

CORPORATE GOVERNANCE ARRANGEMENTS

March 2014 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, and any actions identified are pertaining to best practice

Group 2 - Six principles of Corporate Governance								
Requirement Identifier	Requirement	Evidence of Compliance	Action required in 2013/14	March 2014 Update	Score assigned March 2013	Score assigned March 2014	Explanation for Change (where applicable)	Actions for 2014/15
Core 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								
P1 Req1	Develop and promote the authority's purpose and vision.	<ul style="list-style-type: none"> > Long-term Partnership Vision for Stevenage set out in Community Strategy > Stevenage Borough Council Vision for Stevenage set out in Corporate Plan > Vision reflected by Corporate Improvement Programme activity > Aligned workforce planning informed by results of staff survey 	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
P1 Req2	Review on a regular basis the authority's vision for the local area and its implications for the authority's governance arrangements.	Governance code <ul style="list-style-type: none"> > Visioning Day held 2012/13 to inform Corporate Plan > Ambitions and priorities to deliver vision > Ambitions and priorities reflected by Corporate Improvement Programme activity > Community asset provision 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 five 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
P1 Req3	Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners.	<ul style="list-style-type: none"> > Partnership Toolkit provides governance guidance > SoStevenage Guide outlines governance arrangements > Stevenage Leisure Limited contractual agreement > Community and Voluntary Sector Strategy > Shared Internal Audit Service agreement > Revenues and Benefits Shared Service agreement > Shared ICT, Business Improvement, Print and Graphic Service > North Herts Centre Voluntary Services 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
P1 Req4	Publish annual accounts 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 > 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
Core 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 (cont'd...)								
Supporting principle: Ensuring that users receive a high quality of service whether directly, or in partnership or by commissioning								
P1 Req5	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"> > Balanced Scorecard to monitor performance against priority service target (including Annual Review) > Equality and Diversity Impact Assessments > Customer Focus Strategy > Service standards > Gov-metric monitors customer service satisfaction > Consultation data informs service delivery > Consultation to measure customer satisfaction 	An action relating to identifying and dealing with failure in service delivery (completion of the relevant strands of the Customer Focus Strategy, in particular Customer Access Review Project) was carried forward from previous years and deferred for 2013/14 whilst a review of the delivery elements of the Customer Focus Action Plan was carried out.	Two separate corporate complaints systems (Housing System and another for other council services) are currently being used for the logging of customer complaints. In June 2014 the Customer Focus Team will be implementing an interim process for the logging of SBC and Housing customer complaints and feedback using the existing Housing customer feedback system. Further work will be undertaken in 2014/15 to review and implement an aligned and improved customer feedback system. (see 2014/15 actions)	8	7	The delay in the implementation of the improved and aligned Stevenage Borough Council and Stevenage Homes customer complaints and feedback processes	AGS Action: Review and implementation of new and aligned customer complaints and feedback mechanism - actions to achieve this identified below: Interim process for the logging of SBC and Housing customer complaints and feedback using existing Housing complaints system Milestone - June 2014 Review of current process, existing policies and procedures and ICT solution Milestone - August 2014 Implement improved complaints/feedback systems. Project to be scoped. - timelines dependent on implementation of Online Gateway, funding and priorities Milestone - March 2015 Responsible Officer: Head of Business Strategy, Community and Customer Services

Requirement Identifier	Requirement	Evidence of Compliance	Action required in 2013/14	March 2014 Update	Score assigned March 2013	Score assigned March 2014	Explanation for Change (where applicable)	Actions for 2014/15
Core 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 (cont.d)								
Supporting Principle: Ensuring that users receive a high quality of service whether directly, or in partnership or by commissioning (cont.d)								
P1 Req6	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 in the constitution > Performance review balanced scorecard meetings to monitor performance and improvement activity > Business continuity plans and arrangements 	An action relating to identifying and dealing with failure in service delivery (completion of the relevant strands of the Customer Focus Strategy, in particular Customer Access Review Project) was carried forward from previous years and deferred for 2013/14 whilst a review of the delivery elements of the Customer Focus Action Plan was carried out.	<p>Two separate corporate complaints systems (Housing System and another for other council services) are currently being used for the logging of customer complaints.</p> <p>In June 2014 the Customer Focus Team will be implementing an interim process for the logging of SBC and Housing customer complaints and feedback using the existing Housing customer feedback system.</p> <p>Further work will be undertaken in 2014/15 to review and implement an aligned and improved customer/complaints feedback systems. (see 2014/15 actions)</p>	7	6	<p>↓</p> <p>The delay in the implementation of the improved and aligned Stevenage Borough Council and Stevenage Homes customer complaints and feedback processes</p>	<p>AGS Action: : Review and implementation of new and aligned customer complaints and feedback mechanism - actions to achieve this identified below:</p> <p>Interim process for the logging of SBC and Housing customer complaints and feedback using existing Housing complaints system Milestone - June 2014</p> <p>Review of current process, existing policies and procedures and ICT solution Milestone - August 2014</p> <p>Implement improved complaints/feedback systems. Project to be scoped. - timelines dependent on implementation of Online Gateway, funding and priorities Milestone - March 2015</p> <p>Responsible Officer: Head of Business Strategy, Community and Customer Services</p>
Core 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 (cont.d)								
Supporting Principle: Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money								
P1 Req7	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"> > LSPG reviews savings options with a view to value for money > The Asset Management Plan ensures efficient use of the authority's assets > Priority Based Budget Process introduced 2013/14 	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
P1 Req8	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	<ul style="list-style-type: none"> > Quarterly Strategic Management Board reports to update on the Medium Term Financial Strategy > Monthly Head of Service financial reports > Consultant Accountant structure set up > Mandatory financial implications in committee reports > Finance Key Performance Indicators > Strategic Risk Register 	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
P1 Req9	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	<ul style="list-style-type: none"> > Quarterly financial report considered at Strategic Management Board > Quarterly financial report considered at Executive for: <ul style="list-style-type: none"> - Capital Strategy - General Fund/Housing Revenue Account > Strategic Risk Register monitored quarterly by Corporate Risk Group, Strategic Management Board and Audit Committee > Financial measures in balanced scorecard 	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
P1 Req10	Ensure compliance with CIPFA's Code on a Prudential Framework for Local Authority Capital Finance and CIPFA's Treasury Management Code.	<ul style="list-style-type: none"> > Quarterly Finance reports to Executive > Treasury Management Strategy to Executive > Audit Committee reports on financial status 	No specific actions but current standards to be maintained	Not Applicable	9	10	<p>↑</p> <p>SBC arrangements fully compliant in relation to this requirement</p>	No specific actions but current standards to be maintained
Core 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								
P2 Req11	<p>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>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 sets out roles and responsibilities > Record of decisions and supporting materials maintained > Regular meetings between Chief Executive, Deputy Chief Executive and Monitoring 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



Requirement Identifier	Requirement	Evidence of Compliance	Action required in 2013/14	March 2014 Update	Score assigned March 2013	Score assigned March 2014	Explanation for Change (where applicable)	Actions for 2014/15
Core Principle 2 : Members and Officers working together to achieve a common purpose with clearly defined functions and roles (cont.d)								
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 (cont.d)								
P2 Req12	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 is the Strategic Director for Resources, member of Strategic Management Board and Deputy Chief Executive	No specific actions but current standards to be maintained	Not Applicable	10	10	Not Applicable	No specific actions but current standards to be maintained
Core Principle 2 : Members and Officers working together to achieve a common purpose with clearly defined functions and roles (cont.d)								
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								
P2 Req13	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	> Scheme of Delegation in the Council's Constitution > Requests for delegated powers requires approval 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
P2 Req14	Make a chief executive or equivalent responsible and accountable to the authority for all aspects of operational management.	> Chief Executive's conditions of employment > Chief Executive's job descriptions/specification > Section 3 of the Council's Constitution contains Officer Delegation arrangements > Statutory provisions > Performance management system to monitor operational performance	No specific actions but current standards to be maintained	Not Applicable	10	10	Not Applicable	No specific actions but current standards to be maintained
P2 Req15	Ensure that the authority's governance arrangements allow the CFO direct access to the CEO and to other leadership team members.	> Chief Financial Officer the Strategic Director for Resources > Chief Financial Officer is the Deputy Chief Executive and a Member of Strategic Management Board > Chief Executive and Chief Financial Officer regular one to one 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
P2 Req16	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.	> Chief Executive and Leader weekly one to one meetings > Joint Executive/Strategic Management Board meetings held > Leader annually outlines priorities for the coming year > Effective working relationship demonstrated through recent budget savings exercises and ongoing corporate restructure > Chief Executive presents the Balanced Scorecard to Executive 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 13/14 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
P2 Req17	Make the Chief Financial Officer (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.	> Section 151 responsibilities > Statutory provision > Budget documentation > Chief Finance Officer job description & person specification outline Chief Finance Officer responsibilities > Constitution includes Contract Standing Orders and Financial Regulations > All SMB and Committee reports require mandatory financial clearance > Requirement to establish robustness of estimates > Statement on the Role of the Chief Financial Officer	No specific actions but current standards to be maintained	Not Applicable	9	10	↑ SBC arrangements fully compliant in relation to this requirement	No specific actions but current standards to be maintained

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Core Principle 2 : Members and Officers working together to achieve a common purpose with clearly defined functions and roles (cont.d)								
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 (cont.d)								
P2 Req18	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.	<ul style="list-style-type: none"> > Chief Financial Officer Job Description > CFO's Money Matters Roadshows for all Council staff > Money Matters Newsletter issued to staff 	No specific actions but current standards to be maintained	Not Applicable	9	10	The "Money Matters" staff briefings (roadshows and newsletters) have created greater awareness of the Council's financial position and the role and responsibilities of the Council's Chief Financial Officer	No specific actions but current standards to be maintained
P2 Req19	Ensure that the CFO: <ul style="list-style-type: none"> > leads the promotion and delivery by the whole organisation of good financial management so that public money is safeguarded at all times and used appropriately, economically, efficiently and effectively > has a line of professional accountability for finance staff throughout the organisation. 	<ul style="list-style-type: none"> > Chief Finance Officer is the Strategic Director for Resources > Assistant Director (Finance) reports directly to the Chief Finance Officer > Job Description of the Assistant Director (Finance) > Regular presentations on financial status/savings to staff and Members > Strategic Management Board/ Members' briefing notes provided > Strategic Management Team briefings provided 	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
P2 Req20	Ensure that budget calculations are robust and reserves adequate, in line with CIPFA's guidance.	<ul style="list-style-type: none"> > Medium Term Financial Strategy presented to Leader's Services Priority Group, Resources Scrutiny and Development Committee and Challenge Board > Risk assessment of reserves carried out > Involvement of the Assistant Director (Finance) > Quarterly monitoring to Strategic Management Board, Audit Committee and Executive > Key Performance Indicators presented to Strategic Management Board > Assistant Director (Finance) key player in budget calculations and reserves report 	No specific actions but current standards to be maintained	Not Applicable	9	10	SBC arrangements fully compliant in relation to this requirement as indicated in the 2012/13 Audit Letter.	No specific actions but current standards to be maintained
P2 Req21	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.	<ul style="list-style-type: none"> > The following review processes are in place: <ul style="list-style-type: none"> - Quarterly reports to SMB - Quarterly reports to Executive Committee - Monthly reports from Heads of Service on financial status > External auditor input and opinion on financial 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
P2 Req22	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 > Monitoring Officer job description and specification 	No specific actions but current standards to be maintained	Not Applicable	9	10	SBC arrangements fully compliant in relation to this requirement	No specific actions but current standards to be maintained
Core Principle 2 : Members and Officers working together to achieve a common purpose with clearly defined functions and roles (cont.d)								
Supporting Principle: Ensuring relationships between the authority, its partners and the public are clear so that each know what to expect of the other								
P2 Req23	Develop protocols to ensure effective communication between members and officers in their respective roles.	<ul style="list-style-type: none"> > Member/officer protocol in place > Modern Member Programme activities explain Member/officer roles in various governance processes > Joint officer/Member working groups > Informal briefings > Briefing process agreed as part of budget setting > Induction programme for Members and 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

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Core Principle 2 : Members and Officers working together to achieve a common purpose with clearly defined functions and roles (cont.d)								
Supporting Principle: Ensuring relationships between the authority, its partners and the public are clear so that each know what to expect of the other (cont.d)								
P2 Req 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).	<ul style="list-style-type: none"> > 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	10	The preparation of new terms and conditions for council officers as part of Single Status implementation has resulted in the harmonisation of remuneration arrangements for all council staff.	No specific actions but current standards to be maintained
P2 Req25	Ensure that effective mechanisms exist to monitor service delivery.	<ul style="list-style-type: none"> > Balanced Scorecard sets out key measures and results are monitored quarterly > Programme Governance Arrangements monitor delivery of priorities (Corporate Improvement Programme) > Gov-metric monitors elements of satisfaction > Monitoring of Insurance claims to highlight any areas of service delivery generating more than expected claims > Risk management process > Finance Key Performance Indicators > Budget monitoring process > Service Planning arrangements in SDUs 	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
P2 Req26	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>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 2013/14 included:</p> <ul style="list-style-type: none"> > Residents Survey > Budget Survey and staff focus groups > Staff Survey > Three Cafe Choices > Community Centre Survey > Sheltered Housing satisfaction survey > Careline service satisfaction survey <p>Budgets set out the available resources to deliver plans and these are aligned to the service planning process Partners are consulted through engagement with SoStevenage.</p>	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
P2 Req27	Establish a medium term business and financial planning process to deliver strategic objectives including: <ul style="list-style-type: none"> > 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. 	<ul style="list-style-type: none"> > Quarterly Monitoring reports to Strategic Management Board on financial status > Quarterly reports to Executive on Medium Term Financial Strategy, General Fund, Housing Revenue Account and Capital > Statement of Accounts Committee to approve Statement of Accounts > 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
P2 Req28	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.	<ul style="list-style-type: none"> > Quarterly Monitoring reports to Strategic Management Board > Quarterly reports to Executive on Medium Term Financial Strategy, General Fund, Housing Revenue Account and 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
P2 Req29	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"> > Portfolio Holders involvement in themed partnerships > Roles and responsibilities for Portfolio Holders involved in Partnerships are in place > Executive Members are provided with briefing on partnership issues > Partnership Toolkit [provides guidance for setting partnership governance arrangements] > SoStevenage Guide outlines Governance 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

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Core Principle 2 : Members and Officers working together to achieve a common purpose with clearly defined functions and roles (cont.d)								
Supporting Principle: Ensuring relationships between the authority, its partners and the public are clear so that each know what to expect of the other (cont.d)								
P2 Req30	When working in partnership: > Ensure that there is clarity about the legal status of the partnership > Ensure that representatives of organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions.+	> Partnership Toolkit, includes Governance requirements > SoStevenage Guide > Stevenage Leisure Limited contractual agreement > Shared Revenues and Benefits Service agreement > Shared Internal Audit Service agreement > Shared ICT, Business Improvement, Print and Graphic Service > Terms for reference for partnerships	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
Core 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								
P3 Req31	Ensure that the Authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect.	> Chief Executive's information sessions are held to cascade timely updates on the authority's intentions and values to all staff. > Information 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
P3 Req32	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.	> Members' and Officers' Codes of conduct > Performance appraisal process > Complaints procedures > Anti-fraud and corruption policy > Member/officer protocols	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
P3 Req33	Put in place arrangements to ensure that members and employees 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	> Contract Standing Orders > Members' and Officers' Codes of Conduct > Financial Regulations	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
Core Principle 3: Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour (cont.d)								
Supporting Principle: Ensuring that organisational values are put into practice and are effective								
P3 Req34	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.	> Organisational values in place > Officers' Code of Conduct > Performance appraisal process > Corporate briefings for staff on key issues > Co-operative Principles embedded in the Corporate Plan 2013/14 (new Values from 1 April 2014) > Stevenage Homes Values	Action: Continue to communicate change of values to co-operative principles to enhance understanding Milestone: June 2013 Responsible Officer: Head of Business Strategy, Community and Customer Services	Co-operative Principles have been embedded in the Corporate Plan and feature in the 2013 Annual Report. The action for this requirement is therefore complete. New SBC Values have been developed and agreed at Executive on 11th February 2014, and will come into effect from 1st April 2014. Communication with staff took place during February/March 2014 through the Chief Executive Roadshows.	7	7	Not Applicable	Action 1: On an on-going basis, incorporate the new values into the Corporate Learning and Development Programme, and Leadership and Management Development Programme. Milestone: March 2015 Action 2: Embed the new values into new Human Resources Policies, as appropriate. Milestone: March 2015 Responsible Officer: Head of Human Resources and Organisational Development
P3 Req35	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.	> Officers' Code of Conduct > Equality and Diversity strategy > Fair Trade Status	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained

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Core Principle 3: Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour (cont.d)								
Supporting Principle: Ensuring that organisational values are put into practice and are effective (cont.d)								
P3 Req36	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.	> Asset Management Strategy > Medium Term Financial Strategy > Capital 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
P3 Req37	Develop and maintain an effective Standards Committee.	> Terms of reference of Standards Committee	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
P3 Req38	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.	> Decision making practices > Equality and Diversity policy > Organisational Values and Co-operative Principles embedded in Corporate Plan	Action: Continue to communicate change of values to co-operative principles to enhance understanding Milestone: June 2013 Responsible Officer: Head of Business Strategy, Community and Customer Services	Co-operative Principles have been embedded in the Corporate Plan and feature in the 2013 Annual Report. The action for this requirement is therefore complete. New SBC Values have been developed and agreed at Executive on 11th February 2014, and will come into effect from 1st April 2014. Communication with staff took place during February/March 2014 through the Chief Executive Roadshows.	7	7	Not Applicable	Action 1: On an on-going basis, incorporate the new values into the Corporate Learning and Development Programme, and Leadership and Management Development Programme. Milestone: March 2015 Action 2: Embed the new values into new Human Resources Policies, as appropriate. Milestone: March 2015 Responsible Officer: Head of Human Resources and Organisational Development
P3 Req39	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.	> Partnership Toolkit > Steering Groups/Management Boards for Shared Services implemented > Key principles agreed with East Herts for IT shared 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
Core Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk								
Supporting Principle: Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny								
P4 Req40	Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall.	> Scrutiny provided through the Overview and Scrutiny Committee and the three Select Committees. > Overview and Scrutiny Committee is supported by robust evidence and data analysis > Joint working with HCC and other districts > Councillor Call for Action arrangements contained in the Council's Constitution	No specific actions but current standards to be maintained	Not Applicable	8	9	The new Overview and Scrutiny Committee and the three Select Committees have enhanced the Council's scrutiny arrangements.	No specific actions but current standards to be maintained
P4 Req41	Ensure an effective internal audit function is resourced and maintained.	> Shared Internal Audit Service in place. Monitoring of service delivery carried out by Audit Committee quarterly. Assistant Director (Finance) is the Council's Lead Officer for communication with the Shared Service	No specific actions but current standards to be maintained	Not Applicable	8	9	Corporate Governance Group consider that the shared internal audit arrangements have enhanced the internal audit process	No specific actions but current standards to be maintained
P4 Req42	Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based.	> Decision making protocols, record of decisions and supporting materials > Committee Agenda/Minutes published on SBC website > Compliance with relevant legislation is documented	No specific actions but current standards to be maintained	Not Applicable	9	10	Decision making is fully documented and evidenced	No specific actions but current standards to be maintained
P4 Req43	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.	> Members' and Officers' Code of Conduct > Member/Officer protocol	No specific actions but current standards to be maintained	Not Applicable	9	10	SBC arrangements fully compliant in relation to this requirement	No specific actions but current standards to be maintained

Requirement Identifier	Requirement	Evidence of Compliance	Action required in 2013/14	March 2014 Update	Score assigned March 2013	Score assigned March 2014	Explanation for Change (where applicable)	Actions for 2014/15
Core Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk								
Supporting Principle: Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny								
P4 Req44	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.	> Audit Committee Terms of reference > Membership of Audit Committee independent of Executive and Scrutiny > Training on key functions provided 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
P4 Req45	Ensure that the authority's governance arrangements allow the CFO direct access to the Audit Committee and external audit.	> Assistant Director (Finance) meetings with Grant Thornton (external audit) > Chief Financial Officer (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
P4 Req46	Put in place effective, transparent and accessible arrangements for dealing with complaints.	> Complaints procedure	An action relating to identifying and dealing with failure in service delivery (completion of the relevant strands of the Customer Complaints Review) was carried forward from previous years and deferred for 2013/14 whilst a review of the delivery elements of the Customer Focus Action Plan was carried out.	Two separate corporate complaints systems (Housing System and another for other council services) are currently being used for the logging of customer complaints. In June 2014, the Customer Focus Team will be implementing an interim process for the logging of SBC and Housing customer complaints and feedback using the existing Housing customer complaints system. Further work will be undertaken in 2014/15 to review and implement an aligned and improved customer complaints systems. (see 2014/15 actions)	6	7	 The organisation accepts that, whilst there are currently two separate corporate complaints systems running, both processes are independently effective.	AGS Action: Review and implementation of new and aligned customer complaints and feedback mechanism - actions to achieve this identified below: Interim process for the logging of SBC and Housing customer complaints and feedback using existing Housing complaints system Milestone - June 2014 Review of current process, existing policies and procedures and ICT solution Milestone - August 2014 Implementation of improved complaints system. Project to be scoped. - timelines dependent on implementation of Online Gateway, funding and priorities Milestone - March 2015 Responsible Officer: Head of Business Strategy, Community and Customer Services
Core Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk								
Supporting Principle: Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs								
P4 Req47	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.	> Members' induction scheme > Training for Committee Chairs > All Member briefings provided on key issues > Balanced Scorecard provides quarterly performance status. Improvement plans agreed as required. > Timely, accurate and up-to-date budget information provided quarterly > Regular Portfolio Holder briefings are carried out > Report templates with mandatory paragraphs for financial and legal implications > Report writing training for officers as required > Risk management implications on Executive Report template	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
P4 Req48	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.	> Monthly financial status Head of Service reports > Quarterly financial status reports to Strategic Management Board	No specific actions but current standards to be maintained	Not Applicable	8	8	Not Applicable	No specific actions but current standards to be maintained
P4 Req49	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.	> Mandatory Legal and Financial implications paragraph in all Executive reports > Record of decision making 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
P4 Req50	Ensure the authority's governance arrangements allow the CFO to bring influence to bear on all material decisions.	> Chief Financial officer is Deputy Chief Executive and member of Strategic Management Board with access to all Strategic Management Board reports > Chief Financial Officer is chair of Corporate Governance Group with responsibility delegated from CE	No specific actions but current standards to be maintained	Not Applicable	9	10	 SBC arrangements fully compliant in relation to this requirement	No specific actions but current standards to be maintained
P4 Req51	Ensure that advice is provided on the levels of reserves and balances in line with good practice guidance (on Local Authority Reserves and Balances).	> 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	10	10	Not Applicable	No specific actions but current standards to be maintained

Requirement Identifier	Requirement	Evidence of Compliance	Action required in 2013/14	March 2014 Update	Score assigned March 2013	Score assigned March 2014	Explanation for Change (where applicable)	Actions for 2014/15
Core Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk (cont.d)								
Supporting Principle: Ensuring that an effective risk management system is in place								
P4 Req52	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.	<ul style="list-style-type: none"> > Risk Management Policy and Guide outlines process > Risk Management Group monitors Risk arrangements > Members' Risk Management Champion > Risk Management implications on all Executive report templates > Members' Risk Guide > Member refresher training and training for new Members (October 2012) > Financial standards and regulations refers > Operational Risk Status Report considered quarterly at Corporate Risk Group and SMB > ORR Peer challenges quarterly at DMTs > Operational Risk Register awareness workshops for Services carried out as required 	No specific actions but current standards to be maintained	Not Applicable	8	9	Improved operational risk procedures have enhanced the Council's risk management arrangements and resulted in "substantial" assurance audit for Operational Risk Management (issued February 2014)	No specific actions but current standards to be maintained
P4 Req53	Ensure the authority's arrangements for financial and internal control and for managing risk are addressed in annual governance reports.	<ul style="list-style-type: none"> > Annual Governance Statement > Internal Audit of Risk arrangements > Budget reports > External audit of financial control arrangements 	No specific actions but current standards to be maintained	Not Applicable	9	10	SBC Annual Governance Statement provides a comprehensive report on the authority's arrangements for financial and internal control and for managing risk	No specific actions but current standards to be maintained
P4 Req54	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.	<ul style="list-style-type: none"> > 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
P4 Req55	Ensure that effective arrangements for whistle-blowing are in place to which staff and all those contracting with the authority have access.	<ul style="list-style-type: none"> > Whistle-blowing policy > Staff reminders issued periodically with Payslips 	No specific actions but current standards to be maintained	Not Applicable	9	10	The on-going promotion of the Council's whistle-blowing policy has ensured continued staff awareness	No specific actions but current standards to be maintained
Core Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk (cont.d)								
Supporting Principle: Using their legal powers to the full benefit of the citizens and communities in their area								
P4 Req56	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 > Mandatory legal implications in 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
P4 Req57	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.	<ul style="list-style-type: none"> > Borough Solicitor circulates advice > Relevant legal documents are quoted in reports > Mandatory legal implications in 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
P4 Req58	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"> > Code of Corporate Governance > Monitoring officer provisions > Job description/specification > Statutory provision > Mandatory legal implications in Committee Reports 	No specific actions but current standards to be maintained	Not Applicable	8	9	Rigorous arrangements continue to be in place to ensure that specific legislative requirements are integrated into SBC's procedures and decision making processes	No specific actions but current standards to be maintained

Requirement Identifier	Requirement	Evidence of Compliance	Action required in 2013/14	March 2014 Update	Score assigned March 2013	Score assigned March 2014	Explanation for Change (where applicable)	Actions for 2014/15
Core 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								
P5 Req59	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 for Officers designed to meet organisational needs, impact of new legislation and to ensure that core mandatory training is being carried out for officers > Training schedule for officers developed and published quarterly > Corporate Induction Programme carried out every two months > Members training and development programme > Members training carried out over a wide range of areas to include Committee and financial training and awareness raising regarding new legislation, e.g. Welfare Reform and Localism > Signed up to the Members development Charter > HoS work with their managers to develop Induction programmes for staff 	<p>Action: Development of induction modules (tailored to individual needs)</p> <p>Milestone: March 2014</p> <p>Responsible Officer: Head of Human Resources and Organisational Development</p>	The corporate induction programme has been reinstated. Further work is required to tailor the induction process to individual needs (see 2014/15 action)	5	6	The corporate induction programme has been reinstated.	<p>Action: Development and implementation of "routeway induction plans" to ensure that the induction process is tailored to individual needs</p> <p>Milestone: March 2015</p> <p>Responsible Officer: Head of Human Resources and Organisational Development</p>
P5 Req60	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/person specifications > Membership of senior management team > PDM process 	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
P5 Req61	Ensure the CFO has the skills, knowledge, experience and resources to perform effectively in both the financial and non financial areas of their role.	<ul style="list-style-type: none"> > Job description / person specification > Chief Financial Officer and Chief Executive One to Ones monthly > CFO attends meetings of the Chief Financial Officer Group 	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
P5 Req62	Review the scope of the CFO's other management responsibilities to ensure financial matters are not compromised.	<ul style="list-style-type: none"> > Performance Development Meetings with the Chief Executive - address any capacity issues 	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
P5 Req63	Provide the finance function with the resources, expertise and systems necessary to perform its role effectively.	<ul style="list-style-type: none"> > Finance structure comprises consultancy accountancy model 	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
P5 Req64	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 and Development Plan for Officers designed to meet organisational needs, impact of new legislation and ensure that core mandatory training is being carried out for officers > Training schedule for officers developed and published quarterly > Modern Member Programme > Members training carried out over a wide range of areas to include Committee and financial training and awareness raising regarding new legislation, e.g. Welfare Reform and Localism > Report writing training for managers > Financial management training provided > SMT specific training provided by consultancy during 2013/14 	<p>Action: Implement a competency based framework for job descriptions, person specifications and associated appraisals</p> <p>Note: Audit Committee (June 2013) agreed to defer this action as consideration and introduction is not appropriate until after implementation of Single Status (complete harmonisation of terms and conditions).</p> <p>Milestone: Following implementation of Single Status</p> <p>Responsible Officer: Head of Human Resources and Organisational Development</p>	<p>To support the development of staff, the following development programmes have been introduced:</p> <ul style="list-style-type: none"> > Gateway to Leadership > Leadership and Management Development Programme <p>A competency framework for job descriptions, person specifications and associated appraisals is now in the early stages of development, with the following actions completed:</p> <ul style="list-style-type: none"> - A new job specific competency template has been introduced and is now in use for all new/revised jobs. - Appraisals process reviewed in 2013/14 with implementation in April 2014 based on a competency framework <p>Full implementation of the competency framework requires appropriate alignment of member and officer competencies with new SBC Values (agreed at Executive 11 February 2014).</p>	7	7	Not Applicable	<p>Action: Continue to implement a competency based framework for job descriptions, person specifications and associated appraisals.</p> <p>Milestone: March 2015</p> <p>Responsible Officer: Head of Human Resources and Organisational Development</p>

Requirement Identifier	Requirement	Evidence of Compliance	Action required in 2013/14	March 2014 Update	Score assigned March 2013	Score assigned March 2014	Explanation for Change (where applicable)	Actions for 2014/15
Core Principle 5: Developing the capacity and capability of Members and Officers to be effective (cont.d)								
Supporting Principle: Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group								
P5 Req65	Embed financial competencies in person specifications and appraisals	> Job description/person specifications > PDM reviews	Action: Implement a competency based framework for job descriptions, person specifications and associated appraisals Note: Audit Committee (June 2013) agreed to defer this action as consideration and introduction is not appropriate until after implementation of Single Status (complete harmonisation of terms and conditions). Milestone: Following implementation of Single Status Responsible Officer: Head of Human Resources and Organisational Development	A competency framework for job descriptions, person specifications and associated appraisals is now in the early stages of development, with the following actions completed: - A new job specific competency template has been introduced and is now in use for all new/revised jobs. - Appraisals process reviewed in 2013/14 with implementation in April 2014 based on a competency framework. Full implementation of the competency framework requires appropriate alignment of member and officer competencies with new SBC Values (agreed at Executive 11 February 2014).	7	7	Not Applicable	<i>The focus for this requirement now needs to be implementation of the revised appraisal process.</i> Action revised to: Implementation and embedding of revised PDM process Milestone: March 2015 Responsible Officer: Head of Human Resources and Organisational Development
P5 Req66 New 2010/11	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.	Training carried out on: > Statement of Accounts > Treasury Management > Financial Training sessions for 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
P5 Req67	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.	> Equalities and Diversity training, including level 5 Tower Hamlets experience > Awarded "Achieving" status in respect of the Equalities Framework for Local Government > Risk Management - training and development for Members and Officers (informed by or provided by Zurich) > Training and development plans reflect requirements of a modern councillor including: Committee and financial training and the impact of new legislation, e.g. Welfare Reform and Localism > Peer Challenge	Action: Implement a competency based framework for job descriptions, person specifications and associated appraisals Note: Audit Committee (June 2013) agreed to defer this action as consideration and introduction is not appropriate until after implementation of Single Status (complete harmonisation of terms and conditions). Milestone: Following implementation of Single Status Responsible Officer: Head of Human Resources and Organisational Development	A competency framework for job descriptions, person specifications and associated appraisals is now in the early stages of development, with the following actions completed: - A new job specific competency template has been introduced and is now in use for all new/revised jobs. - Appraisals process reviewed in 2013/14 with implementation in April 2014 based on a competency framework. Full implementation of the competency framework requires appropriate alignment of member and officer competencies with new SBC Values (agreed at Executive 11 February 2014).	8	8	Not Applicable	Action: Development of a Leadership and Management Competency Framework and Core Competencies Framework Milestone: March 2015 Responsible Officer: Head of Human Resources and Organisational Development
P5 Req68	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.	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
Core Principle 5: Developing the capacity and capability of Members and Officers to be effective (cont.d)								
Supporting Principle: Encouraging new talent for membership of the authority so that best use can be made of resources in balancing continuity and renewal								
P5 Req69	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.	> Strategic partnership framework > Stakeholders' forums terms of reference > Local partnership arrangements in place > The consultation programme for 2013/14 included: > Residents Survey > Budget Survey and staff focus groups > Staff Survey > 3 Cafe Choices > Community Centre Survey > Sheltered Housing satisfaction survey > Careline Service Satisfaction Survey > The Council's Co-operative Principles, 2013/14, and SBC Values applicable from April 2014 reflect this ethos	Revised Action: Develop Consultation and Engagement Strategy Milestone: June 2013 Responsible Officer: Head of Business Strategy, Community and Customer Services	The Council's Consultation and Engagement Strategy outlining improved methods for engagement and consultation with residents has been developed and agreed.	8	8	Not Applicable	No specific actions but current standards to be maintained

Requirement Identifier	Requirement	Evidence of Compliance	Action required in 2013/14	March 2014 Update	Score assigned March 2013	Score assigned March 2014	Explanation for Change (where applicable)	Actions for 2014/15
Core Principle 5: Developing the capacity and capability of Members and Officers to be effective (cont.d)								
Supporting Principle: Encouraging new talent for membership of the authority so that best use can be made of resources in balancing continuity and renewal (Cont..d)								
P5 Req70	Ensure that career structures are in place for members and officers to encourage participation and development.	<ul style="list-style-type: none"> > Career grades in place for relevant posts > CE Roadshow briefings > Staff Suggestion Scheme > Training and development > New scrutiny arrangements implemented for 2013/14 provide back bench members a more proactive role. 	<p>Action: Refresh the Council's People Strategy, including consideration of future workforce requirements.</p> <p>Note: Audit Committee (June 2013) agreed to defer this action as consideration and introduction is not appropriate until after implementation of Single Status (complete harmonisation of terms and conditions).</p> <p>Milestone: Following implementation of Single Status</p> <p>Responsible Officer: Head of Human Resources and Organisational Development</p>	<p>The following training and development opportunities have been introduced this year:</p> <ul style="list-style-type: none"> - Gateway to Leadership - Leadership and Management Development Programme <p>The Introduction of New Overview and Scrutiny Committee and three Select Committees.</p> <p>A new People Strategy is under development for implementation in April 2014 to enhance the development of Council officers.</p>	7	8	<p>Training opportunities for officers have been enhanced with the introduction of the new Gateway to Leadership and Leadership and Management Development Programme.</p> <p>The introduction of the new Overview and Scrutiny Committee and three Select Committees has enhanced the Council's scrutiny arrangements, providing the opportunity for Members to carry out service reviews and for back bench members to have a more proactive role in service review and delivery</p>	No specific actions but current standards to be maintained
Core 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								
P6 Req71	Make clear to themselves, all staff and the community, to whom they are accountable and for what.	<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 > Internet A to Z of services <p>Staff advised of the above information via Management team meetings cascade (as per SBG Statements)</p>	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
P6 Req72	Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required.	<ul style="list-style-type: none"> > The SoStevenage (LSP) Guide sets out arrangements for working with partners > Residents are consulted through various means including: <ul style="list-style-type: none"> - Town wide surveys - Community Conference - Café Choice - Council debates 	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
P6 Req73	Produce an annual report on the activity of the scrutiny function.	> Annual Report on Scrutiny	No specific actions but current standards to be maintained	Not Applicable	10	10	Not Applicable	No specific actions but current standards to be maintained
Core Principle 6: Engaging with local people and other stakeholders to ensure robust public accountability (cont.d)								
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								
P6 Req74	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.	<ul style="list-style-type: none"> > Residents are consulted through various means including: <ul style="list-style-type: none"> - Town wide surveys - Community Conference - Café Choice - Council debates > The SoStevenage (LSP) Guide sets out arrangements for working with partners, including monitoring and scrutiny arrangements > Equality and Impact Analysis 	<p>Revised Action: Develop Consultation and Engagement Strategy</p> <p>Milestone: June 2013</p> <p>Responsible Officer: Head of Business Strategy, Community and Customer Services</p>	The Council's Consultation and Engagement Strategy outlining improved methods for engagement and consultation with residents has been developed and agreed.	8	9	Development and approval of the Consultation and Engagement Strategy which outlines improved methods for engagement and consultation with residents	No specific actions but current standards to be maintained
P6 Req75	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.	<ul style="list-style-type: none"> > Equality Impact assessments are completed for Engagement Strategy projects and service delivery > Awarded "Achieving" status in respect 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

Requirement Identifier	Requirement	Evidence of Compliance	Action required in 2013/14	March 2014 Update	Score assigned March 2013	Score assigned March 2014	Explanation for Change (where applicable)	Actions for 2014/15
Core Principle 6: Engaging with local people and other stakeholders to ensure robust public accountability (cont.d)								
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 (cont.d)								
P6 Req76	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"> > Residents are consulted through various means including: <ul style="list-style-type: none"> - Town wide surveys - Community Conference - Café Choice - Council debates > "You said - we did communications" > Communication strategy linked to Crime, Disorder, Partnership. > Partnership arrangements for sharing consultation opportunities with other Hertfordshire authorities in place 	<p>Revised Action: Develop Consultation and Engagement Strategy</p> <p>Milestone: June 2013</p> <p>Responsible Officer: Head of Business Strategy, Community and Customer Services</p>	The Council's Consultation and Engagement Strategy, outlining improved methods for engagement and consultation with residents has been developed and agreed	7	8	Development and approval of the Consultation and Engagement Strategy which outlines improved methods for engagement and consultation with residents	No specific actions but current standards to be maintained
P6 Req77	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 	No specific actions but current standards to be maintained	Not Applicable	9	9	Not Applicable	No specific actions but current standards to be maintained
P6 Req78	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 > Neighbourhood teams > Open Council meetings > Partnership Toolkit > Annual Report > Consultation > Data Transparency Code publications 	An action relating to identifying and dealing with failure in service delivery (completion of the relevant strands of the Customer Complaints Review) was carried forward from previous years and deferred for 2013/14 whilst a review of the delivery elements of the Customer Focus Action Plan was carried out.	<p>Two separate corporate complaints systems (Housing System and another for other council services) are currently being used for the logging of customer complaints.</p> <p>In June 2014 the Customer Focus Team will be implementing an interim process for the logging of SBC and Housing customer complaints and feedback using the existing Housing customer feedback system.</p> <p>Further work will be undertaken in 2014/15 to review and implement an aligned and improved customer feedback system. (see 2014/15 actions)</p>	8	8	Not Applicable	<p>AGS Action: Review and implementation of new and aligned customer complaints and feedback mechanism - actions to achieve this identified below:</p> <p>Interim process for the logging of SBC and Housing customer complaints and feedback using existing Housing complaints system</p> <p>Milestone - June 2014</p> <p>Review of current process, existing policies and procedures and ICT solution</p> <p>Milestone - August 2014</p> <p>Implement improved customer feedback system. Project to be scoped. - timelines dependent on implementation of Online Gateway, funding and priorities</p> <p>Milestone - March 2015</p> <p>Responsible Officer: Head of Business Strategy, Community and Customer Services</p>
Principle 6: Engaging with local people and other stakeholders to ensure robust public accountability (cont.d)								
Supporting Principle: Making best use of resources by taking an active and planned approach to meet responsibility to staff								
P6 Req79	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 > Strategic Management Board/staff-side meetings > Joint Consultative Committee meetings (employer and staff) > Staff survey (2013) > Managing Organisational Change Policy (in 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