

CORPORATE GOVERNANCE ARRANGEMENTS - Self Assessment against CIPFA/SOLACE Framework, 'Delivering Good Governance in Local Government'.

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

Six principles of Corporate Governance								
Requirement Identifier	Requirement	Evidence of Compliance	Action required in 2014/15	Progress	Score assigned March 2014	Score assigned March 2015	Explanation for Change (where applicable)	Actions for 2015/16
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								
These requirements also reflect elements of the CIPFA/IFAC International Framework Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits, particularly C1 (Defining Outcomes)								
P1 Req1	Develop and promote the authority's purpose and vision.	> 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 > 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 > SMB Priority days 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.	> 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 > CCTV Partnership	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.	> 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
Supporting principle: Ensuring that users receive a high quality of service whether directly, or in partnership or by commissioning								
These requirements also reflect elements of the CIPFA/IFAC International Framework Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes, particularly D2 (Planning Interventions) and Principle F: Managing risks and performance through robust internal control and strong public financial management, particularly F2 (Managing Performance)								
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.	> Balanced Scorecard to monitor performance against priority service targets (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	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	The "Your Say" system is now in place for logging of SBC and Housing Customer complaints. Key officers have been trained and Members have been informed of the new arrangements. The review of the current processes, policies and procedures and the implementation of the Online Gateway is now linked into the wider corporate project re. customer accounts. The customer accounts project is currently being scoped by the Strategic Director (Finance) and a newly established project team. A customer insight survey has been commissioned to help inform the council's future online service offer.	7	7	Not applicable	AGS 2015/16 Action: Implement the new Customer Accounts (balances and payments) system which will include an improved complaints and feedback system Milestone: September 2015 Responsible Officer: Head of Business Strategy, Community and Customer Services

Requirement Identifier	Requirement	Evidence of Compliance	Action required in 2014/15	Progress	Score assigned March 2014	Score assigned March 2015	Explanation for Change (where applicable)	Actions for 2015/16
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 	<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>	<p>The "Your Say" system is now in place for logging of SBC and Housing Customer complaints. Key officers have been trained and Members have been informed of the new arrangements.</p> <p>The review of the current processes, policies and procedures and the implementation of the Online Gateway is now linked into the wider corporate project re. customer accounts. The customer accounts project is currently being scoped by the Strategic Director (Finance) and a newly established project team.</p> <p>A customer insight survey has been commissioned to help inform the council's future online service offer.</p>	6	7	Implementation of the "Your Say" system for logging of SBC and Housing Customer complaints has resulted in an aligned customer feedback system.	<p>AGS 2015/16 Action:</p> <p>Implement the new Customer Accounts (balances and payments) system which will include an improved complaints and feedback system</p> <p>Milestone: September 2015</p> <p>Responsible Officer: Head of Business Strategy, Community and Customer Services</p>
Supporting Principle: Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money								
These requirements also reflect elements of the CIPFA/IFAC International Framework Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes, particularly D3 (Optimising achievement of intended outcomes) and Principle F: Managing risks and performance through robust internal control and strong public financial management, particularly F4 (Strong Public Financial Management)								
P1 Req 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.	<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 > Integrated financial strategy 	No specific actions but current standards to be maintained	Not Applicable	9	10	Implementation of an integrated financial strategy has led to improved financial management arrangements	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	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								
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								
These requirements also reflect elements of the CIPFA/IFAC International Framework Principle F: Managing risks and performance through robust internal control and strong public financial management, particularly F4 (Strong Public Financial Management, also reflects requirements referring to the role of CFO)								
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 2014/15	Progress	Score assigned March 2014	Score assigned March 2015	Explanation for Change (where applicable)	Actions for 2015/16
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
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 description/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 is 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 agreed each year	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	10	10	Not applicable	No specific actions but current standards to be maintained
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.	> 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	10	10	Not applicable	No specific actions but current standards to be maintained

Requirement Identifier	Requirement	Evidence of Compliance	Action required in 2014/15	Progress	Score assigned March 2014	Score assigned March 2015	Explanation for Change (where applicable)	Actions for 2015/16
P2 Req19	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 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 > Financial roadshows	No specific actions but current standards to be maintained	Not Applicable	9	8	Standalone contract management training required to improve contract management arrangements	2015/16 Action: Delivery of standalone contract management training sessions (two levels of training to be provided) to be added to the procurement training already provided. Milestone 1: Officers requiring training to be identified by end of March 2015 Milestone 2: Training programme to be delivered by end of June 2015 Responsible Officer: Assistant Director Finance
P2 Req20	Ensure that budget calculations are robust and reserves adequate, in line with CIPFA's guidance.	> 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	10	10	Not applicable	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.	> The following review processes are in place: - Quarterly reports to SMB - Quarterly reports to Executive Committee - Monthly reports to 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	8	Standalone contract management training required to improve contract management arrangements	2015/16 Action: Delivery of standalone contract management training sessions (two levels of training to be provided) to be added to the procurement training already provided. Milestone 1: Officers requiring training to be identified by end of March 2015 Milestone 2: Training programme to be delivered by end of June 2015 Responsible Officer: Assistant Director Finance
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.	> Monitoring officer provisions > Statutory provision > Monitoring Officer job description and specification > Settlement Agreements protocol now in place	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 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.	> 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	9	Communication protocols between Members and officers are now well embedded	No specific actions but current standards to be maintained
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).	> 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	10	10	Not applicable	No specific actions but current standards to be maintained

Requirement Identifier	Requirement	Evidence of Compliance	Action required in 2014/15	Progress	Score assigned March 2014	Score assigned March 2015	Explanation for Change (where applicable)	Actions for 2015/16
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. The Corporate Plan includes:</p> <ul style="list-style-type: none"> > Vision > Corporate ambitions and priorities > Values <p>Consultation during 2014/15 included:</p> <ul style="list-style-type: none"> • Budget setting 2015/16 • Quarterly staff support services survey • Ridlins End playing fields • Allotment Strategy • Procurement Strategy • Changing Channels – online demand (CSC users) • Eco-schools network • Community Safety Strategy • Parks Summer Community Events • STAR tenant satisfaction survey • Welfare reform impact survey • Support services satisfaction survey (supported housing) • Flexicare satisfaction survey • Allocations Policy consultation • Laundry charges in flat blocks consultation • Parking enforcement consultation <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	<p>Establish a medium term business and financial planning process to deliver strategic objectives including:</p> <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 > Alignment of strategic planning and cycles 	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 > 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
P2 Req30	<p>When working in partnership:</p> <ul style="list-style-type: none"> > 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. 	<ul style="list-style-type: none"> > 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 of reference for partnerships > Shareholders Agreement 	No specific actions but current standards to be maintained	Not Applicable	8	9	Governance measures are in place for the Council's key strategic partnerships	No specific actions but current standards to be maintained

Requirement Identifier	Requirement	Evidence of Compliance	Action required in 2014/15	Progress	Score assigned March 2014	Score assigned March 2015	Explanation for Change (where applicable)	Actions for 2015/16
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								
These requirements also reflect elements of the CIPFA/IFAC International Framework Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law, particularly A1 (Behaving with integrity) and A2 (Demonstrating strong commitment to ethical values)								
P3 Req31	Ensure that the Authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect.	<ul style="list-style-type: none"> > 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 > Leadership Development Programme > Behaviours form part of appraisal process > Modern Member Programme 	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.	<ul style="list-style-type: none"> > Members' and Officers' Codes of conduct > Performance appraisal process > Complaints procedures > Anti-fraud and corruption policy > Member/officer protocols > Whistle Blowing Policy 	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	<ul style="list-style-type: none"> > Contract Standing Orders > Members' and Officers' Codes of Conduct > Financial Regulations > Whistle Blowing Policy 	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 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.	<ul style="list-style-type: none"> > 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) 	<p>AGS 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</p> <p>AGS Action 2: Embed the new values into new Human Resources Policies, as appropriate. Milestone: March 2015</p> <p>Responsible Officer: Head of Human Resources and Organisational Development</p>	<p>New Values and Behaviours booklet for staff launched as part of the September 2014 appraisal training for all staff. Values, Inclusion and Behaviours training for all staff took place October/November 2014.</p> <p>Values are embedded in all training, development programmes and HR Policies</p>	7	8	New Values and Behaviours embedded and incorporated into training and development and HR policies as they are developed/reviewed.	No specific actions but current standards to be maintained
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.	<ul style="list-style-type: none"> > 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
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.	<ul style="list-style-type: none"> > 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.	<ul style="list-style-type: none"> > 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.	<ul style="list-style-type: none"> > Decision making practices > Equality and Diversity policy > Organisational Values and Co-operative Principles embedded in Corporate Plan > Report guidance re. reports in line with values 	<p>AGS 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</p> <p>AGS Action 2: Embed the new values into new Human Resources Policies, as appropriate. Milestone: March 2015</p> <p>Responsible Officer: Head of Human Resources and Organisational Development</p>	<p>New Values and Behaviours booklet for staff launched as part of the September 2014 appraisal training for all staff. Values, Inclusion and Behaviours training for all staff took place October/November 2014.</p>	7	9	New Values and Behaviours embedded and incorporated into training and development and HR policies as they are developed/reviewed.	No specific actions but current standards to be maintained

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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.	> 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								
These requirements also reflect elements of the CIPFA/IFAC International Framework Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes, particularly D1 (Determining interventions) and Principle F: (Managing risks and performance through robust internal control and strong public financial management, particularly F3 (Robust internal control))								
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	9	9	Not applicable	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	9	9	Not applicable	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	10	9	Recent legislation outlining requirements to record all decisions needs to be reviewed, implications assessed - further clarification is required by Borough Solicitor	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	10	10	Not applicable	No specific actions but current standards to be maintained
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 > CE and Strategic Director (Resources) meets quarterly with Grant Thornton	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 2014/15	Progress	Score assigned March 2014	Score assigned March 2015	Explanation for Change (where applicable)	Actions for 2015/16
P4 Req46	Put in place effective, transparent and accessible arrangements for dealing with complaints.	> Complaints procedure	<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>Implementation of improved complaints system. 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>	<p>The "Your Say" system is now in place for logging of SBC and Housing Customer complaints. Key officers have been trained and Members have been informed of the new arrangements.</p> <p>The review of the current processes, policies and procedures and the implementation of the Online Gateway is now linked into the wider corporate project re. customer accounts. The customer accounts project is currently being scoped by the Strategic Director (Finance) and a newly established project team.</p> <p>A customer insight survey has been commissioned to help inform the council's future online service offer.</p> <p>The aim is to have the first phase of a more co-ordinated online service offer in place by the end of September 2015.</p>	7	8	Implementation of the "Your Say" system for logging of SBC and Housing Customer complaints has resulted in an aligned and improved customer feedback system.	<p>AGS 2015/16 Action:</p> <p>Implement the new Customer Accounts (balances and payments) system which will include an improved complaints and feedback system</p> <p>Milestone: September 2015</p> <p>Responsible Officer: Head of Business Strategy, Community and Customer Services</p>
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.	<p>> Members' induction scheme</p> <p>> Training for Committee Chairs</p> <p>> All Member briefings provided on key issues</p> <p>> Balanced Scorecard provides quarterly performance status. Improvement plans agreed as required.</p> <p>> Timely, accurate and up-to-date budget information provided quarterly</p> <p>> Regular Portfolio Holder briefings are carried out</p> <p>> Report templates with mandatory paragraphs for financial and legal implications</p> <p>> Report writing training for officers as required</p> <p>> Risk management implications on Executive Report template</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
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.	<p>> Monthly financial status Head of Service reports</p> <p>> Quarterly financial status reports to Strategic Management Board</p>	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.	<p>> Mandatory Legal and Financial implications paragraph in all Executive reports</p> <p>> Record of decision making and supporting materials</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
P4 Req50	Ensure the authority's governance arrangements allow the CFO to bring influence to bear on all material decisions.	<p>> Chief Financial officer is Deputy Chief Executive and member of Strategic Management Board with access to all Strategic Management Board reports</p> <p>> Chief Financial Officer is chair of Corporate Governance Group with responsibility delegated from CE</p>	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 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).	<p>> Budget reports</p> <p>> Requirement to establish robustness of estimates</p> <p>> Treasury Management Strategy reported to Audit Committee and Executive and Council</p>	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 2014/15	Progress	Score assigned March 2014	Score assigned March 2015	Explanation for Change (where applicable)	Actions for 2015/16
Supporting Principle: Ensuring that an effective risk management system is in place								
These requirements also reflect elements of the CIPFA/IFAC International Framework Principle F: Managing risks and performance through robust internal control and strong public financial management, particularly F1 (Managing risk)								
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 > 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	9	9	Not applicable	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	10	10	Not applicable	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	10	10	Not applicable	No specific actions but current standards to be maintained
Supporting Principle: Using their legal powers to the full benefit of the citizens and communities in their area								
These requirements also reflect elements of the CIPFA/IFAC International Framework Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law particularly A3 (Respecting the rule of the law)								
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

Requirement Identifier	Requirement	Evidence of Compliance	Action required in 2014/15	Progress	Score assigned March 2014	Score assigned March 2015	Explanation for Change (where applicable)	Actions for 2015/16
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	9	9	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								
Supporting Principle: making sure that Members and Officers have the skills, knowledge, experience and resources they need to perform well in their roles								
These requirements also reflect elements of the CIPFA/IFAC International Framework Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it, particularly E1 (Developing the capacity of the entity) and E3 (Developing the capability of individuals within the entity)								
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 > Heads of Service work with their managers to develop Induction programmes for staff 	<p>AGS 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>	<p>New corporate induction process commenced July 2014. All new starters are now automatically booked to attend the corporate induction course.</p> <p>Routeway, SDU specific induction process is currently under development and on track to commence wef 1st April 2015, as planned.</p>	6	7	New corporate induction process commenced July 2014	<p>AGS 2015/16 Action: Implementation of Routeway SDU specific induction process</p> <p>Milestone: 1st April 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 > Appraisal 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 > Strategic Director Finance undertaking an MBA 	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	8	Service is currently experiencing difficulty in recruiting suitably experienced and qualified Accountancy staff	No specific actions but current standards to be maintained

Requirement Identifier	Requirement	Evidence of Compliance	Action required in 2014/15	Progress	Score assigned March 2014	Score assigned March 2015	Explanation for Change (where applicable)	Actions for 2015/16
Supporting Principle: Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group								
These requirements also reflect elements of the CIPFA/IFAC International Framework Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it, particularly E2 (Developing the Entity's Leadership)								
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>AGS 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>	<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 > New Leadership Development Programme for SMT <p>A new job specific competency template has been introduced and is now in use for all new/revised jobs.</p> <p>Appraisals process reviewed in 2013/14 with implementation September 2014 based on a competency framework. Training for all staff and managers took place September 2014.</p> <p>Full implementation of the competency framework requires appropriate alignment of member and officer competencies with new SBC Values. New Values and Behaviours booklet for staff launched as part of the September appraisal training. Values, Inclusion and Behaviours training for all staff took place October/November 2014.</p>	7	8	<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 > New Leadership Development Programme for SMT <p>A new job specific competency template is now in use for all new/revised jobs.</p> <p>New competency based appraisals process, aligned to the new Values and Behaviours launched September 2014.</p>	No specific actions but current standards to be maintained
P5 Req65	Embed financial competencies in person specifications and appraisals	<ul style="list-style-type: none"> > Job description/person specifications > PDM reviews > New Recruitment Policy 	<p>The focus for this requirement now needs to be implementation of the revised appraisal process. Action revised to:</p> <p>Action: Implementation and embedding of revised PDM process</p> <p>Milestone: March 2015</p> <p>Responsible Officer: Head of Human Resources and Organisational Development</p>	New appraisal process being launched in September 2014. Training for all staff and managers is taking place in September.	7	8	New appraisals process, aligned to the new SBC Values and Behaviours launched September 2014	No specific actions but current standards to be maintained
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.	<p>Training carried out on:</p> <ul style="list-style-type: none"> > Financial presentations to 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.	<ul style="list-style-type: none"> > 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 	<p>Action: Development of a Leadership and Management Competency Framework and Core Competencies Framework</p> <p>Milestone: March 2015</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 > New Leadership Development Programme for SMT 	8	9	<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 > New Leadership Development Programme for SMT 	No specific actions but current standards to be maintained
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

Requirement Identifier	Requirement	Evidence of Compliance	Action required in 2014/15	Progress	Score assigned March 2014	Score assigned March 2015	Explanation for Change (where applicable)	Actions for 2015/16
Supporting Principle: Encouraging new talent for membership of the authority so that best use can be made of resources in balancing continuity and renewal								
These requirements also reflect elements of the CIPFA/IFAC International Framework Principle E Developing the entity's capacity, including the capability of its leadership and the individuals within it, particularly E3 (Developing the capability of individuals within the entity's leadership)								
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.	<ul style="list-style-type: none"> > Strategic partnership framework > Stakeholders' forums terms of reference > New Consultation Champions Group > Local partnership arrangements in place > The consultation programme for 2014/15 included: <ul style="list-style-type: none"> • Budget setting 2015/16 • Quarterly staff support services survey • Ridlins End playing fields • Allotment Strategy • Procurement Strategy • Changing Channels – online demand (CSC users) • Eco-schools network • Community Safety Strategy • Parks Summer Community Events • STAR tenant satisfaction survey • Welfare reform impact survey • Support services satisfaction survey (supported housing) • Flexicare satisfaction survey • Allocations Policy consultation • Laundry charges in flat blocks consultation • Parking enforcement consultation > The Council's Co-operative Principles, 2013/14, and SBC Values applicable from April 2014 reflect this ethos 	No specific actions but current standards to be maintained	Not Applicable	8	8	Not applicable	No specific actions but current standards to be maintained
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. > New Appraisal Process incorporates succession planning 	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 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								
These requirements also reflect elements of the CIPFA/IFAC International Framework Principle B: Ensuring openness and comprehensive stakeholder engagement, particularly B1 (Openness), B2 (Engaging Stakeholders effectively including individual citizens and users) and B3 (Engaging comprehensively with institutional stakeholders) and Principle G: Implementing good practices in transparency, reporting and audit to deliver effective accountability in particular G1 (Implementing good practices in transparency) and G2 (Implementing good practices in reporting)								
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 Heads of Service' Service Assurance 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.	<ul style="list-style-type: none"> > 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

Requirement Identifier	Requirement	Evidence of Compliance	Action required in 2014/15	Progress	Score assigned March 2014	Score assigned March 2015	Explanation for Change (where applicable)	Actions for 2015/16
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 > Three workstreams: Corporate identity, event planning and strategic campaigns 	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 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
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" > Consultation and Engagement Strategy > Communication strategy linked to Crime, Disorder, Partnership. > Partnership arrangements for sharing consultation opportunities with other Hertfordshire authorities 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
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 > Equalities Annual Report 	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 > Annual Report > Consultation > Data Transparency Code publications 	<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 customer feedback system. 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>	<p>The "Your Say" system is now in place for logging of SBC and Housing Customer complaints. Key officers have been trained and Members have been informed of the new arrangements.</p> <p>The review of the current processes, policies and procedures and the implementation of the Online Gateway is now linked into the wider corporate project re. customer accounts. The customer accounts project is currently being scoped by the Strategic Director (Finance) and a newly established project team.</p> <p>A customer insight survey has been commissioned to help inform the council's future online service offer.</p> <p>The aim is to have the first phase of a more co-ordinated online service offer in place by the end of September 2015.</p>	8	8	Not applicable	<p>AGS 2015/16 Action:</p> <p>Implement the new Customer Accounts (balances and payments) system which will include an improved complaints and feedback system</p> <p>Milestone: September 2015</p> <p>Responsible Officer: Head of Business Strategy, Community and Customer Services</p>
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

Requirement Identifier	Requirement	Evidence of Compliance	Action required in 2014/15	Progress	Score assigned March 2014	Score assigned March 2015	Explanation for Change (where applicable)	Actions for 2015/16
	<p>The New CIPFA/IFAC International Governance framework: 'Good Governance in the Public Sector' is complementary to existing governance frameworks. The content is largely reflected throughout the Council's agreed framework. However, there is a new area of focus in the International Framework relating to the sustainability of organisations and social and economic environments. The relevant principles are set out below for consideration. Any actions set will be pertaining to best practice rather than a requirement to meet the Council's agreed Local Framework for the assessment of Corporate Governance, the CIPFA/SOLACE Framework, 'Delivering Good Governance in Local Government'.</p>							
	<p>CIPFA / IFAC International Framework Principle C. - Defining outcomes in terms of sustainable economic, social and environmental benefits</p>							
	<p>CIPFA / IFAC International Framework Principle C.1 - Achieving outcomes in a sustainable manner The CIPFA/IFAC Principle C1 is partially reflected in Principle 1 of the Council's approved Framework of Corporate Governance (CIPFA/SOLACE, Delivering Good Governance). However, the current Framework does not consider whether planning for the outcomes has considered if they are sustainable. The evidence considerations outlined below are elements that contribute to outcomes being achieved in a sustainable manner.</p>							
	Consideration for Evidence	Evidence of Compliance	CIPFA/IFAC International Framework introduced August 2014		Score assigned March 2015	CIPFA/IFAC International Framework introduced August 2014		Actions for 2015/16
	Make decisions in consideration of levels of taxation and public expenditure	<ul style="list-style-type: none"> > Executive reports on financial matters > Priority Based Budgeting > Integrated financial planning > Medium Term Financial Strategy > Annual Budget Report (minimum level of risk assessed balances) 			9			Governance standards considered robust - no specific actions, current standards to be maintained
	Make decisions in consideration of levels of performance sought in terms of, for example, service delivery or the maintenance of infrastructure	<ul style="list-style-type: none"> > Balanced Scorecard performance reported to Strategic Management Board, Executive and Scrutiny quarterly - improvements/adjustments made as appropriate > Corporate Improvement Programme considered by Strategic Management Board quarterly > Strategic Risk Register considered by SMB and Audit Committee 			9			Governance standards considered robust - no specific actions, current standards to be maintained
	Make decisions in consideration of how to manage and account for our assets and liabilities, including public debt	<ul style="list-style-type: none"> > Asset Management Strategy developed in consideration of sustainability of infrastructure and impact on long term resource > Asset Management Plan and disposals programme in place > Capital Strategy reflects capital investment needs 			9			Governance standards considered robust - no specific actions, current standards to be maintained
	Manage expectations about the services we provide with the resources available to us	<ul style="list-style-type: none"> > Online customer survey carried out regarding finance resources > Corporate Improvement Programme monitors capacity to deliver priorities > People Strategy and Workforce Plan in place to manage HR resource > HRA Business Plan approved Executive Nov 14 			9			Governance standards considered robust - no specific actions, current standards to be maintained
	Development of sustainability indicators in terms of economic, social and environmental benefits	<ul style="list-style-type: none"> > Balanced Scorecard includes Green House Gas emission monitoring, recycling, economic influence and supporting vulnerable people measures. > Organisational priorities relating to quality environment (in respect of keeping the town safe) and supporting vulnerable people. 			9			Governance standards considered robust - no specific actions, current standards to be maintained
	<p>CIPFA / IFAC International Framework Principle C.2- Sustainable economic, social and environmental benefits This aspect of the principle requires the organisation to ensure that the defined (combined) outcomes can be delivered on a sustainable basis. The impacts of decisions are expected to be considered and reflected in a transparent manner. <i>Unsustainable</i> impacts may include (but are not limited to) economic, social or environmental waste; lack of investor confidence; economic stagnation; and inadequate or poor service delivery. The Council also has the overarching duty to act in the public interest at all times. However, there may be conflicts between the various economic, social and environmental factors/benefits. The Council needs to balance any potential conflicts (preferably through consultation). Consideration of risk management and resilience will be an important factor in managing outcome delivery to ensure the protection and safety of the community.</p>							
	Make decisions in consideration of the combined (and balanced) economic, social and environmental impact of our policies, plans and decisions	<ul style="list-style-type: none"> > Ongoing Consultation Programme > Corporate Plan links to Communications Strategy, developed with key players. 			8			Governance standards considered robust - no specific actions, current standards to be maintained
	Make decisions in consideration of delivering our outcomes on a sustainable basis, having consideration for the combined impact of the economic, social and environmental factors	<ul style="list-style-type: none"> > Priority based budgeting and integrated financial planning framework. Corporate Improvement Programme outlines medium to long term priority programmes and projects for the Council. > Qtrly monitoring of Strategic Risk Register > Saving reversals, e.g. grass cutting, parking - environmental issues 			8			Governance standards considered robust - no specific actions, current standards to be maintained
	Be transparent about our decisions in relation to the combined (and balanced) impact of economic, social and environmental factors	<ul style="list-style-type: none"> > Executive Reports outline the reasons for decisions taken > Programme Council debates 			8			Governance standards considered robust - no specific actions, current standards to be maintained