

## AUDIT COMMITTEE

25 JUNE 2015

### REPORT OF CORPORATE DIRECTOR (CORPORATE SERVICES)

#### A.2 ANNUAL GOVERNANCE STATEMENT 2014/15 AND CODE OF CORPORATE GOVERNANCE

(Report prepared by Steve Blake)

##### PART 1 – KEY INFORMATION

###### PURPOSE OF THE REPORT

To seek approval of the Annual Governance Statement for 2014/15, and an updated Code of Corporate Governance.

###### SUMMARY AND POSITION FOR 2014/15

The Council has previously approved and adopted a Code of Corporate Governance (the Code), which is consistent with the principles of the CIPFA / SOLACE *Framework Delivering Good Governance in Local Government*, along with an update published in December 2012 which has been taken into account in preparing the Annual Governance Statement.

The Annual Governance Statement explains how the Council complies with the Code and also demonstrates how it meets the requirements of regulation 4 of the Accounts and Audit Regulations 2011 which requires relevant bodies to conduct a review at least once a year of the effectiveness of its system of internal control.

The Annual Governance Statement for 2014/15 is attached as **Appendix A** and is submitted for approval by the Committee, following which it must be signed by the Chief Executive and Leader of the Council and appended to the Statement of Accounts.

The Chief Executive and Leader of the Council are required to be advised of the implications of the result of the annual review of the governance framework and that actions are in place to address any weaknesses. In this respect, the Governance Framework in place for 2014/15 was robust with improvements made during the year, although a number of items have been identified for progressing in 2015/16. To monitor progress, these improvement actions will be reported to Members as appropriate.

In terms of the actual Code of Corporate Governance itself, the Code was not updated during 2014/15, it being considered practical to defer the update until the review of the Council's Constitution was completed. This was brought to the attention of the Audit Committee at the time. The 2012/13 Code remained live over that period, but as the review of the Constitution is now complete, the Code has now been updated, and is attached at **Appendix B**.

CIPFA / Solace are currently reviewing the Framework for Delivering Good Governance in Local Government, but a revised framework has yet to be published. Following publication the Code of Corporate Governance will be revisited to identify any changes required, and subsequent years' Annual Governance Statements will also reflect the new guidance. Any changes required will be reported to a future meeting of the Committee.

###### RECOMMENDATION(S)

**(a) That the Annual Governance Statement be approved.**

**(b) That subject to (a) above, the Chief Executive and Leader of the Council are advised of the outcome of the annual review and are authorised to sign the Annual Governance Statement set out in Appendix A.**

**(c) That the Code of Corporate Governance as set out in Appendix B be approved.**

## **PART 2 – IMPLICATIONS OF THE DECISION**

### **DELIVERING PRIORITIES**

The updated Annual Governance Statement and Code help to communicate the Council's underlying governance arrangements in delivery against its key priorities and objectives.

### **FINANCE, OTHER RESOURCES AND RISK**

#### **Finance and other resources**

There are no direct financial implications arising from this report.

#### **Risk**

The inclusion on the Audit Committee's work programme responds to the risk of not maintaining an up to date Code of Corporate Governance or undertaking an annual review part of the Annual Governance Statement requirements which also protects the Council's reputation and demonstrates transparency, openness and commitment to continuous improvement.

### **LEGAL**

The preparation and publication of an Annual Governance Statement in accordance with the Delivering Good Governance in Local Government Framework is necessary to meet the statutory requirement set out in Regulation 4 of the Accounts and Audit Regulations 2011 for Authorities to prepare an Annual Governance Statement in accordance with "proper practices".

### **OTHER IMPLICATIONS**

**Consideration has been given to the implications of the proposed decision in respect of the following and any significant issues are set out below.**

**Crime and Disorder / Equality and Diversity / Health Inequalities / Area or Ward affected / Consultation/Public Engagement.**

There are no direct implications with such matters forming part of the overall governance framework that is set out in the statement and Code of Corporate Governance itself.

## **PART 3 – SUPPORTING INFORMATION**

### **BACKGROUND PAPERS FOR THE DECISION**

None.

### **APPENDICES**

Appendix A – Annual Governance Statement 2014/15

Appendix B – Code of Corporate Governance 2015/16

## TENDRING DISTRICT COUNCIL

### ANNUAL GOVERNANCE STATEMENT 2014-15

#### 1. SCOPE OF RESPONSIBILITY

Tendring District Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. The Council also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.

The Council acknowledges its responsibility for ensuring there is a sound system of governance, incorporating the system of internal control.

The Council has approved and adopted a code of corporate governance, which is consistent with the principles of the CIPFA/SOLACE Framework *Delivering Good Governance in Local Government*. A copy of the authority's code is available to be viewed or downloaded from the Council's website ([www.tendringdc.gov.uk](http://www.tendringdc.gov.uk)) or can be obtained by contacting the Council's Corporate Services Department. This statement explains how the Council has complied with the code and also meets the requirements of the Accounts and Audit Regulations 2011, regulation 4(3), which requires all relevant bodies to prepare an annual governance statement.

#### 2. THE PURPOSE OF THE GOVERNANCE FRAMEWORK

The governance framework comprises the systems and processes, culture and values by which the authority is directed and controlled and its activities through which it accounts to, engages with and leads the community. It enables the authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate services and value for money.

The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the Council's policies, aims and objectives, to evaluate the likelihood and potential impact of those risks being realised, and to manage them efficiently, effectively and economically.

The governance framework has been in place in the Council for the year ended 31 March 2015 and up to the date of approval of the statement of accounts.

#### 3. THE GOVERNANCE FRAMEWORK

The key elements of the systems and processes that comprise the Council's governance arrangements as reflected in the Code of Corporate Governance were:

- A Corporate Plan which sets out the Council's vision, goals and objectives.
- A Financial Strategy, Capital Strategy and Asset Management Plan, and Treasury Strategy links financial planning to enable the Council to balance the delivery of quality services along with its priorities and aspirations and maximise the effectiveness of its assets.

- A Performance Management and Budget Monitoring Framework which includes financial and non-financial information.
- A Corporate Risk Management Framework and Corporate Risk Register which sets out the risk management framework and identifies and manages risks faced by the Council.
- The Council's Constitution which covers terms of reference, roles and responsibilities, delegated powers, along with key areas such as financial and procurement procedure rules.
- An Audit Committee that provides scrutiny of the governance framework.
- A Standards Committee which is responsible for, together with the Monitoring Officer promoting and upholding high standards of conduct of Members' and approves associated Codes, Protocols and Procedures.
- Whistleblowing and complaints procedures that provide individuals with opportunities to report issues with the Council.
- Business Continuity Plans to ensure the Council can maintain an appropriate level of service.
- Clear Codes of Conduct which set behavioural expectations for all individuals representing the Council.
- A Human Resources Framework that covers a range of practices and policies.
- A committee framework with clear responsibilities and terms of reference supported by senior managers.
- Overview and Scrutiny Committees which carry out an annual programme of work to review and scrutinise Council functions and consider any matter affecting the District.
- Statutory Officers such as the Chief Executive, S151 Officer and Monitoring Officer.
- Robust governance arrangements for working, engaging with and consulting our stakeholders and partners.
- An Information Security Policy providing an IT governance framework.

The Council's key governance processes are subject to internal audit on a cyclical / risk based approach. This work forms part of the Audit and Governance Manager's annual opinion on the overall adequacy and effectiveness of the Council's internal control environment.

#### **4. REVIEW OF EFFECTIVENESS**

The Council has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of effectiveness is informed by the work of managers within the Authority who have responsibility for the development and maintenance of the governance environment, the Audit and Governance Manager's annual report, and also by comments made by the external auditors and other review agencies and inspectorates.

In practice, the review of effectiveness is an on-going process throughout the year. However set against the backdrop of ongoing reductions in Government Funding and associated savings targets, restructuring and reorganisation has continued within the Council in 2014/15 to provide a sustainable and long term basis against which to deliver services. Such changes in themselves present governance challenges and risks which have been recognised as part of the managing change and usual processes undertaken during the year.

Building on the approach in previous years but acknowledging the fundamental changes that remain on-going, the activities and mechanisms in place include:

- Review of overall performance, incorporating financial and non-financial information, and change management by Management Team and Members.
- The publication of accurate and reliable performance statements and other information.
- The translation of corporate objectives into clear goals to enable targeting of work by departments.
- The engagement of a Portfolio Holder Working Party to continue and complete a fundamental review of the Council's Constitution during 2014/15.
- Regular meetings of Management Team which include the Chief Executive, all Corporate Directors / Head of Department in attendance to discuss relevant matters, issues and strategic challenges facing the Council and to help to take the organisation forward.
- Four Overview and Scrutiny committees, Corporate Management, Service Development and Delivery, Community Leadership and Partnerships, and Education and Skills which met in total on 27 occasions during 2014/15.
- An Audit Committee which met on four occasions during 2014/15 to enable it to fulfil its statutory, regulatory and governance responsibilities including the monitoring of Internal and External Audit recommendations, the monitoring of the development and operation of risk management, the approval of the Statement of Accounts for publication.
- A Standards Committee that met on six occasions during 2014/15, to promote and maintain high standards of conduct, to develop a culture of openness, transparency, trust and confidence, and embed a culture of strong ethical and corporate governance.
- Staff updates by the Chief Executive during the year.
- Compliance with accounting and auditing codes and standards.
- Conformance of the authority's financial management arrangements with the governance requirements of the CIPFA Statement on the role of the Chief Financial Officer in Local Government (2010) as set out in the Application Note to the Delivery of Good Governance in Local Government Framework.

A number of activities and actions were also undertaken during the year in reviewing and strengthening the Council's Governance Framework. These are set out below against the six core governance principles included in the Council's Code of Corporate Governance.

**Focusing on the purpose of the Authority and on outcomes for the community and creating and implementing a vision for the local area**

- A process of continual improvement is maintained in terms of both financial and non-financial monitoring.
- The Officer Structure of the Council continued to be subject to revision to facilitate service delivery within the resources available.
- The Council continued to be engaged in a number of partnership projects and initiatives to bring about sustained system change in local services, to recast collective activity around the needs of local communities and citizens, and to deliver the conditions for growth that supports businesses and residents.
- The introduction of procedures for dealing with assets of community value.
- The introduction of a Community Asset Transfer Policy.

- The ongoing role of a Local Plan Committee to oversee the remaining stages of preparing the Local Plan, address the fundamental issues raised by objectors and deal with other aspects of planning policy work.
- Development of the Council's community leadership role, including the ongoing activities of the Rural Projects Panel.

**Members and officers working together to achieve a common purpose with clearly defined functions and roles**

- The engagement of a Portfolio Holder Working Party to enable Members to participate in the review of the Council's Constitution.
- The continued operation of member / officer groups, including the Information Policy Unit which is chaired by the relevant Portfolio Holder.
- The approval of a revised protocol on Member / Officer relations.
- The facilitation of all member workshops to take forward ideas and activities to support the Council, such as the identification of budget reductions to meet the significant financial challenges forecast.
- Group leader meetings to discuss a range of issues such as key projects in the District.

**Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour**

- A six month review of the Standards Framework for Members' and the adoption of changes to the Complaints Procedure embedded in the framework in the light of experience.
- A Standards Committee undertaking hearings regarding failures to comply with the Members' Code of Conduct, and to receive updates on complaints.
- Introduction of an updated policy in relation to the Regulation of Investigatory Powers.

**Taking informed and transparent decisions which are subject to effective scrutiny and managing risk**

- Amendment to the processes relating to the calling in of decisions, including specification of the process to be followed at meetings when considering matters that have been called in.
- The Council continues to embrace transparency and openness by publishing information on its website including payments to suppliers, salary information, Councillors' allowances and expenses, and the contract register.
- Continued development of the risk management approach within the Council.
- Ongoing operation of a member group to oversee the implementation of IT investment.
- Revision to Procurement Procedure Rules within the Constitution to address potential conflicts of interest for external representatives on the Tender Evaluation Panel.

**Developing the capacity and capability of Members and officers to be effective**

- Ongoing personal target setting for officers, capturing personal development opportunities.
- The Council continues to take a proactive approach to promoting governance, inclusivity, and facilitation of cross party working such as amendment to the Constitution to enable participation of the Leader or Deputy Leader of opposition groups in discussion of agenda items at Cabinet meetings.

- The identification of changes to the Committee structure of the Council, for implementation in 2015/16, to provide greater efficiency and better use of resources.
- Revisions to the Constitution to remove unnecessary duplication and provide greater clarity for the benefit of Members and officers.
- The provision of an enhanced framework in which delegation of executive functions to officers is performed.
- Ongoing progress in transforming working arrangements to provide Members and staff the best tools the council can to do their jobs in terms of environment, practices, equipment and skills.
- Mandatory training for members (and named substitutes) of specified committees and the maintenance of training records to evidence that appropriate training to allow members of such committees to undertake the business of their meetings had taken place.

### **Engaging with local people and other stakeholders to ensure robust public accountability**

- The ongoing use of an interactive budget consultation tool “You Choose” to obtain the views of local residents on areas they consider to be spending priorities with the information considered by Members during the setting of the 2015/16 budget.
- The ongoing development of the Council’s website
- The receiving and consideration of petitions in accordance with the Petitioning Scheme, which includes the opportunity for petitioners to address the Cabinet or the Council.
- Enhancement of the Councillor Call for Action provisions within the Overview and Scrutiny Procedure Rules.
- Amendment to the Constitution to ensure compliance with the Openness of Local Government Bodies Regulations 2014 requiring the retention and publication of applicable officer decisions and background papers.
- Updates to the list of appointments to external meetings and outside bodies to ensure that the Council is appropriately represented.

### **In respect of specific actions identified as part of last years Annual Governance Statement, actions undertaken include:**

- Financial Resilience – A balanced budget was agreed for the 2015/16 financial year. The development of the budget monitoring process to form a fundamental element of supporting the forecast for following years through the identification of savings that can be ‘banked’ as the year progresses, enabling the medium term forecast to be updated on an ongoing basis with the savings identified as being able to support the future years budget.
- Council’s Constitution – The review of the Constitution was completed during 2014/15.
- Local Audit and Accountability Act 2014 – A major element of the Act relates to the appointment of external auditors which becomes relevant in the lead up to the expiry of the existing arrangements after 2017. This is being directly managed by the Audit Committee.
- Other Major Issues – Emerging financial and reputation risks of changes arising regarding Local Council Tax Support and localisation of Business Rates – A revised Local Council Tax Support Scheme was agreed by Full Council during 2014/15 following the necessary level of consultation, and no longer includes

any residency criteria. Corporate Budget Monitoring processes are in place to enable the financial risk of this and the localisation of Business Rates to be kept under review.

- Other Major Issues – Key Projects – Clacton to Holland Haven Coast Defence Scheme – significant work remains in progress with a number of partners working together to successfully deliver the coast defence scheme. The Council continues to work with the External Auditor to support the delivery of value for money and demonstrate good governance.
- Other Major Issues – Acquisition of sites in Jaywick area – To date acquisition of a number of sites has been completed, but the project remains ongoing and therefore this is carried forward as a governance issue below into 2015/16.

The Council also draws assurance on its governance arrangements from independent sources, in particular:

### **Internal Audit**

The Internal Audit function undertakes a risk based programme of audits each year to provide the Council with assurance on the adequacy of its system of internal control.

A summary of the issues identified in the audits completed during the year were included in periodic reports to the Audit Committee. The Committee's attention was drawn to the significant issues identified in the three audits where the level of assurance was classified as Improvement Required. Robust mechanisms exist to ensure that corrective action is taken in such cases, with follow up audits scheduled where it is deemed appropriate to do so. There were no unscheduled assignments / investigations during the year.

Taking into account the issues identified during the year and reviews by other assurance providers, it was possible to provide reasonable assurance that the systems of internal control were generally operating adequately and effectively.

### **External Audit**

The Council is subject to an annual programme of external audit work associated with the Council's Statement of Accounts and value for money arrangements.

Each year the auditor's overall findings are brought together in an Audit Results Report and Annual Audit Letter (available on the Council's website). Action is taken on issues identified with recommendations monitored by the Council's Audit Committee on a regular basis.

## **5. REVIEW OF EFFECTIVENESS AND SIGNIFICANT GOVERNANCE ISSUES**

We have been advised on the implications of the result of the **review of the effectiveness of the governance framework** by the Audit Committee, and that the arrangements **continue to be regarded as fit for purpose in accordance with the governance framework**.

To support the Council in addressing some of the key issues and improvements that have emerged from the annual review of effectiveness, including any items identified as part of the work of the External Auditor, the following actions have been identified.



<b>Governance Issue</b>	<b>Action</b>
Financial Resilience	Via the Financial Strategy process, continue to maintain a strong and robust approach to identifying savings and respond to new or additional burdens against the backcloth of the potential for further cuts in Government funding.
Council's Constitution	Following completion of the comprehensive review of the Council's Constitution in 2014/15, to ensure that the changes made are embedded in the working practices of the Council, and reflected in its future decision making.
Other Major Issues	To continue to manage the financial and reputational risks of the changes arising regarding Local Council Tax support.
	To ensure that adequate, effective and robust governance arrangements remain in place throughout the lifetime of the Clacton to Holland Haven coast defence scheme.
	To ensure that adequate, effective and robust arrangements are in place for the acquisition of sites in the Jaywick area, with a view to facilitating development or directly developing the sites for housing / regeneration stimulation.
	To review documents referred to in the refreshed Code of Corporate Governance and refresh / update as appropriate taking into account any revised guidance issued.

We propose over the coming year to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the needs for improvements that were identified in our review of effectiveness and will monitor their implementation and operation as part of our next annual review.

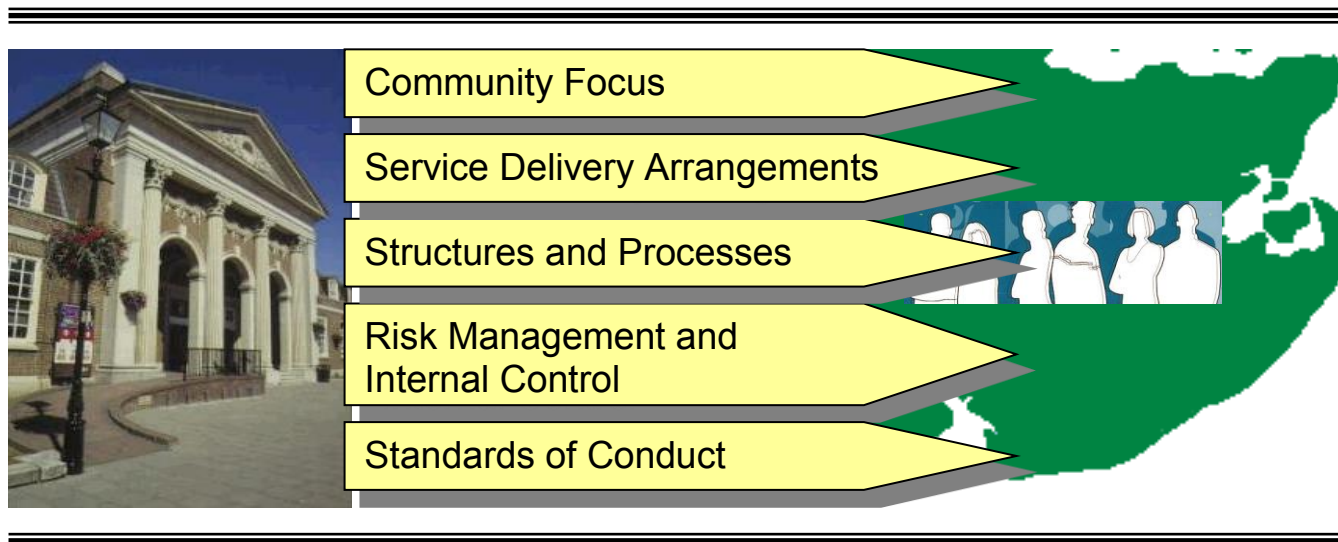
Ian Davidson  
Chief Executive

Neil Stock  
Leader of the Council

Date

Date

# Code of Corporate Governance 2015-16



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CODE**

If you require a large print version of this Code or if you would like further information or have any comments on anything contained in the Code, please contact Democratic Services on:-

**01255 686585**

or write to us at:-

**Tendring District Council  
Town Hall  
Station Road  
Clacton-on-Sea  
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YOUR COUNCIL for OUR COMMUNITY  
~ A Code of Corporate Governance for Tending ~

## *YOUR COUNCIL for OUR COMMUNITY - A Code of Corporate Governance for Tendring*

### What we mean by Governance

Good governance is about how the Authority ensures that it is doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner. Good governance leads to good management, good performance, good stewardship of public money, good public engagement and therefore good outcomes for citizens and service users.

It comprises the systems, processes, culture and values, by which the Authority directs and controls its functions, and through which it gives account to, engages with and, where appropriate, leads the community.

This Local Code of Corporate Governance has been developed in accordance with and is consistent with the Framework for Delivery of Good Governance in Local Government, published by the Chartered Institute of Public Finance and Accountancy (CIPFA) and Society of Local Authority Chief Executives (SOLACE).

### Core Principles of Good Governance

The core principles of good governance are:

1. Focusing on the purpose of the Authority and on outcomes for the community and creating and implementing a vision for the local area.
2. Members and officers working together to achieve a common purpose with clearly defined functions and roles.
3. Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.
4. Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.
5. Developing the capacity and capability of Members and officers to be effective.
6. Engaging with the local people and other stakeholders to ensure robust public accountability.

### Annual Review and Reporting

Each year the Council will carry out a review of its governance arrangements to ensure compliance with this Code and the delivery of good governance and current good practice. The purpose of the review will be to provide assurance that governance arrangements are adequate and operating effectively, or to identify action that is planned to ensure effective governance in the future.

The outcome of the review will take the form of an Annual Governance Statement prepared on behalf of the Leader of the Council and Chief Executive. It will be submitted to the Audit Committee for consideration and review.

The preparation and publication of the Annual Governance Statement will meet the statutory requirement of the Accounts and Audit Regulations which requires Authorities to conduct a review at least once a year of the effectiveness of their systems of internal control, to prepare a Governance Statement in accordance with proper practices, and include the Statement within the Council's Statutory Statement of Accounts.

### Applying the Core Principles of Good Governance

The six core principles set out above are supplemented by a number of supporting principles, which in turn have a range of specific requirements that apply across the Authority's business. These are detailed in the following tables, which also describe how the Council is achieving each of the requirements.

## 1. Focusing on the purpose of the Authority and on outcomes for the community and creating and implementing a vision for the local area

<b>1.1 Exercising strategic leadership by developing and clearly communicating the Authority's purpose and vision and its intended outcome for citizens and service users</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Policies etc</b>
1.1.1 Develop and promote the Authority's purpose and vision	The Council's Corporate Plan sets out our vision and priorities and also reflects the Sustainable Community Strategy which has been agreed with the Council's partners. The adoption of corporate goals to deliver on the main aims of the Corporate Plan.	Corporate Plan 2010-2016 Sustainable Community Strategy
1.1.2 Review on a regular basis the Authority's vision for the local area and its implications for the Authority's governance arrangements	The Corporate Plan is subject to periodic review. Each year the Council agrees a budget and targets for the year ahead that take into account the aspirations from the Corporate Plan and the Council's corporate goals	Corporate Plan 2010-2016 <i>(to be reviewed in 2015/16)</i> Performance Reports Budget setting reports.
1.1.3 Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners	Tendring's Sustainable Community Strategy sets out the vision for the Local Strategic Partnership which has been agreed by all partners.	Tendring Sustainable Community Strategy 2010 - 2016
1.1.4 Publish an annual report on a timely basis to communicate the Authority's activities and achievements, its financial position and performance	The Council publishes its Statement of Accounts each year by the deadlines set. The Council publishes its performance reports online. The Leader of the Council presents an Annual State of the Tendring District Statement that identifies the Council's activities and achievements over the previous year.	Performance and Budget Monitoring and Outturn Reporting, Statement of Accounts and Summary Financial Information. Annual State of The Tendring District Statement

<b>1.2 Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Polices etc</b>
1.2.1 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	The Council develops and monitors annual Corporate Performance Management Indicators relating to its high level priority projects, targets and service provision.	The Council's Constitution (Part 3)  Performance Reports
1.2.2 Put in place effective arrangements to identify and deal with failure in service delivery	<p>Management Team, Corporate Management Committee and Cabinet review performance on a regular basis and actions are instigated where appropriate.</p> <p>Each Department has a plan in place which is subject to on-going review with local performance and actions linked to the Corporate Performance Management Indicators</p> <p>A formal Complaints framework is in place.</p> <p>Business Continuity Plans are in place to ensure the Council can maintain an appropriate level of service when faced with emergencies and unexpected events.</p>	<p>Performance Reports</p> <p>Departmental Plans</p> <p>Complaints procedure</p> <p>Business Continuity Plans</p>



<b>1.3 Ensuring that the Authority makes best use of resources and that tax payers and service users receive excellent value for money</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Polices etc</b>
<p>1.3.1 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.</p>	<p>A Financial Strategy / Medium Term Financial Forecast is developed, reviewed and reported each year balancing available resources to service delivery, priorities and aspirations of the Council.</p> <p>A Capital Strategy and Asset Management Strategy set a framework for evaluating, funding and monitoring capital investment and maximising the most effective use of the Council's Assets.</p> <p>Value for money outcomes include the use of ICT, procurement and by working in partnership to deliver outcomes for all our citizens including the ongoing plans to focus resources on the economic, physical, social and environmental regeneration of the District.</p> <p>Key value for money risks are captured in the Annual Governance Statement and monitored by the Audit Committee.</p> <p>Performance and Budget Monitoring is reported to Management, Corporate Management Committee and Cabinet throughout each year.</p>	<p>Financial Strategy</p> <p>Capital Strategy and Asset Management Strategy</p> <p>Audit Committee Minutes and Agendas</p> <p>Performance and Budget Monitoring</p>
<p>1.3.2 Measure the environmental impact of policies, plans and decisions</p>	<p>Developing the Local Plan includes a requirement to appraise the sustainability and environmental effects of the proposals.</p> <p>Environmental issues are considered as part of individual project appraisals / investments decisions, whether by Cabinet or Officers.</p> <p>Where relevant, the Council's Procurement Procedure Rules require procurement to be undertaken considering how what it is proposed to be procured might improve the social value of the relevant area.</p>	<p>[Emerging] Local Plan</p> <p>Decisions</p> <p>The Council's Constitution (Part 5)</p>

## 2. Members and officers working together to achieve a common purpose with clearly defined functions and roles

<b>2. 1 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</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Policies etc</b>
2.1.1 Set out a clear statement of the respective roles and responsibilities of the Executive and of the Executive's members individually and the Authority's approach towards putting this into practice	The Council's Constitution clearly sets out these roles and responsibilities. The Constitution is reviewed regularly by the Council's Monitoring Officer, Cabinet and Council.	The Council's Constitution (Part 2)
2.1.2 Set out a clear statement of the respective roles and responsibilities of other Authority members, Members generally and of senior officers	The Council's Constitution clearly sets out these roles and responsibilities. The Constitution is reviewed regularly by the Council's Monitoring Officer, Cabinet and Council.	The Council's Constitution (Part 2)

<b>2.2 Ensuring that a constructive working relationship exists between authority members and officers and that the responsibilities of authority members and officers are carried out to a high standard.</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Polices etc</b>
2.2.1 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	A comprehensive scheme of delegated powers is contained within the Constitution including specific sections relating to the full Council, the Cabinet, Portfolio Holders and Committees. The Constitution is reviewed regularly by the Council's Monitoring Officer, Cabinet and Council.	The Council's Constitution (Part 3)
2.2.2 Make a Chief Executive or equivalent responsible and accountable to the Authority for all aspects of operational management	This is set out in the Constitution/Delegated Powers and conditions of employment. The Head of the Paid Service functions have been delegated to the Chief Executive.	The Council's Constitution (Part 2)
2.2.3 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 the roles and objectives is maintained	The respective roles and responsibilities are set out in the Constitution. As and when required, meetings are held between the Chief Executive and other senior officers and the Leader and Cabinet. Member and Officer Protocols.	The Council's Constitution (Parts 2 and 6)

<b>2.2 Ensuring that a constructive working relationship exists between authority members and officers and that the responsibilities of authority members and officers are carried out to a high standard.</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Polices etc</b>
2.2.4 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 control	The Finance and Procurement Manager has been appointed by the Authority' as its S151 Officer with associated responsibilities set out in the Constitution and in accordance with the terms and conditions of appointment.	The Council's Constitution (Part 2)
2.2.5 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	The Legal Services Manager has been appointed by the Authority as its Monitoring Officer with associated responsibilities set out in the Constitution and in accordance with the terms and conditions of appointment.	The Council's Constitution (Part 2)

<b>2.3 Ensuring relationships between the Authority, its partners and the public are clear so that each knows what to expect of the other</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Policies etc</b>
<p>2.3.1 Develop protocols to ensure effective communication between Members and officers in their respective roles</p> <p>2.3.2 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)</p>	<p>A protocol on Member / Officer relations is in place.</p> <p><u>Members</u> The terms and conditions for remuneration of Members is subject to review by an Independent Remuneration Panel, in accordance with the requirements of The Local Authorities (Members' Allowances) (England) Regulations 2003 (as amended).</p> <p>The Council's Constitution includes details of the review mechanism for the Members Allowance Scheme and the terms and conditions for remuneration of Members under the approved scheme.</p> <p><u>Officers</u> The Council has adopted the National Single Status Job Evaluation Scheme and applies nationally negotiated pay awards. Conditions of Service are contained within the Council's Staff Handbook and associated Human Resources Policies and Procedures.</p> <p>To meet the requirements of the Localism Act 2011 (Section 38) a Pay Policy Statement is produced, and approved annually by the Council</p>	<p>The Council's Constitution (Part 6) – Protocol on Member / Officer Relations</p> <p>The Council's Constitution (Part 7) – Members' Allowance Scheme</p> <p>Reports of the Independent Remuneration Panel</p> <p>Council Minutes and Agendas</p> <p>HR Policies</p> <p>Pay Policy Statement</p> <p>Council Minutes and Agendas</p>

<b>2.3 Ensuring relationships between the Authority, its partners and the public are clear so that each knows what to expect of the other</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Polices etc</b>
<p>2.3.3 Ensure that effective mechanisms exist to monitor service delivery</p> <p>2.3.4 Ensure that the organisation's vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated</p> <p>2.3.5 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>	<p>The Council develops and monitors annual Corporate Performance Management Indicators relating to its high level priority projects and targets.</p> <p>Performance is reported quarterly to the Council's Cabinet and the Corporate Management Scrutiny Committee</p> <p>Scrutiny Committees review areas of the Council's work.</p> <p>The Council's Constitution provides the framework and mechanisms for the development of the Council's vision, strategic plans, priorities and targets.</p> <p>The Council's Policy Framework includes the key strategies and policies of the Council. Reports to Cabinet on proposals relating to the Budget and the Policy Framework are required to contain details of the nature and extent of consultation with stakeholders and relevant Overview and Scrutiny Committees, and the outcome of that consultation.</p> <p>The Council's Constitution identifies consultation and participation opportunities with the local community and other key stakeholders.</p> <p>Each partner organisation has its own governance structure, code of conduct, performance management, and risk management arrangements.</p>	<p>Performance reports</p> <p>Scrutiny Committee reports</p> <p>The Council's Constitution (Part 2)</p> <p>Cabinet and Council Reports</p>

<b>2.3 Ensuring relationships between the Authority, its partners and the public are clear so that each knows what to expect of the other</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Policies etc</b>
<p>2.3.6 When working in partnership:</p> <ul style="list-style-type: none"> <li>• ensure that there is clarity about the legal status of the partnership</li> <li>• 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</li> </ul>	<p>The Council has partnership guidance in place which provides a framework to aid maximisation of outcomes from partnerships whilst ensuring that such arrangements are supported by appropriate governance arrangements.</p>	<p>Partnership Guidance</p>

### 3. Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

<b>3.1 Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Polices etc</b>
3.1.1 Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect	<p>Roles and Responsibilities are set out in the Council's Constitution.</p> <p>A Human Resources Framework is in place which includes policies / guidance on matters such as communication, harassment and bullying, stress and lone working.</p> <p>A communication strategy is in place which includes guidance on both internal and external communication.</p> <p>The Council ensures relevant information is disseminated where appropriate, by publishing minutes of meetings along with the use of the Council's website.</p> <p>The Council has embraced legislative requirements regarding transparency and openness.</p> <p>Protocols and procedures adopted by the Standards Committee contribute towards high standards of conduct and promote the seven principles of public life, including openness.</p> <p>Planning Protocol provides the public with confidence in dealing with applications.</p>	<p>The Council's Constitution (Parts 2 and 3)</p> <p>Human Resources Policies</p> <p>Communications Strategy</p> <p>Meeting minutes and agendas</p> <p>The Council's web pages</p> <p>Standards Committee Reports</p>



<b>3.1 Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Policies etc</b>
3.1.2 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	<p><u>Members</u> The Council has adopted, in accordance with the Localism Act 2011, a Standards Framework that includes arrangements for promoting and maintaining high standards of conduct by Members and dealing with complaints about Members. These arrangements include a Standards Committee to promote and maintain high standards, and a Members' Code of Conduct.</p> <p>The Standards Committee's delegated powers include advising upon the contents and requirements for codes / protocols / other procedures relating to standards of conduct throughout the Council. The Standards Committee is supported by the Council's Monitoring Officer.</p> <p><u>Officers</u> Clear guidance to employees is set out in the Council's Human Resources Policies and Procedures and the Staff Handbook.</p> <p><u>Partners and the Community</u> The Partnership Guidance adopted provides a framework regarding the governance arrangements when working in partnership</p>	<p>The Council's Constitution (Parts 3 and 6)</p> <p>Members' Code of Conduct and Procedures / Protocols</p> <p>Standards Committee – Terms of Reference</p> <p>Staff Handbook/HR Policies</p> <p>Partnership Guidance</p>

<b>3.1 Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Policies etc</b>
3.1.3 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	<p><u>Members</u> Guidance is detailed in the Members' Code of Conduct regarding what forms a disclosable interest and the effects of such an interest on participation at meetings.</p> <p>Planning Protocols also provide guidance for Members when dealing with planning applications.</p> <p>Training on both the Code of Conduct and Planning regularly delivered to Members by the Monitoring Officer</p> <p><u>Officers</u> Guidance is detailed in the Council's Staff Handbook, which forms the terms and conditions of each officer's employment.</p> <p>Related Party transactions associated with senior management are disclosed in the Council's Annual Statement of Accounts</p>	<p>Members' Code of Conduct</p> <p>Members' Register of Interests.</p> <p>Planning Protocol Training Slides</p> <p>Staff Handbook</p> <p>Registers of Officers' declarations of interest</p> <p>Annual Statement of Accounts</p>

<b>3.2 Ensuring that organisational values are put into practice and are effective</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Polices etc</b>
3.2.1 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	<p>The Members' Code of Conduct outlines the values that Councillors are expected to observe.</p> <p>The staff handbook outlines values applicable to staff.</p> <p>The Standards Committee, Overview and Scrutiny Committees and the Audit Committee are all involved in maintaining values through their respective roles.</p>	<p>Members' Code of Conduct</p> <p>Staff Handbook</p> <p>The Council's Constitution and committee reports</p>
3.2.2 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	<p>The Council's Procedure Rules provide a framework to ensure that systems and processes meet appropriate standards.</p> <p>The Council's Overview and Scrutiny Committees remit includes making reports or recommendations with respect to the discharge of any Council function.</p> <p>The Audit Committee receives reports from the Council's Internal Audit function, whose remit includes the evaluation of systems and processes of the Council and providing assurance to the committee on their operation (supported by the S151 Officer).</p>	<p>The Council's Constitution (Part 5)</p> <p>Overview and Scrutiny Committee minutes and agendas</p> <p>Audit Committee minutes and agendas</p>
3.2.3 Develop and maintain an effective Standards Committee	<p>The Council has a Standards Committee whose terms of reference include the promotion and maintenance of high standards of conduct by Members, the development of a culture of openness, transparency, trust and confidence between Members and in Member / Officer relationships and to embed a culture of strong ethical and corporate governance at all levels in the Council, and the hearing and determining of complaints regarding Members. (Supported by the Monitoring Officer).</p> <p>The minutes of the Standards Committee are received by the Council at its meetings</p>	<p>The Council's Constitution (Parts 3 and 6)</p> <p>Council, and Standards Committee, minutes and agendas</p>

<b>3.2 Ensuring that organisational values are put into practice and are effective</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Policies etc</b>
3.2.4 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	The Council's Constitution provides a framework for decision making and the Members' Code of Conduct, the Staff Handbook and the Protocol on Member / Officer Relations provide a basis for developing positive and trusting relationships within the Authority.	The Council's Constitution (Parts 2, 3, 5 and 6) Members' Code of Conduct Staff Handbook Protocol on Member / Officer Relations
3.2.5 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	The Council has partnership guidance in place which provides a framework to aid maximisation of outcomes from partnerships whilst ensuring that such arrangements are supported by appropriate governance arrangements.	Partnership Guidance

## 4. Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

<b>4.1 Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents /Strategies / Polices etc</b>
<p>4.1.1 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</p>	<p>The Council has developed Overview and Scrutiny Procedure Rules which provide a framework for the operation of its overview and scrutiny function.</p> <p>The Authority operates four Overview and Scrutiny Committees, each having terms of reference focusing on specific overview and scrutiny roles:</p> <ul style="list-style-type: none"> <li>• <b>Community Leadership and Partnerships Committee</b> To perform the functions in relation to the Council's external facing functions.</li> <li>• <b>Service Development and Delivery Committee</b> To perform the functions in relation to the policy development and implementation of the Council's services.</li> <li>• <b>Corporate Management Committee</b> To perform the functions in relation to the Council's internal facing functions.</li> <li>• <b>Education and Skills Committee</b> To support the Council's community leadership role in respect of improving the aspiration and attainment of young people in the District.</li> </ul> <p>These committees meet on a regular basis, and extraordinary meetings may be called from time to time as and when appropriate.</p>	<p>The Council's Constitution (Parts 2 and 3)</p> <p>Committee Reports and Minutes</p>

<b>4.1 Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents /Strategies / Polices etc</b>
<p>4.1.2 Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based</p>	<p>Written reports are submitted to all meetings of the full council and all Committees and Sub-Committees and all business transacted at these meetings is fully and properly minuted or recorded.</p> <p>Executive decisions are published.</p> <p>Executive decisions and the business transacted at meetings are publicly available, except for those which are private and confidential on the grounds that they contain exempt information within the meaning of Schedule 12A LGA 1972.</p> <p>The Council has produced Access To Information Procedure Rules which provide a framework regarding the right of access to information applicable to public meetings of the Council, its Cabinet and Committees / Sub-Committees.</p> <p>A Forward Plan is also published on a regular basis which sets out upcoming key decisions of the Executive or Members of the Executive. Officer decisions are also published</p>	<p>Council, Committee and Sub-Committee Minutes and Agendas</p> <p>Executive Decisions</p> <p>The Council's Constitution (Part 5)</p> <p>Forward Plan and Decisions</p>
<p>4.1.3 Put in place arrangements to safeguard Members and employees against conflicts of interest to ensure that they continue to operate in practice</p>	<p><u>Members</u> Guidance is detailed in the Members' Code of Conduct regarding what forms a disclosable interest and the effects of such an interest on participation at meetings. Declaration of interests form part of the agenda of each meeting with those declared minuted.</p> <p><u>Officers</u> Guidance is detailed in the Council's Staff Handbook, which forms the terms and conditions of each officer's employment.</p>	<p>Members' Code of Conduct</p> <p>Members' Register of Interests. Minutes of meetings.</p> <p>Staff Handbook</p> <p>Registers of Officers' declarations of interest</p>

<b>4.1 Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents /Strategies / Polices etc</b>
4.1.4 Develop and maintain an effective Audit Committee [or equivalent] which is independent of the Executive and scrutiny functions or other appropriate arrangements for the discharge of the functions of such a committee	The Council has an Audit Committee, which meets every quarter and has significant statutory and regulatory responsibilities ranging from approving the Statement of Accounts to general governance and risk management arrangements within the Council. (supported by the S151 Officer and Audit and Governance Manager)	Audit Committee Terms of Reference (see Constitution)  Audit Committee Work Plan  Audit Committee Meeting Agendas and Minutes
4.1.5 Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints	The Council has an approved complaints system that provides a framework for dealing with allegations of any failure by a Member to comply with the Members' Code of Conduct  The Council has an approved Complaints Procedure dealing with operational issues such as service delivery and maladministration.	The Council's Constitution (Part 6)  Complaints Procedure

<b>4.2 Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Polices etc</b>
4.2.1 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	Full reports are presented to decision makers with the aim of ensuring that they have all available information before them. The reports are in an agreed format to set out information/advice in a logical, consistent and clear manner including mandatory information such as financial and legal implications.	Reports to Council, Cabinet, committee and Portfolio Holders
4.2.2 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	Reports to Members are generally dispatched five clear working days before a meeting is held or a key decision made.	Council, Cabinet, committee sub-committee and Portfolio Holder reports



<b>4.3 Ensuring that an effective risk management system is in place</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Polices etc</b>
<p>4.3.1 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</p>	<p>The Audit Committee's Terms of Reference include risk management and the committee receives regular corporate risk updates.</p> <p>The Council has an approved Risk Management Framework that identifies risk management roles and responsibilities across the organisation.</p> <p>The Corporate Risk Register is subject to regular review by Management Team.</p> <p>Departmental Risk Registers are maintained for each department of the Council.</p> <p>The standard template for producing reports for consideration by the Council, its Cabinet and Committees requires risk to be considered as part of every report submitted and considered.</p> <p>Significant individual projects and schemes are subject to risk review as part of the business planning process.</p>	<p>The Council's Constitution (Part 3) - Audit Committee Terms of Reference</p> <p>Risk Management Framework</p> <p>Corporate Risk Register</p> <p>Departmental Risk Registers</p>
<p>4.3.2 Ensure that effective arrangements for whistle-blowing are in place to which officers, staff and all those contracting with or appointed by the Authority have access</p>	<p>The Council has an approved Whistleblowing Policy in place</p>	<p>Whistleblowing Policy</p>

<b>4.4 Using its legal powers to the full benefit of the citizens and communities in its area</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Polices etc</b>
4.4.1 Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine but also strive to utilise their powers to the full benefit of their communities	<p>The Council has designated the Legal Services Manager as Monitoring Officer. The functions of the Monitoring Officer are set out in the Council's Constitution and include ensuring lawfulness and fairness of decision making.</p> <p>Legal implications are contained within reports and decisions.</p>	<p>The Council's Constitution (Part 2)</p> <p>Reports and decisions</p>
4.4.2 Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on authorities by public law	<p>The functions of the Monitoring Officer are set out in the Council's Constitution and include ensuring lawfulness and fairness of decision making.</p> <p>Legal implications are contained within reports and decisions.</p>	<p>The Council's Constitution (Part 2)</p> <p>Reports and decisions</p>
4.4.3 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	<p>The functions of the Monitoring Officer are set out in the Council's Constitution and include ensuring lawfulness and fairness of decision making.</p> <p>Legal implications are contained within reports and decisions.</p>	<p>The Council's Constitution (Part 2)</p> <p>Reports and decisions</p>

## 5. Developing the capacity and capability of Members and officers to be effective

<b>5.1 Making sure that Members and officers have the skills, knowledge, experience and resources they need to perform well in their roles</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Policies etc</b>
<p>5.1.1 Provide induction programmes tailored to individual needs and opportunities for Members and officers to update their knowledge on a regular basis</p>	<p>Induction delivered for both Members and Officers.</p> <p>All Member briefings are arranged periodically to update Members along with specific training sessions organised when relevant and timely to a Committee's role or responsibility</p> <p>The remit of the Council's Standards Committee includes the training of Members on observing the Members' Code of Conduct.</p> <p>The Council's Constitution makes it mandatory that Members (and substitute Members) appointed to specified committees undertake annual training.</p> <p>A Workforce Development Strategy is in place, along with procedures to regularly review staff performance and identify training needs. Staff have access to sponsored and one off training appropriate to the needs of the post.</p> <p>The Council has achieved liP (Investors in People) Bronze Accreditation.</p>	<p>The Council's Constitution (Part 3)</p>
<p>5.1.2 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</p>	<p>The roles of statutory officers are set out in the Council's Constitution.</p> <p>The person specifications applicable to the statutory roles identify the skills and qualification requirements for each post.</p> <p>The statutory officers sit on, or have a standing invitation to attend, Management Team, in exercising their statutory roles.</p>	<p>The Council's Constitution (Part 2)</p> <p>Job Descriptions / Person Specifications</p>

<b>5.2 Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Policies etc</b>
5.2.1 Assess the skills required by Members and officers and make a commitment to develop those skills to enable roles to be carried out effectively	<p><u>Members</u> The Council's Constitution makes it mandatory that Members (and substitute Members) appointed to specified committees undertake annual training.</p> <p><u>Officers</u> Key competencies have been identified for each post and form part of the Job Description / Person Specification. Procedures are in place to regularly review the development and training needs for staff.</p>	<p>The Council's Constitution (Parts 2, 3 and 4)</p> <p>Training records and reports to Standards Committee</p> <p>Job Descriptions / Person Specifications</p>
5.2.2 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	As 5.2.1 above	<p>The Council's Constitution (Parts 2, 3 and 4)</p> <p>Job Descriptions / Person Specifications</p>
5.2.3 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	As 5.2.1 above	<p>The Council's Constitution (Parts 2, 3 and 4)</p> <p>Job Descriptions / Person Specifications</p>

<b>5.3 Encouraging new talent for membership of the Authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Polices etc</b>
5.3.1 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	<p>The Council uses a variety of engagement techniques across a large number of functions to ensure that local communities can have opportunities for involvement. These include:</p> <ul style="list-style-type: none"> <li>➤ <b>Information provision</b> - Newsletters to Council Tenants, financial information such as Council Tax leaflets, press releases and information provision via the Website</li> <li>➤ <b>Consultation</b> - both statutory such as those required as part of the Local Plan and discretionary, such as customer surveys on specific services and customer focus groups, are undertaken as appropriate. Access to current consultations is available through the Council's website.</li> <li>➤ <b>Other engagement opportunities</b> such as budget consultation and customer suggestion schemes including suggestions for work areas for Overview and Scrutiny Committees, working with Parish and Town Councils are undertaken as appropriate.</li> <li>➤ <b>Public speaking</b> – The Council allows public speaking at its Planning Committee meetings.</li> </ul> <p>The location and time of meetings open to the public is kept under ongoing review to provide opportunity for interested parties to attend.</p> <p>The Council operates a petitioning scheme.</p> <p>The Council operates a complaints procedure enabling the public to provide feedback to the Council regarding the delivery of its services.</p> <p>The Members' Allowances Scheme has been designed to recognise and address the issues faced by Members with personal circumstances such as childcare or other carers' responsibilities to ensure that they are not deterred from becoming Members of the Authority.</p> <p>Audio recording of Council meetings are available via the Council's website, and the press and public are allowed to film and report public meetings.</p>	<p>The Council's Constitution (Parts 2 and 3)</p> <p>Scheme for Dealing with Petitions Complaints Procedure</p> <p>Members' Allowances (within the Council's Constitution (Part 7))</p>

<b>5.3 Encouraging new talent for membership of the Authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Policies etc</b>
5.3.2 Ensure that career structures/development arrangements are in place for officers and Members to encourage participation and development	<p>A Workforce Development Strategy is in place</p> <p>The Council has a Human Resources Career Grade Policy which clearly sets out how career grades should be developed, monitored and assessed.</p> <p>The Council has Qualification Training and Management Development Schemes in place.</p> <p>Member training, including compulsory and ongoing training is provided to support Councillors to be effective in their roles.</p>	<p>Workforce Development Strategy</p> <p>Career Grade Policy</p>

## 6. Engaging with local people and other stakeholders to ensure robust public accountability

<b>6.1 Exercise leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Policies etc</b>
6.1.1 Make clear to themselves, all staff and the community to whom they are accountable and for what	<p>The Council's Constitution includes terms of reference which clearly identifies the remit for each Overview and Scrutiny Committee.</p> <p>The Overview and Scrutiny Procedure Rules detail the role , rules and reporting arrangements for the Overview and Scrutiny function.</p>	The Council's Constitution (Part 3)
6.1.2 Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required	<p>The Council's Overview and Scrutiny Procedure Rules make provision for attendance and participation by stakeholders and the public at meetings of the Overview and Scrutiny Committees.</p> <p>The Council's Constitution recognises the consultation and participation opportunities with institutional stakeholders.</p> <p>The Council has partnership guidance in place which provides a framework to aid maximisation of outcomes from partnerships.</p>	The Council's Constitution (Parts 2 and 5)
6.1.3 Produce an annual report on the activity of the scrutiny function	The Council's Overview and Scrutiny Procedure Rules require a report to be submitted to the Annual Meeting of the full Council providing a review of the previous year's activities of each Overview and Scrutiny Committee together with a proposed work plan for the year ahead.	<p>The Council's Constitution (Part 5)</p> <p>Minutes and Agendas for Full Council and each Overview and Scrutiny Committee</p>

<b>6.2 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, in partnership or by commissioning</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Policies etc</b>
6.2.1 Ensure clear channels of communication are in place with all sections of the community and other stakeholders, and put in place monitoring arrangements and ensure that they operate effectively	<p>The Council has an approved Communications Strategy, the purpose of which is to establish and maintain clear and relevant two-way channels of communication which is subject to regular review.</p> <p>The Council has a website in place providing not only information but also a point of contact and channel for communication which is monitored regularly.</p>	<p>Communications Strategy</p> <p>The Council's Website</p>
6.2.2 Hold meetings in public unless there are good reasons for confidentiality	<p>All meetings of the Council, Cabinet, committees and sub-committees are held in public except where items which contain confidential or exempt information are to be considered.</p> <p>The Council's Access to Information Procedure Rules set out the circumstances where exclusion of the public from meetings is necessary.</p>	<p>The Council's Constitution (Part 5)</p>
6.2.3 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	<p>The Council is committed to effective consultation and engagement with our communities. Consultation activities are regularly assessed to ensure that they reach all sectors of the community and that they contribute to service improvement and represent value for money.</p> <p>Information is analysed where necessary to provide the Council with information about the different priorities for improvement for different communities within the District.</p> <p>The Council has in place an equality arrangements recognising the needs of different groups</p>	



<b>6.2 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, in partnership or by commissioning</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Polices etc</b>
6.2.4 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	The Council regularly reviews its consultation programme to ensure that it remains meaningful, key areas of consultation including the Council's budget and the Local Council Tax Support Scheme. Outcomes from such consultations are included in Member / officer reports that are available on the Council's website.	Council, Cabinet, Committee, Sub-Committee Agendas and Minutes
6.2.5 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	<p>The Council's Constitution requires the development of annual Corporate Performance Indicators for proposal to full Council. Reports on performance are produced quarterly.</p> <p>The Council publishes its Statement of Accounts Annually, providing information regarding its financial performance.</p> <p>The Leader of the Council presents an Annual State of the Tendring District Statement that identifies the Council's activities and achievements over the previous year.</p>	<p>The Council's Constitution (Part 3)</p> <p>Performance Reports</p> <p>Statement of Accounts</p> <p>State of Tendring Statement</p>

<b>6.2 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, in partnership or by commissioning</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Policies etc</b>
6.2.6 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	<p>The Council sets out its approach to communication to the community and service users in its Communications Strategy.</p> <p>There are regular press releases to inform the public published on the Council's website.</p> <p>Freedom of Information requests are dealt with in accordance with relevant rules and regulations.</p> <p>The Council has a Publication Scheme that sets out the information that the Council makes available, in accordance with statutory requirements.</p> <p>The Council publishes transparency data, in excess of its requirements, on the Council website, and aims to organise such information on its website by providing a clear path to it in a logical and accessible way.</p>	<p>Communications Strategy</p> <p>Website</p> <p>Publications Scheme</p> <p>Transparency Data Reports</p>

<b>6.3 Making best use of Human Resources by taking an active and planned approach to meet responsibility to staff</b>		
<b>Principles</b>	<b>How is the Council Achieving this?</b>	<b>Associated Documents / Strategies / Policies etc</b>
6.3.1 Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making	The Council has policies and procedures in place to ensure that staff and trade unions are fully involved in decision making affecting their employment.	Human Resources Policies