirement Identifier	Requirement	Corporate Governance Group Lead Officer	Evidence of Compliance	Action required in 2011/12	March 2012 Update	Score assigned March 2011	Score assigned March 2012	Explanation for Change (where applicable)	Actions for 2012/13
23	Develop protocols to ensure effective communication between members and officers in their respective roles.	Strategic Director Resources	> Member/officer protocol in Constitution > Modern Member Programme activities > Joint officer/Member working groups > Informal briefings > Briefing process agreed as part of budget setting > Induction programme	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
Principle 2 : Members and Officers working together to achieve a common purpose with clearly defined functions and roles (continued)									
Supporting Principle: Ensuring relationships between the authority, its partners and the public are clear so that each know what to expect of the other									
24	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).	Monitoring Officer	> Pay and conditions policies and practices > Members' Allowances Scheme > Independent remuneration panel > Single Status review	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
25	Ensure that effective mechanisms exist to monitor service delivery.	Head of Customer Service and Business Improvement	> Balanced Scorecard sets out key measures > Programme Governance Arrangements monitor delivery of priorities (CIP) > Gov-metric monitors elements of satisfaction > Insurance claims > SRR / ORR process > KPIs > A to Z of Services > Budget monitoring process > Corporate improvement programme	Action: Review and enhance the service planning process Milestone: March 2012 Responsible Officer: Head of Customer Service and Business Improvement	The service planning process was reviewed in April 2011 and a Service Plan template developed. In September 2011, SMB determined that Service Plans are not mandatory but may be used at Head of Service discretion	7	8	Mechanisms to monitor service delivery have been enhanced over recent years. As a result, a mandatory Service Plan is no longer required. Some of the mechanisms currently in place to monitor service delivery are: > Corporate Improvement Programme which monitors programme and project delivery > Balanced scorecard which monitors performance > Strategic and Operational Risk Registers and Corporate Risk Group which reviews the current risks to the delivery of corporate priorities and service delivery	No specific actions but current standards to be maintained

Corporate Governance Arrangements

March 2012 Self-assessment

Key to Scores:
 1 - 3: High risk to the organisation, lacking significant structure
 4 - 7: Fundamental principle in place but with identifiable weakness
 8 - 10: Compliant, any actions identified are pertaining to best practice



> Updates since last year are highlighted in yellow and in red font

Six principles of Corporate Governance									
Requirement Identifier	Requirement	Corporate Governance Group Lead Officer	Evidence of Compliance	Action required in 2011/12	March 2012 Update	Score assigned March 2011	Score assigned March 2012	Explanation for Change (where applicable)	Actions for 2012/13
26	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.	Head Housing, Partnerships & Communications	Corporate Plans are developed using key demographic information and the views of the public and partners. Corporate documents set out: > Vision > Corporate ambitions and priorities > Related performance measures Consultation during 2011/12 included: > Community Conference > Cafe Choice (drop-in session) to inform priority setting > Postal townwide survey (results anticipated March 2012) Budgets set out the available resources to deliver plans and these are aligned to the corporate planning process Partners are consulted through engagement with SoStevenage.	No specific actions but current standards to be maintained		9	9	Not Applicable	No specific actions but current standards to be maintained
27	Establish 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.	Chief Financial Officer	> Quarterly Monitoring reports to SMB > Quarterly reports to Executive on MTFS, GF, HRA, Capital > Statement of Accounts Committee > Annual Budget presented to full Council > Monitoring process carried out by the Chief Financial Officer	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained

Corporate Governance Arrangements

March 2012 Self-assessment

Key to Scores:
 1 - 3: High risk to the organisation, lacking significant structure
 4 - 7: Fundamental principle in place but with identifiable weakness
 8 - 10: Compliant, any actions identified are pertaining to best practice

> Updates since last year are highlighted in yellow and in red font

Six principles of Corporate Governance									
Requirement Identifier	Requirement	Corporate Governance Group Lead Officer	Evidence of Compliance	Action required in 2011/12	March 2012 Update	Score assigned March 2011	Score assigned March 2012	Explanation for Change (where applicable)	Actions for 2012/13
Principle 2 : Members and Officers working together to achieve a common purpose with clearly defined functions and roles (continued)									
Supporting Principle: Ensuring relationships between the authority, its partners and the public are clear so that each know what to expect of the other									
28	Ensure that medium term business and financial planning processes to deliver strategic objectives (as above) are subject to regular review to confirm the continuing relevance of assumptions used.	Chief Financial Officer	> Quarterly Monitoring reports to SMB > Quarterly reports to Executive on MTFS, GF, HRA, Capital > Statement of Accounts Committee > Annual Budget presented to full Council > Monitoring process carried out by the Chief Financial Officer	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
29	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.	Head of Housing, Partnerships & Communications	> Roles and responsibilities for Portfolio Holders involved in Partnerships are in place > Executive Members briefings > Portfolio Holders involvement in themed partnerships > Partnership Toolkit > SoStevenage Governance	No specific actions but current standards to be maintained.	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
30	When working in partnership: > Ensure that there is clarity about the legal status of the partnership > Ensure that representatives or organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions.	Monitoring Officer	> Partnership Toolkit > Governance Code (partnership) > SoStevenage Guide > SLL contractual agreement	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
Principle 3: Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour									
Supporting Principle: Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance									
31	Ensure that the Authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect.	Chief Executive	> Chief Executive's information sessions are held to cascade timely updates on the authority's intentions and values to all staff. > Cascade mechanisms are in place	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained

Corporate Governance Arrangements

March 2012 Self-assessment

Key to Scores:
 1 - 3: High risk to the organisation, lacking significant structure
 4 - 7: Fundamental principle in place but with identifiable weakness
 8 - 10: Compliant, any actions identified are pertaining to best practice



> Updates since last year are highlighted in yellow and in red font

Six principles of Corporate Governance									
Requirement Identifier	Requirement	Corporate Governance Group Lead Officer	Evidence of Compliance	Action required in 2011/12	March 2012 Update	Score assigned March 2011	Score assigned March 2012	Explanation for Change (where applicable)	Actions for 2012/13
32	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.	Strategic Director Resources	<ul style="list-style-type: none"> > Members/officers' code of conduct > Performance appraisal > Complaints procedures > Anti-fraud and corruption policy > Member/officer protocols 	<p>Actions: Raise awareness in relation to the new Officer Code of Conduct</p> <p>Milestones: March 2012</p> <p>Responsible Officer: Borough Solicitor</p>	<ul style="list-style-type: none"> > All staff were advised in September 2011 via 'Message of the Day' that they should be aware of the content of the Officer Code of Conduct, which is available on the Council Intranet. > The Code of Conduct is now issued in new starter pack > An article was published in the Winter 2011 edition of the staff newsletter > Consideration is currently being given to include training on officer's responsibilities under the Code of Conduct for new and existing staff via the existing Ethics and Probity training or an alternative existing module, with a target date for integration of April 2012. 	7	8	<ul style="list-style-type: none"> Measures have been taken to raise staff awareness regarding the Code of Conduct to include > Message of the day to all staff > Article in staff newsletter > The Code is now issued in new starter pack 	No specific actions but current standards to be maintained
Principle 3: Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour (continued)									
Supporting Principle: Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance (continued)									
33	Put in place arrangements 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.	Monitoring Officer	<ul style="list-style-type: none"> > Contract Standing Orders > Codes of Conduct > Financial Regulations 	No specific actions but current standards to be maintained and enhanced where feasible.	Not Applicable	8	9	<ul style="list-style-type: none"> Measures have been taken to raise staff awareness regarding the Code of Conduct to include: > Message of the day to all staff > Article in staff newsletter > The Code is now issued in new starter pack 	No specific actions but current standards to be maintained
Supporting Principle: Ensuring that organisational values are put into practice and are effective									
34	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.	Head of Housing, Partnerships & Communications	<ul style="list-style-type: none"> > Organisational values > Codes of Conduct > PDMs > Corporate briefings for staff 	<p>Action: Communicate change of values to cooperative principles</p> <p>Milestone: March 2012</p> <p>Responsible Officer: Head of Housing, Communication and Partnerships</p>	<ul style="list-style-type: none"> Information regarding the change of values to cooperative principles was incorporated in this year's Annual Report Chief Executive communications with staff have referred to the Council's Cooperative Agenda and further activity is planned following an audit of current cooperative service delivery. 	7	7	Not Applicable	<ul style="list-style-type: none"> (Action carried forward from 2011/12) Action: Communicate change of values to cooperative principles to staff Milestone: June 2012 Responsible Officer: Head of Housing, Communication and Partnerships

Corporate Governance Arrangements

March 2012 Self-assessment

Key to Scores:
 1 - 3: High risk to the organisation, lacking significant structure
 4 - 7: Fundamental principle in place but with identifiable weakness
 8 - 10: Compliant, any actions identified are pertaining to best practice



> Updates since last year are highlighted in yellow and in red font

Six principles of Corporate Governance									
Requirement Identifier	Requirement	Corporate Governance Group Lead Officer	Evidence of Compliance	Action required in 2011/12	March 2012 Update	Score assigned March 2011	Score assigned March 2012	Explanation for Change (where applicable)	Actions for 2012/13
35	Put in place arrangements to ensure that procedures and operations are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice.	Monitoring Officer	> Codes of Conduct > Equality and Diversity strategy > Fair Trade Status	No specific actions but current standards to be maintained and enhanced where feasible	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
36	Ensure 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.	Chief Financial Officer	> Asset Management Strategy > Treasury Management Strategy	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
37	Develop and maintain an effective Standards Committee.	Monitoring Officer	> Terms of Reference	No specific actions but current standards to be maintained		9	9	Not Applicable	
Principle 3: Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour (continued)									
Supporting Principle: Ensuring that organisational values are put into practice and are effective (continued)									
38	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.	Head of Housing, Partnerships & Communications	> Decision making practices > Equality and Diversity policy > Organisational Values	Action: Communicate change of values to cooperative principles Milestone: March 2012 Responsible Officer: Head of Housing, Communication and Partnerships	Information regarding the change of values to cooperative principles was incorporated in this year's Annual Report Chief Executive communications with staff have referred to the Council's Cooperative Agenda and further activity is planned following an audit of current cooperative service delivery.	7	7	Not Applicable	(Action carried forward from 2011/12) Action: Communicate change of values to cooperative principles to staff Milestone: June 2012 Responsible Officer: Head of Housing, Communication and Partnerships
39	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.	Head Housing, Partnerships & Communications	> Protocols for partnership working > Partnership toolkit in place, tested and working effectively > Sub-group of LSP Executive, with clear roles and responsibilities for the allocation of performance reward grant > Governance document > Shared vision and values Working Together Programme - Shared Internal Audit Service agreement - Revs/Bens Shared Service agreement	Action: Carry out Housing Options feasibility study and implement findings Milestone: Completion September 2011 Responsible Officer: Head of Housing, Communications and Partnerships	The Housing Options feasibility study was completed in September 2011 The Residents' Housing Options Survey, seeking resident's views on whether to integrate Stevenage Homes with the Council, was completed in September 2011 Stevenage Homes Limited was integrated with the Council on 1st December 2011 The Working Together programme has resulted in a number of shared services, e.g. Revenues and Benefits and Internal Audit	7	8	Following the results of the Residents' Housing Options Survey, Stevenage Homes Limited transferred to Stevenage Borough Council from 1st December 2011. Shared Services developed in 2011/12, as part of the Working Together Programme, have common vision and service agreements in place.	No specific actions but current standards to be maintained
Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk									

Corporate Governance Arrangements

March 2012 Self-assessment

Key to Scores:

1 - 3: High risk to the organisation, lacking significant structure
 4 - 7: Fundamental principle in place but with identifiable weakness
 8 - 10: Compliant, any actions identified are pertaining to best practice

> Updates since last year are highlighted in yellow and in red font

Six principles of Corporate Governance									
Requirement Identifier	Requirement	Corporate Governance Group Lead Officer	Evidence of Compliance	Action required in 2011/12	March 2012 Update	Score assigned March 2011	Score assigned March 2012	Explanation for Change (where applicable)	Actions for 2012/13
Supporting Principle: Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny									
40	Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall.	Monitoring Officer	> Scrutiny carried out through Policy and Development Committees is supported by robust evidence and data analysis > Joint working with HCC and other districts > CCfA arrangements	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
41	Ensure an effective internal audit function is resourced and maintained.	Chief Financial Officer	> Internal Audit team in place > Audit plan 2010/11 > External Audit review 2010/11 > Shared Internal Audit Service	No specific actions but current standards to be maintained		8	8	Not Applicable	No specific actions but current standards to be maintained
42	Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based.	Monitoring Officer	> Decision making protocols, record of decisions and supporting materials	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
43	Put in place arrangements to safeguard conflicts of interest for members and employees and put in place appropriate processes to ensure that they continue to operate in practice.	Monitoring Officer	> Members' Code of Conduct > Member/Officer protocol	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	Action: Harmonisation of Stevenage Homes and Stevenage Borough Council protocols Milestone: March 2012 Responsible Officer: CFO
Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk (continued)									
Supporting Principle: Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny (continued)									
44	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.	Monitoring Officer	> Terms of reference > Membership > Training for committee members	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
45	Ensure that the authority's governance arrangements allow the CFO direct access to the Audit Committee and external audit.	Chief Financial Officer	> Head of Finance meetings with Grant Thornton (external audit) > CFO (or deputy) attendance at Audit Committee meetings	No specific actions but current standards to be maintained	Not Applicable	10	10	Not Applicable	No specific actions but current standards to be maintained

Corporate Governance Arrangements

March 2012 Self-assessment

Key to Scores:
 1 - 3: High risk to the organisation, lacking significant structure
 4 - 7: Fundamental principle in place but with identifiable weakness
 8 - 10: Compliant, any actions identified are pertaining to best practice



> Updates since last year are highlighted in yellow and in red font

Six principles of Corporate Governance									
Requirement Identifier	Requirement	Corporate Governance Group Lead Officer	Evidence of Compliance	Action required in 2011/12	March 2012 Update	Score assigned March 2011	Score assigned March 2012	Explanation for Change (where applicable)	Actions for 2012/13
46	Put in place effective, transparent and accessible arrangements for dealing with complaints.	Head of Customer Service and Business Improvement	> Complaints procedure	<p>Action: Complete relevant strands of the Customer Focus Strategy</p> <p>Milestone: Subject to review of priorities within the Customer Focus Strategy</p> <p>Responsible Officer: Head of Customer Service and Business Improvement</p>	The Customer Focus Strategy has been rescoped and prioritised during 2011/12. However, full implementation will not be complete until June 2013. As part of the Programme, a corporate review of complaints is planned. Customer Access reviews will include consideration of how complaints are handled.	6	6	Not Applicable	<p>(Action carried forward from 2011/12)</p> <p>Action: Complete relevant strands of the Customer Focus Strategy (in particular review of Corporate Complaints procedures)</p> <p>Milestone: March 2013</p> <p>Responsible Officer: Head of Customer Services and Business Improvement</p>

Corporate Governance Arrangements

March 2012 Self-assessment

Key to Scores:

1 - 3: High risk to the organisation, lacking significant structure
 4 - 7: Fundamental principle in place but with identifiable weakness
 8 - 10: Compliant, any actions identified are pertaining to best practice

> Updates since last year are highlighted in yellow and in red font

Six principles of Corporate Governance									
Requirement Identifier	Requirement	Corporate Governance Group Lead Officer	Evidence of Compliance	Action required in 2011/12	March 2012 Update	Score assigned March 2011	Score assigned March 2012	Explanation for Change (where applicable)	Actions for 2012/13
Supporting Principle: Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs									
47	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 and financial issues and their implications. (NB: Financial information added for 2010/11 assessment)	Monitoring Officer	<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 with mandatory paragraphs > Reporting writing training for officers 	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
48	Ensure the provision of clear well presented, timely, complete and accurate information and reports to budget managers and senior officers on the budgetary and financial performance of the authority.	Chief Financial Officer	<ul style="list-style-type: none"> > Monthly HoS reports > Quarterly reports to SMB > Improvements to monitoring and reports 	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
49	Ensure that proper professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately.	Monitoring Officer	<ul style="list-style-type: none"> > Record of decision making and supporting materials > Mandatory Legal and Financial implications paragraph in all Executive reports 	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk (continued)									
Supporting Principle: Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs (continued)									
50	Ensure the authority's governance arrangements allow the CFO to bring influence to bear on all material decisions.	Chief Financial Officer	<ul style="list-style-type: none"> > CFO is Deputy Chief Executive > SMB reports 	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
51	Ensure that advice is provided on the levels of reserves and balances in line with good practice guidance (on Local Authority Reserves and Balances).	Chief Financial Officer	<ul style="list-style-type: none"> > Budget reports > Requirement to establish robustness of estimates > Treasury Management Strategy reported to Audit Committee and Executive and Council 	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
Supporting Principle: Ensuring that an effective risk management system is in place									

Corporate Governance Arrangements

March 2012 Self-assessment

Key to Scores:
 1 - 3: High risk to the organisation, lacking significant structure
 4 - 7: Fundamental principle in place but with identifiable weakness
 8 - 10: Compliant, any actions identified are pertaining to best practice



> Updates since last year are highlighted in yellow and in red font

Six principles of Corporate Governance									
Requirement Identifier	Requirement	Corporate Governance Group Lead Officer	Evidence of Compliance	Action required in 2011/12	March 2012 Update	Score assigned March 2011	Score assigned March 2012	Explanation for Change (where applicable)	Actions for 2012/13
52	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 job.	Head of Customer Service and Business Improvement	> Risk Management Guide > Financial standards and regulations > Risk Management Group > Members' Risk Management Champion > Risk Management implications on all Executive report templates > Members' Risk Guide	Action: Undertake training with officers on the identification of operational risk Milestone: May 2011 Responsible Officer: Head of Customer Services and Business Improvement	Officer training on risk identification was carried out on 25th May 2011 Member Risk Management training was carried out on 1st Sept 2011 and a Members' Risk Guide was distributed to all Members Internal Audit assigned Risk Management 'Substantial Assurance'.	7	8	Additional training has been carried out on risk management for both officers and Members this year The Council's Risk Appetite was reviewed by Corporate Risk Group resulting in new Impact Guidance and Risk Level Management Guidance being developed and communicated to Heads of Service.	No specific actions but current standards to be maintained
53	Ensure the authority's arrangements for financial and internal control and for managing risk are addressed in annual governance reports.	Chief Financial Officer	> AGS > Internal Audit Risk procedure > Budget reports	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
54	Ensure the authority puts in place effective internal financial controls covering codified guidance, budgetary systems, supervision, management review and monitoring, physical safeguards, segregation of duties, accounting procedures, information systems and authorisation and approval processes.	Chief Financial Officer	> Financial Regulations > Integra guidance and training	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
55	Ensure that effective arrangements for whistle-blowing are in place to which staff and all those contracting with the authority have access.	Monitoring Officer	> Whistle-blowing policy > Staff reminders issued periodically with Payslips	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk (continued)									
Supporting Principle: Using their legal powers to the full benefit of the citizens and communities in their area									
56	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.	Monitoring Officer	> Constitution > Monitoring officer provisions > Statutory provision	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
57	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.	Monitoring Officer	> Strong in regularity areas	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
58	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.	Monitoring Officer	> Monitoring officer provisions > Job description/specification > Statutory provision	No specific actions but current standards to be maintained and enhanced where feasible	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained

Corporate Governance Arrangements

March 2012 Self-assessment

Key to Scores:
 1 - 3: High risk to the organisation, lacking significant structure
 4 - 7: Fundamental principle in place but with identifiable weakness
 8 - 10: Compliant, any actions identified are pertaining to best practice

> Updates since last year are highlighted in yellow and in red font

Six principles of Corporate Governance									
Requirement Identifier	Requirement	Corporate Governance Group Lead Officer	Evidence of Compliance	Action required in 2011/12	March 2012 Update	Score assigned March 2011	Score assigned March 2012	Explanation for Change (where applicable)	Actions for 2012/13
Principle 5: Developing the capacity and capability of Members and Officers to be effective									
Supporting Principle: making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles									
59	Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis.	Chief Financial Officer	<ul style="list-style-type: none"> > Training and Development Plan > Induction Programme and changes made > Update courses / information > Members training and development Programme rests with Head of Human Resources and Organisational development > Signed up to the Members development Charter > East of England Member development Charter > HoS work with their managers to develop Induction programmes for staff 	<p>Actions: Continue to enhance the induction process with a particular focus on programmes tailored to individual needs</p> <p>Milestone: June 2011</p> <p>Responsible Officer: Head of Human Resources and Organisational Development</p>	During 2011/12, the Induction process has been enhanced. An induction programme for the recently integrated Housing service is being developed. Nine modules have been identified that are in various stages of development.	7	8	Enhancements to the Induction process have already been completed and further actions are being considered to ensure continuous improvement.	
60	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.	Strategic Director Resources	<ul style="list-style-type: none"> > Job description/person specifications > Membership of top management team 	No specific actions but current standards to be maintained and enhanced where feasible	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
Principle 5: Developing the capacity and capability of Members and Officers to be effective (continued)									
Supporting Principle: making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles (continued)									
61	Ensure the CFO has the skills, knowledge, experience and resources to perform effectively in both the financial and non financial areas of their role.	Chief Executive	> Job description / person specification	No specific actions but current standards to be maintained and enhanced where feasible	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
62	Review the scope of the CFO's other management responsibilities to ensure financial matters are not compromised.	Chief Executive	<ul style="list-style-type: none"> > PDMs with the CE > Strategic Director for other services in the authority 	<p>Action: Review the role of CFO to ensure financial matters are not subject to compromise</p> <p>Milestone: April 2011</p> <p>Responsible Officer: Chief Executive</p>	The Chief Finance Officer's responsibilities have been reviewed and a proposal for an Assistant Director Finance post has been included in the Housing Integration Restructure proposals	7	9	The Chief Finance Officer's responsibilities have been reviewed and a proposal for an Assistant Director Finance post has been included in the Housing Integration Restructure proposals	No specific actions but current standards to be maintained
63	Provide the finance function with the resources, expertise and systems necessary to perform its role effectively.	Chief Financial Officer	> New structure in place	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained

Corporate Governance Arrangements

March 2012 Self-assessment

Key to Scores:
 1 - 3: High risk to the organisation, lacking significant structure
 4 - 7: Fundamental principle in place but with identifiable weakness
 8 - 10: Compliant, any actions identified are pertaining to best practice

> Updates since last year are highlighted in yellow and in red font

Six principles of Corporate Governance									
Requirement Identifier	Requirement	Corporate Governance Group Lead Officer	Evidence of Compliance	Action required in 2011/12	March 2012 Update	Score assigned March 2011	Score assigned March 2012	Explanation for Change (where applicable)	Actions for 2012/13
Principle 5: Developing the capacity and capability of Members and Officers to be effective									
Supporting Principle: Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group									
64	Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively.	Strategic Director Resources	<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 	Action: Implement a competency based framework for Job descriptions, Person Specifications and associated appraisals Milestone: March 2012 Responsible Officer: Head of Human Resources and Development	Officer appraisal and proposed competency framework will be reviewed and launched following implementation of Single Status (complete harmonisation of terms and conditions) which is expected in mid-2012/13 However, Single Status will address some common competencies through associated grading	7	7	Not Applicable	(Carried forward from 2011/12) Action: Implement a competency based framework for Job descriptions, Person Specifications and associated appraisals Milestone: To be implemented following single status implementation Responsible Officer: Head of Human Resources and Development
65	Embed financial competencies in person specifications and appraisals	Chief Financial Officer	<ul style="list-style-type: none"> > Job description/person specifications 	Action: Implement a competency based framework for Job descriptions, Person Specifications and associated appraisals Milestone: March 2012 Responsible Officer: Head of Human Resources and Development	Officer appraisal and proposed competency framework will be reviewed and launched following implementation of Single Status (complete harmonisation of terms and conditions) which is expected in mid-2012/13 However, Single status Job Evaluation will result in updates to job descriptions where appropriate	7	7	Not Applicable	(Carried forward from 2011/12) Action: Implement a competency based framework for Job descriptions, Person Specifications and associated appraisals Milestone: To be implemented following single status implementation Responsible Officer: Head of Human Resources and Development
Principle 5: Developing the capacity and capability of Members and Officers to be effective (continued)									
Supporting Principle: Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group (continued)									
66	Ensure that councillor's 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 ongoing basis to help them discharge their responsibilities.	Chief Financial Officer	Training carried out on: <ul style="list-style-type: none"> > Statement of Accounts > Treasury Management 	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained

Corporate Governance Arrangements

March 2012 Self-assessment

Key to Scores:

1 - 3: High risk to the organisation, lacking significant structure
 4 - 7: Fundamental principle in place but with identifiable weakness
 8 - 10: Compliant, any actions identified are pertaining to best practice

> Updates since last year are highlighted in yellow and in red font

Six principles of Corporate Governance									
Requirement Identifier	Requirement	Corporate Governance Group Lead Officer	Evidence of Compliance	Action required in 2011/12	March 2012 Update	Score assigned March 2011	Score assigned March 2012	Explanation for Change (where applicable)	Actions for 2012/13
67	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.	Head of Human Resources and Organisational Development	> EHRC - Equalities Framework > Risk Management - training and development > Equalities and Diversity training, including level 5 Tower Hamlets experience > Training and development plan reflect requirements of a modern councillor including: a) the ability to scrutinise and challenge b) the ability to recognise when outside advice is required c) advice on how to act as an ambassador for the community d) leadership and influencing skills	Action: Implement a competency based framework for Job descriptions, Person Specifications and associated appraisals Milestone: March 2012 Responsible Officer: Head of Human Resources and Development	Officer appraisal and proposed competency framework will be reviewed and launched following implementation of Single Status (complete harmonisation of terms and conditions) which is expected in mid-2012/13	8	8	Not Applicable	(Carried forward from 2011/12) Action: Implement a competency based framework for Job descriptions, Person Specifications and associated appraisals Milestone: To be implemented following single status implementation Responsible Officer: Head of Human Resources and Development
68	Ensure that 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.	Monitoring Officer	The Leader of the Council conducts performance and development interviews with Executive Members and key Chairs	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
Supporting Principle: Encouraging new talent for membership of the authority so that best use can be made of resources in balancing continuity and renewal									
69	Ensure that effective arrangements are 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.	Head of Housing, Partnerships & Communications	> Strategic partnership framework > Stakeholders' forums terms of reference > Community Conference (inc. participatory budgeting) > Café Choice	Actions: Review and implement the consultation and engagement framework Milestones: Completion of review and commence implementation - November 2011 Responsible Officer: Head of Housing, Communications and Partnerships	The Council's approach to consultation and engagement with the community, voluntary and private sector partners has been reviewed this year. A new consultation and engagement framework is currently being implemented and a consultation audit is being carried out	8	8	Not Applicable	Action: Draft report on revised consultation and engagement Framework to Executive Milestone: July 2012 Responsible Officer: Head of Housing, Partnerships and Communications
70	Ensure that career structures are in place for members and officers to encourage participation and development.	Strategic Director Resources	> Succession planning	Action: Refresh and update the Council's People Strategy and Succession Planning Policy Milestone: March 2012 Responsible Officer: Head of Human Resources and Organisational Development	The Council's People Strategy and Succession Planning Policy will be refreshed and updated following implementation of Single Status (complete harmonisation of terms and conditions) which is expected in mid 2012/13	7	7	Not Applicable	(Carried forward from 2011/12) Action: Refresh and update the Council's People Strategy and Succession Planning Policy Milestone: To be implemented following single status implementation Responsible Officer: Head of Human Resources and Organisational Development

Corporate Governance Arrangements

March 2012 Self-assessment

Key to Scores:

1 - 3: High risk to the organisation, lacking significant structure
 4 - 7: Fundamental principle in place but with identifiable weakness
 8 - 10: Compliant, any actions identified are pertaining to best practice

> Updates since last year are highlighted in yellow and in red font

Six principles of Corporate Governance									
Requirement Identifier	Requirement	Corporate Governance Group Lead Officer	Evidence of Compliance	Action required in 2011/12	March 2012 Update	Score assigned March 2011	Score assigned March 2012	Explanation for Change (where applicable)	Actions for 2012/13
Principle 6: Engaging with local people and other stakeholders to ensure robust public accountability									
Supporting Principle: Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders including partnerships, and develops constructive accountability relationships									
71	Make clear to themselves, all staff and the community, to whom they are accountable and for what.	Monitoring Officer	The following documents set out how and why the Council delivers particular services: > Community Strategy > Corporate Plan > Annual Report > Neighbourhood Forums > Internet A to Z of services	No specific actions but current standards to be maintained and enhanced	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
72	Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required.	Head of Housing, Partnerships & Communications	> The SoStevenage (LSP) Guide sets out arrangements for working with partners Residents are consulted through various means including: > Town wide surveys > Community Conference	No specific actions but current standards to be maintained and enhanced	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
73	Produce an annual report on the activity of the scrutiny function.	Monitoring Officer	> Annual Report on Scrutiny	No specific actions but current standards to be maintained and enhanced	Not Applicable	9	10	An annual report detailing the activity of the scrutiny functions has been consistently produced over recent years	No specific actions but current standards to be maintained
Supporting Principle: Taking 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 or in partnership									
74	Ensure clear channels of communication are in place with all sections of the community and other stakeholders, including monitoring arrangements and put in place monitoring arrangements to ensure that they operate effectively > Hold meetings in public unless there are good reasons for confidentiality.	Head Housing, Partnerships & Communications	Residents are consulted through various means including: > Town wide surveys > Community Conference > Café Choice > Council debates The SoStevenage (LSP) Guide sets out arrangements for working with partners	Actions: Review and implement the consultation and engagement framework Milestones: Completion of review and commence implementation - November 2011 Responsible Officer: Head of Housing, Communications and Partnerships	The Council's approach to consultation and engagement with the community, voluntary and private sector partners has been reviewed this year. A new consultation and engagement framework is currently being implemented and a consultation audit is being carried out	8	8	Not Applicable	Action: Draft report on revised consultation and engagement Framework to Executive Milestone: July 2012 Responsible Officer: Head of Housing, Partnerships and Communications
75	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 different priorities and establish explicit processes for dealing with these competing demands.	Head Housing, Partnerships & Communications	> Equality Impact assessments are completed for Engagement Strategy projects and service delivery > 'Achieving' status of the Equalities Framework for Local Government	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained

Corporate Governance Arrangements

March 2012 Self-assessment

Key to Scores:
 1 - 3: High risk to the organisation, lacking significant structure
 4 - 7: Fundamental principle in place but with identifiable weakness
 8 - 10: Compliant, any actions identified are pertaining to best practice



> Updates since last year are highlighted in yellow and in red font

Six principles of Corporate Governance									
Requirement Identifier	Requirement	Corporate Governance Group Lead Officer	Evidence of Compliance	Action required in 2011/12	March 2012 Update	Score assigned March 2011	Score assigned March 2012	Explanation for Change (where applicable)	Actions for 2012/13
Principle 6: Engaging with local people and other stakeholders to ensure robust public accountability (continued)									
Supporting Principle: Taking 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 or in partnership (continued)									
76	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.	Head Housing, Partnerships & Communications	> Partnership Framework > Communication Strategy > Communication Strategy linked to CDRP and LSPG > "You said - we did" > Community Conference > Neighbourhood Conference > Townwide Survey	Actions: Review and implement the consultation and engagement framework Milestones: Completion of review and commence implementation - November 2011 Responsible Officer: Head of Housing, Communications and Partnerships	The Council's approach to consultation and engagement with the community, voluntary and private sector partners has been reviewed this year. A new consultation and engagement framework is currently being implemented and a consultation audit is being carried out	7	7	Not Applicable	Action: Draft report on revised consultation and engagement Framework to Executive Milestone: July 2012 Responsible Officer: Head of Housing, Partnerships and Communications
77	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.	Head of Customer Service and Business Improvement	> Annual report > Annual financial statements > Corporate Plan	No specific actions but current standards to be maintained and enhanced	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
79	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.	Head of Housing, Partnerships & Communications	> Constitution > "Working together" corporate value > Neighbourhood teams > Open Council meetings	Action: Remaining Customer Focus Strategy Projects to be scoped by June 2010 Milestone: June 2010 Responsible Officer: Head of Customer Service and Business Improvement	The Customer Focus Strategy has been rescoped and prioritised during 2011/12. As part of the initial rescoping exercise, an Equalities and Diversity Programme was established that includes consideration of service access and is now being implemented. Full implementation of the revised Customer Focus Programme will not be completed until June 2013. As part of the revised Programme, Customer Access reviews are planned to improve customer access options and reduce failure demand.	8	8	Not Applicable	(Action carried forward from 2011/12) Action: Complete relevant strands of the Customer Focus Strategy (in particular Customer Access Review Project) Milestone: June 2013 Responsible Officer: Head of Customer Services and Business Improvement
Supporting Principle: Making best use of resources by taking an active and planned approach to meet responsibility to staff									
79	Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making.	Head of Housing, Partnerships & Communications	> Constitution > SMB/staff-side meetings > Joint consultative Committee meetings (employer and staff) > Staff survey > Managing Organisational Change Policy	No specific actions but current standards to be maintained and enhanced	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained

NB: A requirement relating to the environmental impact of policies, plans and decisions was deleted as part of the 10/11 CIPFA review of the requirements advised in March 2010