

CORPORATE GOVERNANCE FRAMEWORK

SCHEDULE TO ASSIST IN PUTTING THE SIX PRINCIPLES INTO PRACTICE

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

The code should reflect the requirement for local authorities to:	Source documents/good practice/other names that may be used to demonstrate competence	Score 1-10	Improvement Plans
<ul style="list-style-type: none"> Develop and promote the authority's purpose and vision. 	<ul style="list-style-type: none"> Used as a basis for: <ul style="list-style-type: none"> - corporate and service planning - shaping the community strategy - local area or performance agreements 	8	Further embed awareness across the organisation.
<ul style="list-style-type: none"> review on a regular basis the authority's vision for the local area and its impact on the authority's governance arrangements 	<ul style="list-style-type: none"> governance code 	9	Review on a timely basis
<ul style="list-style-type: none"> Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties 	<ul style="list-style-type: none"> Partnership toolkit Governance code 	8	Extend use of the Partnership toolkit Develop good practice based on partnership toolkit/partnership risk management work done with Zurich Municipal
Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance	<ul style="list-style-type: none"> Annual financial statements Annual business plan 	9	

The code should reflect the requirement for local authorities to:	Source documents/good practice/other names that may be used to demonstrate competence	Score 1-10	Improvement Plans
<ul style="list-style-type: none"> Decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available. 	<ul style="list-style-type: none"> Customer focus strategy Equality & Diversity impact assessments Community Conference outputs Gov-metric development 	7	<p>Customer Focus Strategy embedding from June 2009</p> <p>Maximise use of Gov-metric</p>
<ul style="list-style-type: none"> put in place effective arrangements to identify and deal with failure in service delivery 	<ul style="list-style-type: none"> complaints procedure Councillor Call for Action (CCfA) arrangements 	7	<p>N114 – development of collection and analysis mechanisms</p> <p>Customer Focus Strategy</p> <p>Developing CCfA arrangements for local (one ward) issues when all attempts at resolution have failed (not relevant to an individual complaints)</p>
<ul style="list-style-type: none"> decide how value for money is to be measured and make sure that the authority or partnership has the information needed to review value for money and performance effectively. 	<ul style="list-style-type: none"> The results are reflected in authority's performance plans and in reviewing the work of the authority. 	7	<p>Develop on work already started</p> <p>Fine internally but more improvements are required especially with regard to support services and partnerships</p>

<ul style="list-style-type: none"> • Measure the environmental impact of policies, plans and decisions. 	Climate Change Strategy endorsement by partnerships.	<p style="text-align: center;">6</p>	Use of three years external funding Review and update of Climate Change Strategy Proposal for new post to help support and develop this area Completion of IT server rationalisation to reduce electricity costs and reduce impact of increased energy costs
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Reference documents

Strong and Prosperous Communities, DCLG (October 2006)

The Policies of Place, The Leadership Centre for Local Government (October 2006)

A Councillor's Guide to Performance Management (second edition), IDeA (June 2006)

A Manager's Guide to Performance Management (second edition), IDeA (June 2006)

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

The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that maybe used to demonstrate compliance	Score 1-10	Improvement Plans
<ul style="list-style-type: none"> • Set out a clear statement of the respective roles and responsibilities of the executive and of the executive's members individually and the authority's approach towards putting this into practice • Set out a clear statement of the respective roles and responsibilities of other authority members, members generally and senior officers. 	<ul style="list-style-type: none"> • Constitution • Record of decisions and supporting materials 	9	Considering Job Descriptions for Councillors various roles
<ul style="list-style-type: none"> • Determine a scheme of delegation and reserve powers within the constitution, including a formal schedule of those matters specifically reserved for collective decision of the authority, taking account of relevant legislation, and ensure that it is monitored and updated when required. 	<ul style="list-style-type: none"> • Constitution 	8	Review of Constitution, including scheme of delegation to go to Council in April

The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that maybe used to demonstrate compliance	Score 1-10	Improvement Plans
<ul style="list-style-type: none"> Make a chief executive or equivalent responsible and accountable to the authority for all aspects of operational management 	<ul style="list-style-type: none"> conditions of employment scheme of delegation statutory provisions job descriptions/specification performance management system 	9	Review job description for chief executive
<ul style="list-style-type: none"> develop protocols to ensure that the leader and chief executive (or equivalent) negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained. 	<ul style="list-style-type: none"> Weekly 1:1 meetings Joint Executive / SMB meetings held Leader annually outlines priorities for the coming year Successful demonstration of effective working relationship through recent budget savings exercise and corporate restructure. 	6	
<ul style="list-style-type: none"> Make a senior officer (the S151 officer) responsible to the authority for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control. 	<ul style="list-style-type: none"> Section 151 responsibilities Statutory provision Statutory reports Budget documentation Job description/specification Constitution including Contract Standing Orders and Financial Regulations 	9	
<ul style="list-style-type: none"> Make a senior officer (usually the monitoring officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with. 	<ul style="list-style-type: none"> Monitoring officer provisions Statutory provision Job descriptions/specification 	9	Review Job Description
<ul style="list-style-type: none"> Develop protocols to ensure effective communication between members and officers in their respective roles. 	<ul style="list-style-type: none"> Member/officer protocol Modern Member Programme activities 	7	Tools in place to be reviewed to ensure consistency. Will be part of the Member & Management development strategies Once reviewed, to be communicated to Officers and Members

The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that maybe used to demonstrate compliance	Score 1-10	Improvement Plans
<ul style="list-style-type: none"> 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 	9	
<ul style="list-style-type: none"> Ensure that effective mechanisms exist to monitor service delivery 	<ul style="list-style-type: none"> Balanced Scorecard 	9	
<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> Vision Strategy Corporate plans Budgets Performance plan/regime Community Conference Neighbourhood Conference So Stevenage Area Committees 	9	
<ul style="list-style-type: none"> 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 <p>Reference documents <i>Final Report of the SOLACE Commission on Managing in a Political Environment, SOLACE (2005)</i> <i>Changing Organisational Cultures, Audit Commission (2005)</i></p>	<ul style="list-style-type: none"> Roles and responsibilities for Portfolio Holders involved in Partnerships in place Executive Members briefings Portfolio Holders involvement n themed partnerships 	9	Further embedding the new arrangements

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

The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that maybe used to demonstrate compliance	Score 1-10	Improvement Plans
<ul style="list-style-type: none"> Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect. 		9	
<ul style="list-style-type: none"> Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols. 	<ul style="list-style-type: none"> Members/officers' code of conduct Performance appraisal Complaints procedures Anti-fraud and –corruption policy Member/officer protocols 	7	Review, update and communicate
<ul style="list-style-type: none"> Put in place arrangements to ensure that members and employers of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice. 	<ul style="list-style-type: none"> Contract Standing orders Codes of conduct Financial regulations 	8	<p>In place but needs reviewing, updating and communicating</p> <p>Needs a regular review process</p>

The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that maybe used to demonstrate compliance	Score 1-10	Improvement Plans
<ul style="list-style-type: none"> Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations and communicate these with members, staff, the community and partners. 	<ul style="list-style-type: none"> Codes of conduct PDMs Corporate briefings for staff 	8	Rules in place but need reviewing and communicating
<ul style="list-style-type: none"> Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice 	<ul style="list-style-type: none"> Codes of conduct 	8	
<ul style="list-style-type: none"> Develop and maintain an effective standards committee 	<ul style="list-style-type: none"> Terms of reference 	9	
<ul style="list-style-type: none"> 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 	7	New document being produced in April. Will be communicated when in place and needs monitoring to ensure compliance

The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that maybe used to demonstrate compliance	Score 1-10	Improvement Plans
<ul style="list-style-type: none"> In pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partners' behaviour both individually and collectively. 	<ul style="list-style-type: none"> Protocols for partnership working Partnership toolkit in place, tested & working effectively Sub-group of LSP Executive , with clear roles & responsibilities for the allocation of performance reward grant 	7	<p>Review of Grant Aid process and allocation underway</p> <p>Continued working with LSP & themed partnerships</p>
<p>Reference documents</p> <p><i>Standards of Conduct in English Local Government: The Future, ODPM (200005)</i></p>	<p>Tools to assist local authorities for self-assessment purposes</p> <p>Ethical Governance Diagnostic: Setting High Standards in Public Life, Audit Commission (2005)</p>		

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

The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that maybe used to demonstrate compliance	Score 1-10	Improvement Plans
<ul style="list-style-type: none"> ▪ Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall and that of any organisation for which it is responsible 	<ul style="list-style-type: none"> ▪ Scrutiny is supported by robust evidence and data analysis ▪ Joint working with HCC and other districts ▪ CCfA 	7	Developing arrangements for CCfA
<ul style="list-style-type: none"> ▪ Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based. 	<ul style="list-style-type: none"> ▪ Decision-making protocols record of decisions and supporting materials 	9	
<ul style="list-style-type: none"> ▪ Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice. 	<ul style="list-style-type: none"> ▪ Members' code of conduct ▪ Member/Officer Protocol 	9	
<ul style="list-style-type: none"> ▪ Develop and maintain an effective audit committee (or equivalent) which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the functions of such a committee 	<ul style="list-style-type: none"> ▪ Terms of reference ▪ Membership ▪ Training for committee members 	9	

The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that maybe used to demonstrate compliance	Score 1-10	Improvement Plans
<ul style="list-style-type: none"> ▪ Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints 	<ul style="list-style-type: none"> ▪ Complaints procedure 	7	Customer Focus Strategy
<ul style="list-style-type: none"> ▪ Ensure that those making decisions whether for the authority or the partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications 	<ul style="list-style-type: none"> ▪ Members' induction scheme ▪ Training for committee chairs ▪ All Member briefings ▪ Balanced Scorecard ▪ Timely, accurate and up-to-date budget information ▪ Regular Portfolio Holder briefings ▪ Report templates ▪ Report writing training for Officers 	7	Review of management training
<ul style="list-style-type: none"> ▪ Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately 	<ul style="list-style-type: none"> ▪ Record of decision making and supporting materials ▪ Mandatory Legal & Financial implications paragraph in all Executive reports 	8	
<ul style="list-style-type: none"> ▪ Ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their jobs. 	<ul style="list-style-type: none"> ▪ Risk management strategy ▪ Financial standards and regulations ▪ Risk Management Group ▪ Members Risk Management Champion ▪ Risk Management implications on all Executive report templates 	7	Complete the embedding of risk management across the organisation and ensure it contributes to strategic outcomes

The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that maybe used to demonstrate compliance	Score 1-10	Improvement Plans
<ul style="list-style-type: none"> ▪ Ensure that arrangements are in place for whistle-blowing to which staff and all those contracting with the authority have access 	<ul style="list-style-type: none"> ▪ Whistle-blowing policy 	9	Approved policy
<ul style="list-style-type: none"> ▪ 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 	6	Monitoring Officer post recognised but does not fully comply with requirements
<ul style="list-style-type: none"> ▪ 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. 		8	Strong in regularity areas
<ul style="list-style-type: none"> ▪ Observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justice – into their procedures and decision-making processes. 	<ul style="list-style-type: none"> ▪ Monitoring officer provisions ▪ Job description/specification ▪ Statutory provision 	7	Job description for Monitoring Officer to be reviewed.

<p>Reference documents</p> <p><i>Worth the Risk: Improving Risk Management in Local Government</i>, Audit Commission (2001)</p> <p><i>Risk Management in the Public Services</i>, CIPFA/ALARM (2001)</p> <p><i>The Orange Book – Management of Risk Principles and Concepts</i>, HM Treasury (October 2004)</p> <p><i>Audit Committees: Practical Guidance for Local Authorities</i>, CIPFA (2005)</p> <p><i>The Good Scrutiny Guide: A Pocket Guide for Public Scrutineers</i>, Centre for Public Scrutiny (2006)</p> <p><i>Overview and Scrutiny in Local Government: A Handbook for Elected Members</i>, Centre for Public Scrutiny (2006)</p> <p><i>A Wider Conversation: Effective Scrutiny of Local Strategic Partnerships</i>, IdeA (February 2007)</p>	<p>Tools to assist local authorities for self-assessment purposes</p> <p><i>A Toolkit for Local Authority Audit Committees</i>, The CIPFA Better Governance Forum (2006)</p>		
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PRINCIPLE DEVELOPING THE CAPACITY AND CAPABILITY OF MEMBERS AND OFFICERS TO BE EFFECTIVE

The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that maybe used to demonstrate compliance	Score 1-10	Improvement Plans
<ul style="list-style-type: none"> ▪ Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis 	<ul style="list-style-type: none"> ▪ Training and development plan ▪ Induction programme ▪ Update courses/information ▪ Members training & development programme rests with Head of Human Resources and Organisational Development ▪ Signed up to the Members Development Charter ▪ East of England Member Development Charter 	6	<p>There are non-tailored programmes which are under review</p> <p>Member development programme roll out</p>
<ul style="list-style-type: none"> ▪ Ensure that the statutory officers have the skills resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the authority 	<ul style="list-style-type: none"> ▪ Job description/personal specifications membership of top management team 	7	<p>Senior Management Team job descriptions and person specifications to be updated</p> <p>Skills and resources in place but some weaknesses in the understanding of the role of the Monitoring Officer to be addressed</p>
<ul style="list-style-type: none"> ▪ Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively 	<ul style="list-style-type: none"> ▪ Training development plan ▪ Modern Member Programme ▪ East of England Member Development Charter ▪ Pilot skills audit ▪ HR work programme ▪ ECDL ▪ Report writing training for managers ▪ Financial management training ▪ New senior management team 	5	<p>HR work programme</p> <p>Proposed management competencies implementation</p> <p>Member and Management development programme roll out</p> <p>New appraisal system implementation</p>

<ul style="list-style-type: none"> ▪ Develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed 	<ul style="list-style-type: none"> ▪ EHRC - Equalities Framework ▪ Risk Management – training & development ▪ Equalities & Diversity training, including level 5 Tower Hamlets experience ▪ CAA awareness training ▪ Training and development plan reflect requirements of a modern councillor including: <ul style="list-style-type: none"> • the ability to scrutinise and challenge • the ability to recognise when outside advice is required • advice on how to act as an ambassador for the community • leadership and influencing skills 	<p>7</p>	<p>Proposed management competencies implementation</p> <p>Member and Management development programme roll out</p>
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The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that maybe used to demonstrate compliance	Score 1-10	Improvement Plans
<ul style="list-style-type: none"> ▪ ensure that effective arrangements are in place for reviewing the performance of the executive as a whole and of individual members and agreeing an action plan which might, for example, aim to address any training or development needs 	<ul style="list-style-type: none"> ▪ The Leader of the Council Conducts performance and development interviews with Executive members 	8	Job Descriptions for members roles
<ul style="list-style-type: none"> ▪ ensure that effective arrangements designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority 	<ul style="list-style-type: none"> ▪ strategic partnership framework ▪ stakeholders' forums' terms of reference ▪ area forums' roles and responsibilities ▪ residents' panel structure ▪ Community Conference ▪ Neighbourhood Conference 	8	
<ul style="list-style-type: none"> ▪ ensure that career structures are in place for members and officers to encourage participation and development 	<ul style="list-style-type: none"> ▪ succession planning 	7	
<p>Reference documents</p> <p><i>Frontline Councillor: How Local politicians can Make a Difference to their Communities, IdeA (2007)</i></p>			

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

The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that maybe used to demonstrate compliance	Score 1-10	Improvement Plans
<ul style="list-style-type: none"> • make clear to themselves, all staff and the community to whom they are accountable and for what • consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required 	<ul style="list-style-type: none"> • community strategy • Area Committees • Neighbourhood Conference • Community Conference • So Stevenage 	8	
<ul style="list-style-type: none"> • produce an annual report on the activity of the scrutiny function 	<ul style="list-style-type: none"> • annual report 	9	
<ul style="list-style-type: none"> • ensure that clear channels of communication are in place with all sections of the community and other stakeholders, and put in place monitoring arrangements to ensure that they operate effectively • hold meetings in public unless there are good reasons for confidentiality • ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community 	<ul style="list-style-type: none"> • community strategy • processes for dealing with competing demands within the community • Area Committees • Neighbourhood Conference • Community Conference • So Stevenage 	9	Equalities Impact Assessments to be completed and action plans implemented

have difference priorities and establish explicit processes for dealing with these competing demands			
<ul style="list-style-type: none"> establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users about including a feedback mechanism for those consultees to demonstrate what has changed as a result 	<ul style="list-style-type: none"> partnership framework communication strategy Communication strategy linked to CDRP & LSPG "You said – We did" Community Conference Neighbourhood Conference 	7	Participatory Budgeting "Make Stevenage Sparkle" Consultation with Social Inclusion Panel of So Stevenage on future Grant Aid
<ul style="list-style-type: none"> 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 pervious period 	<ul style="list-style-type: none"> annual report annual financial statements corporate plan annual business plan 	9	

The local code should reflect the requirement for local authorities to:	Source documents/good practice/other means that maybe used to demonstrate compliance	Score 1-10	Improvement Plans
<ul style="list-style-type: none"> ensure that the authority as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so. 	<ul style="list-style-type: none"> Constitution “Working together” corporate value Neighbourhood teams 	7	Customer Focus Strategy
<ul style="list-style-type: none"> develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making 	<ul style="list-style-type: none"> Constitution SMB/Staff-side meetkngs Joint consultative committee meetings (employer and staff) Staff survey 	9	
<p>Reference documents</p> <p><i>Governing Partnerships: Bridging the Accountability Gap</i>, Audit Commission (2005)</p> <p>The Good Governance Standard for Public Serves, The Independent Commission on Good Governance in Public Services (2004)</p>	<p>Tools to assist local authorities for self-assessment purposes</p> <p><i>The Annual Governance Statement: Meeting the Requirements of the Accounts and Audit Regulations 2003, incorporating Accounts and Audit (Amendment) (England) Regulations 2006 – Rough Guide for Practitioners</i>, The CIPFA Finance Advisory Network (2007)</p>		