



# Code of Corporate Governance

<b>Date</b>	16 June 2014
<b>Version</b>	1.1 – annual update

## Principle 1: Focussing on the purpose of the Authority and on the outcomes for the community, and creating and implementing a vision for the local area

### 1.1 Supporting Principle: Exercising Strategic Leadership by developing and clearly communicating the Authority's purpose and vision and its intended outcome for citizens and service users

#### Evaluation Key

1. Not compliant with local code requirements
2. Partially compliant with local code requirements
3. Fully compliant with local code requirements
4. Exceeds the requirements of the local code

Local Code	Demonstrating Compliance	Responsible	Evaluation 12/13 13/14	Lead Officer
<b>1.1.1 Develop and promote the Authority's purpose and vision</b>	The Council's strategic objectives are reflected in the <a href="#">Corporate Plan</a> and <a href="#">Single Outcome Agreement</a>  Corporate Plan and Single Outcome Agreement approved by Council and published on the Council's website	Chief Executive/ ED – Customer	3 3	Head of I and HR
	Clear terms of reference are set for the preparation of service plans in the <a href="#">Planning and Performance Management Framework</a> to ensure fit with the <a href="#">Corporate Plan</a> .  <a href="#">Service Plans</a> clearly reflect corporate objectives	Chief Executive/ Executive Directors	3 3	All Service Heads
	Documented meetings have taken place to discuss key objectives in <a href="#">Corporate</a> and <a href="#">Service Plans</a>	Chief Executive	3 3	Executive Directors
	A <a href="#">Communications Strategy</a> has been implemented.  Public Performance Reporting Strategy has been implemented.. <a href="#">Public performance reporting strategy</a>	Chief Executive	3 3	Head of I and HR
	<b>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</b>	Local Code of Corporate Governance has been developed in line with CIPFA/SOLACE guidelines	ED – Customer	3 3

	Annual review of the <a href="#">Corporate Plan</a>	Chief Executive/ ED - Customer	3	3	Head of I and HR
	Annual review of <a href="#">Service Plans</a>	Executive Directors	3	3	All Service Heads
<b>1.1.3 Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners</b>	Develop a corporate framework for all partnerships within the CPP  Updated Partnership Agreement approved for the Community Planning Partnership.	Chief Executive	3	3	Head of C & C
<b>1.1.4 Publish an Annual Report on a timely basis to communicate the Authority's activities and achievements, its financial position and performance</b>	Prepare and publish an <a href="#">Annual Report</a>	Chief Executive/ ED - Customer	3	3	Head of I and HR
	Prepare and publish <a href="#">Statutory/Defined Performance Indicator Report</a>	Chief Executive/ ED - Customer	3	3	Head of I and HR
	Prepare and publish <a href="#">Annual Accounts</a> and <a href="#">Efficiency Statements</a>	Chief Executive	3	3	Head of SF

## 1.2 Supporting Principle: Ensuring that users receive a high quality of service whether directly, in partnership, or by commissioning

Local Code	Demonstrating Compliance	Responsible	Evaluation 12/13	13/14	Lead Officer
<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</b>	A <a href="#">robust performance management system</a> has been developed which enables all operations to be reported on in terms of meeting performance standards targets and levels of customer satisfaction and linked to PSIF	Chief Executive/ ED - Customer	3	3	Head of I and HR
	Prepare and publish <a href="#">Statutory/Defined Performance Indicator Report</a> .	Chief Executive/ ED - Customer	3	3	Head of I and HR
	Documented meetings have taken place to discuss performance at service level  <a href="#">PRS Committee</a>	Chief Executive/ Leader	3	3	Executive Directors / Members
<b>1.2.2 Put in place effective arrangements to identify and deal with failure in service delivery</b>	An <a href="#">Audit Committee</a> has been established. Terms of Reference include governance and risk in addition to financial matters.	ED – Customer	3	3	Head of G and L

	<a href="#">Audit Committee meetings</a> <a href="#">Part D of Constitution</a>  Performance, Review and Scrutiny Committee has also been established <a href="#">PRS Committee</a>			
	The Council is proactive in reviewing its services through the internal audit team and external auditors  Internal Audit Plan in place	Chief Executive	3 3	Head of SF
	The Council has a formally established <a href="#">complaints policy and procedure</a>  <a href="#">Complaints procedure web</a>  Unified approach to complaints handling across the organisation with a common point of entry.  Staff have been trained in dealing with complaints and empowered and supported to deal with complaints	ED – Customer	3 3	Head of G and L
	The complaints system records actions taken to prevent complaints recurring, and evidence that complaints inform positive service improvement. Regular testing of the complaints handling system to ensure it meets consumer needs and expectations	ED – Customer	3 3	Head of G and L
	The Council has in place robust Critical Activity Recovery Plans for its identified critical activities which are subject to regular review and testing	ED - Customer	3 3	Head of G and L

### 1.3 Supporting Principle: Ensuring that the Authority makes best use of resources and that tax payers and service users receive excellent value for money

Local Code	Demonstrating Compliance	Responsible	Evaluation 12/13 13/14	Lead Officer
<b>1.3.1 Decide how value for money (VFM) is to be measured and make sure the Authority has the information needed to review VFM and performance effectively. Measure the environmental impact of policies, plans and decisions.</b>	Best Value Reviews of Council services to ensure best value principles adhered to  Benchmarking: comparing economy, efficiency and effectiveness of services through our involvement in the Local Government Benchmarking Framework <a href="#">benchmarking framework</a>	Chief Executive	3 3	All Directors
	A <a href="#">robust performance management system</a> has been developed which enables all operations to be reported on in terms of meeting performance standards targets and levels of customer satisfaction and linked to PSIF	Chief Executive/ ED - Customer	3 3	Head of I and HR
	The authority responds positively to and acts upon the findings and recommendations of external scrutiny  <a href="#">Audit Scotland Report and action plan</a>	Chief Executive	3 3	Chief Executive
	The Council is proactive in reviewing its services through the internal audit team and external auditors  <a href="#">Audit Committee</a>	SMT Audit Committee	3 3	Head of SF
	Prepare and publish <a href="#">Annual Accounts</a> and <a href="#">Efficiency Statements</a>	Chief Executive	3 3	Head of SF
	Prepare and publish <a href="#">Statutory/Defined Performance Indicator Report</a>	Chief Executive/ ED - Customer	3 3	Head of I and HR

## Principle 2: Members and Officers working together to achieve a common purpose with clearly defined functions and roles

**2.1 Supporting Principle: Ensuring effective leadership throughout the authority and being clear about executive and non-executive functions, and the roles and responsibilities of the scrutiny function**

### Evaluation Key

1. Not compliant with local code requirements
2. Partially compliant with local code requirements
3. Fully compliant with local code requirements
4. Exceeds the requirements of the local code

Local Code	Demonstrating Compliance	Responsible	Evaluation 12/13 13/14	Lead Officer
<b>2.1.1 Set out a clear statement of the respective roles and responsibilities of Members generally and of senior officers</b>	Statement of roles of Leader and Chief Executive included within the Council Constitution and will be reviewed annually. <a href="#">Part A of Constitution</a>	ED – Customer	3 3	Head of G and L
	The Council Constitution includes Standing Orders for Meetings, Scheme of Administration and Delegations, and an Ethical Framework <a href="#">Constitution</a>	ED – Customer	3 3	Head of G and L
	Local Code of Corporate Governance developed in line with CIPFA/SOLACE guidelines	ED – Customer	3 3	Head of G and L
	Updated Partnership Agreement approved for the Community Planning Partnership.	Chief Executive	3 3	Head of C and C

## 2.2 Supporting Principle: Ensuring that a constructive working relationship exists between the authority members and officers, and that the responsibilities of members and officers are carried out to a high standard

Local Code	Demonstrating Compliance	Responsible	Evaluation 12/13 13/14	Lead Officer
<b>2.2.1 Determine a scheme of delegation and reserve powers within the constitution, including a formal scheme on 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.</b>	The Council Constitution includes Standing Orders for Meetings, Scheme of Administration and Delegations, and an Ethical Framework <a href="#">Constitution</a>	ED – Customer	3 3	Head of G and L
	There are Terms of Reference and reporting arrangements for all sub-committees of the Authority <a href="#">Part C of Constitution</a>	ED – Customer	3 3	Head of G and L
<b>2.2.2 Make the Chief Executive responsible and accountable to the authority for all aspects of operational management.</b>	Responsibilities of Chief Executive detailed within Council Constitution <a href="#">Part A of Constitution</a>	ED – Customer	3 3	Head of G and L
<b>2.2.3 Make a senior officer (the Section 95 Officer) responsible to the authority for ensuring that appropriate advice is given for all financial matters, for keeping proper financial records and accounts, and for maintaining effective systems of internal financial control.</b>	Section 95 Officer role identified in the Council Constitution and included as a member of the Strategic Management Team <a href="#">Part A of Constitution</a>	Chief Executive ED – Customer	3 3	Head of SF
	Standing Orders and financial regulations contained in the Council Constitution <a href="#">Constitution</a>	ED – Customer	3 3	Heads of G and L C and S SF
	<a href="#">Council Accounts</a> comply with statutory and professional reporting standards and are prepared and approved in accordance with a preset timetable <a href="#">Part D of Constitution</a>	Chief Executive	3 3	Head of SF
<b>2.2.4 Make a senior officer responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with.</b>	Senior Officer designated as Monitoring Officer. Role and responsibilities set out in the Council Constitution taking account of comments from Audit Scotland report. <a href="#">Constitution</a>  Monitoring Officer Protocol in place <a href="#">Audit Scotland report and action plan</a>	ED – Customer	3 3	ED – Customer

### 2.3 Supporting Principle: Ensuring relationships between the authority, its partners and the public are clear so that each other knows what to expect of the other

Local Code	Demonstrating Compliance	Responsible	Evaluation 12/13 13/14	Lead Officer
<b>2.3.1 Develop protocols to ensure effective communication between members and officers in their respective roles</b>	<p>Protocols for Member / Officer relations detailed in the Council Constitution.</p> <p>The Council has fully endorsed the Councillor's Code of Conduct introduced under the Standards In Public Life etc (Scotland) Act 2000 and has provided a copy of the Code to all Members  <a href="#">Part F of Constitution</a></p> <p>Recommendations in Audit Scotland Report approved and Action Plan agreed</p> <p>Monitoring Officer Protocol in place</p> <p><a href="#">Audit Scotland Report and action plan</a></p>	ED – Customer	3 3	Head of G and L
<b>2.3.2 Ensure that an established scheme for remuneration of members and officers and an effective structure for managing the process including an effective remuneration panel (if applicable) are in place.</b>	<p>Structured pay scales reflecting competence for Officers; Core Conditions of Service for Officers  <a href="#">Core conditions of service</a></p> <p>Scheme for Member remuneration and allowances.  <a href="#">Part F of Constitution</a></p>	Chief Executive/ ED – Customer	3 3	Head of I and HR
<b>2.3.3 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.</b>	<p>Updated Partnership Agreement approved for the Community Planning Partnership.</p> <p>Reference within Councillor Code of Conduct to partnership working</p>	Chief Executive	3 3	Head of C and C



## Principle 3: Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

### 3.1 Supporting Principle: Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance

#### Evaluation Key

1. Not compliant with local code requirements
2. Partially compliant with local code requirements
3. Fully compliant with local code requirements
4. Exceeds the requirements of the local code

Local Code	Demonstrating Compliance	Responsible	Evaluation 12/13 13/14	Lead Officer
<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.</b>	Recommendations in Audit Scotland Report approved and Action Plan agreed.  <a href="#">Audit Scotland Report and action plan</a>	ED – Customer	n/a 2	Head of G and L
	The Council Constitution contains Standing Orders for meetings, a Scheme of Administration and Delegations, an Ethical Framework and a Code of Conduct <a href="#">Constitution</a>		3 3	
	Council business only held in private if required by legislation	ED – Customer	3 3	Head of G and L
	The Council has a formally established complaints policy and procedure. <a href="#">Complaints procedure</a>  <a href="#">Complaints procedure web</a>	ED – Customer	3 3	Head of G and L
	Minutes and Committee reports are published on the Council's website <a href="#">mod.gov</a>	ED – Customer	3 3	Head of G and L
	Compliance with the Data Protection and Freedom of Information Acts  <a href="#">FOI and DP</a>	ED – Customer	3 3	Head of G and L

<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.</b>	<p>Protocols for Member / Officer relations detailed in the Council Constitution.</p> <p>The Council has fully endorsed the Councillor's Code of Conduct introduced under the Standards In Public Life etc (Scotland) Act 2000 and has provided a copy of the Code to all Members <a href="#">Part F of Constitution</a></p>	ED – Customer	3 3	Head of G and L
<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.</b>	<p>Council Constitution contains the Councillors Code, Audit Committee Terms of Reference, guidelines on the conduct of employees, protocol on Member / Officer relations, Public Interest Disclosure Policy <a href="#">Constitution</a></p> <p>Register of Members Interests is maintained <a href="#">Form issued to Members</a></p>	ED – Customer	3 3	Head of G and L
		ED – Customer	3 3	Head of G and L

### 3.2 Supporting Principle: Ensuring that organisational values are put into practice and are effective

Local Code	Demonstrating Compliance	Responsible	Evaluation 12/13 13/14	Lead Officer
<b>3.2.1 Develop and maintain shared values for both the organisation and staff reflecting public expectations, and communicating these with members, staff, the community and partners</b>	<p>The Council's strategic objectives are reflected in the <a href="#">Corporate Plan</a> and <a href="#">Single Outcome Agreement</a></p> <p>Corporate Plan and Single Outcome Agreement approved by Council and published on the Council's website</p>	Chief Executive	3 3	Head of I and HR
<b>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.</b>	<p>The Council Constitution includes Standing Orders for Meetings, Scheme of Administration and Delegations, and an Ethical Framework <a href="#">Constitution</a></p> <p>The Council Constitution contains the Councillors Code, Audit Committee Terms of Reference, guidelines on the conduct of employees, protocol on Member / Officer relations, Public Interest Disclosure Policy <a href="#">Constitution</a></p>	ED – Customer	3 3	Head of G and L
		ED – Customer	3 3	Head of G and L

## Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and risk

### 4.1 Supporting Principle: Being rigorous and transparent about how decisions are taken, and listening and acting on the outcome of constructive scrutiny

#### Evaluation Key

1. Not compliant with local code requirements
2. Partially compliant with local code requirements
3. Fully compliant with local code requirements
4. Exceeds the requirements of the local code

Local Code	Demonstrating Compliance	Responsible	Evaluation 12/13 13/14	Lead Officer
<b>4.1.1 Develop and maintain an effective scrutiny function which encourages constructive challenges and enhances the authority's performance overall and that of any organisation for which it is responsible.</b>	The role of scrutiny has been established through a scheme of delegation and committee structures. <a href="#">Part C of Constitution</a>  Performance, Review and Scrutiny Committee has also been established	ED – Customer	3 3	Head of G and L
<b>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.</b>	Minutes and Committee reports are published on the Council's website <a href="#">mod.gov</a>	ED – Customer	3 3	Head of G and L
	Council business only held in private if required by legislation	ED – Customer	3 3	Head of G and L
<b>4.1.3 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.</b>	Protocols of Member / Officer relations detailed in the Council Constitution <a href="#">Part F of Constitution</a>	ED – Customer	3 3	Head of G and L
	Protocols for Member / Officer relations detailed in the Council Constitution. The Council has fully endorsed the Councillor's Code of Conduct introduced under the Standards In Public Life etc (Scotland) Act 2000 and has provided a copy of the Code to all Members <a href="#">Part F of Constitution</a>	ED – Customer	3 3	Head of G and L
	The Council Constitution contains the Councillors Code, Audit Committee Terms of Reference, guidelines on the conduct of employees, protocol on Member / Officer relations, Public Interest Disclosure Policy <a href="#">Constitution</a>	ED – Customer	3 3	Head of G and L

	Register of Members Interests is maintained <a href="#">Form issued to Members</a>	ED – Customer	3	3	Head of G and L
	The Council Constitution contains Standing Orders relating to Contracts <a href="#">Part E of Constitution</a>	ED – Customer	3	3	Heads of G and L C and S, SF
<b>4.1.4 Develop and maintain an effective audit committee (or equivalent) which is independent of the executive and scrutiny functions or make other arrangements for the discharge of the functions of such a committee.</b>	An Audit Committee has been established. Terms of Reference include governance and risk in addition to financial matters. Performance, Review and Scrutiny Committee in place. <a href="#">Audit Committee meetings</a> <a href="#">Part D of Constitution</a>	ED – Customer	3	3	Head of G and L

#### 4.2 Supporting Principle: Having good-quality information, advice and support to ensure that services are delivered effectively and are what the community wants / needs

Local Code	Demonstrating Compliance	Responsible	Evaluation 12/13	13/14	Lead Officer
<b>4.2.1 Ensure that those making decisions are provided with information that is fit for purpose, relevant, timely, and gives clear explanations of technical issues and their implications.</b>	Relevant information available to decision makers	Executive Directors	3	3	Executive Directors
<b>4.2.2 Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and is used appropriately.</b>	Relevant advice and information available to decision makers	Executive Directors	3	3	Executive Directors

### 4.3 Supporting Principle: Ensuring that an effective risk management system is in place

Local Code	Demonstrating Compliance	Responsible	Evaluation 12/13 13/14	Lead Officer
<p><b>4.3.1 Ensuring 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.</b></p>	<p>A risk based approach is a key component of the Council's approach to <a href="#">planning and performance management</a> (Service Planning process requires identification of associated risks. Budget Monitoring process is risk based where a number of criteria are used to classify risk category of particular cost centres.)</p>	Chief Executive	3 3	Head of SF
	<p><a href="#">Strategic and Operational Risk</a> management procedures and processes in place</p> <p>The Strategic Risk Register has been reviewed in detail and was reported to Council in June 2013</p> <p><a href="#">June report to Council</a></p> <p>Reports to Performance Review and Scrutiny Committee on a quarterly basis during 2013-14.</p> <p><a href="#">Reports to PRS</a></p> <p>Operational risk registers are maintained and a summary report submitted to SMT each quarter.</p> <p><a href="#">Operational Risk Registers</a></p> <p>The Council is a member of the CIPFA benchmarking club for risk management.</p>	Chief Executive	3 3	Head of SF
	<p>Appropriate training on risk management is provided to Members and Officers.</p> <p><a href="#">Risk Management Training</a></p>	Chief Executive	3 3	Head of SF

	Key documents to underpin the approach to risk management include a Risk Management Policy Statement and Risk Management Guidance.	Chief Executive	3	3	Head of SF
	The Strategic Risk Group has a role to oversee the effectiveness of risk management.	Chief Executive	3	3	Head of SF
	Progress reports on the development of risk management have been submitted to the Audit Committee during the year. This includes commissioning a separate audit of risk management.  <a href="#">Audit Committee Reports</a>	ED – Customer	3	3	Head of G and L
<b>4.3.2 Ensure that arrangements are in place for whistle-blowing to which staff and all those contracting with the authority have access.</b>	Whistle blowing policy Public Interest Disclosure Policy in Council Constitution <a href="#">Part D of Constitution – anti-fraud strategy, including public interest disclosure policy</a>	ED – Customer	3	3	Head of G and L

#### 4.4 Supporting Principle: Using their legal powers to the full benefit of the citizens and communities in their area

Local Code	Demonstrating Compliance	Responsible	Evaluation 12/13	13/14	Lead Officer
<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 powers to the full benefit of their communities.</b>	Council Constitution reflects the legal requirements placed upon the authority <a href="#">Constitution</a>	ED – Customer	3	3	Head of G and L
	Statutory Plans, for example Local Plan <a href="#">local plan</a>	ED – D and I	3	3	Head of P and R
	Senior Officer designated as Monitoring Officer. Role and responsibilities set out in the Council Constitution. <a href="#">Constitution</a>	ED – Customer	3	3	ED – Cus S

<b>4.4.2 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</b>	Training provided to relevant Members and Officers in areas of identified need, for example Planning and Licensing matters <a href="#">Members' Seminars</a>	ED – Customer	3	3	Head of G and L
	Advice from the Council's Chief Legal Officer or their nominated Officer is available at all decision making meetings  Legal advice is available to all departments from the Council's Legal Services department	ED – Customer	3	3	Head of G and L
<b>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.</b>	Council Constitution reflects the legal requirements placed upon the Council <a href="#">Constitution</a>	ED – Customer	3	3	Head of G and L
	Senior Officer designated as Monitoring Officer. Roles and responsibilities set out in the Council Constitution <a href="#">Constitution</a>	ED – Customer	3	3	ED – Customer

## Principle 5: Developing the capacity and capabilities of members and officers to be effective

5.1 Supporting Principle: Making sure that members and officers have the skills, knowledge and experience, and resources they need to perform their roles well	<b>Evaluation Key</b> 1. Not compliant with local code requirements 2. Partially compliant with local code requirements 3. Fully compliant with local code requirements 4. Exceeds the requirements of the local code			
Local Code	Demonstrating Compliance	Responsible	Evaluation 12/13 13/14	Lead Officer
<b>5.1.1 Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis.</b>	<a href="#">Induction training</a> provided to all new Elected Members	ED – Customer	3 3	Head of G and L
	The Council has fully endorsed the Councillor’s Code of Conduct introduced under the Standards In Public Life etc (Scotland) Act 2000 and has provided a copy of the Code to all Members <a href="#">code of conduct</a>  Members code of conduct – constitution	ED – Customer	3 3	Head of G and L
	<a href="#">Corporate Induction Programme</a> in place for all new employees	ED – Customer	3 3	Head of I and HR
	<a href="#">Development and performance review process</a> in place for eligible employees, with training and development plans	ED – Customer	3 3	Head of I and HR
<b>5.1.2 Ensure that statutory officers have the skills, resources and support necessary to perform actively in their roles and that these roles are properly understood throughout the authority.</b>	<a href="#">Development and performance review process</a> in place for eligible employees, with training and development plans	ED – Customer	3 3	Head of I and HR
	Job descriptions and Person Specifications in place for employees	ED – Customer	3 3	Head of I and HR



## 5.2 Supporting Principle: Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group

Local Code	Demonstrating Compliance	Responsible	Evaluation 12/13 13/14	Lead Officer
<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.</b>	Development and performance review process in place for eligible employees, with training and development plans <a href="#">PRD process</a>  <a href="#">PRD process Members</a>	ED – Customer	3 3	Head of I and HR
	Training provided to relevant Members and Officers in areas of identified need, for example Planning and Licensing matters  <a href="#">Members' Seminars</a>  Council has signed up to Improvement Service CPD Framework  <a href="#">IS CPD Framework</a>	ED – Customer	3 3	Heads of I and HR G and L
<b>5.2.2 Develop skills on a continuing basis to improve the performance, including the ability to scrutinise and challenge and to recognise when outside advice is needed.</b>	Development and performance review process in place for eligible employees, with training and development plans <a href="#">PRD process</a>  <a href="#">PRD process Members</a>	ED – Customer	3 3	Head of I and HR
	Training provided to relevant Members and Officers in areas of identified need, for example Planning and Licensing matters <a href="#">Members' Seminars</a>  Council has signed up to Improvement Service CPD Framework  <a href="#">IS CPD Framework</a>	ED – Customer	3 3	Heads of I and HR G and L

	An Audit Committee has been established. Terms of Reference include governance and risk in addition to financial matters. <a href="#">Audit Committee meetings</a> <a href="#">Part D of Constitution</a>	ED – Customer	3	3	Head of G and L
<b>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.</b>	An Audit Committee has been established. Terms of Reference include governance and risk in addition to financial matters. <a href="#">Audit Committee meetings</a> <a href="#">Part D of Constitution</a>	ED – Customer	3	3	Head of G and L
	Development and performance review process in place for eligible employees, with training and development plans <a href="#">PRD process</a>  <a href="#">PRD process Members</a>  Council has signed up to Improvement Service CPD Framework  <a href="#">IS CPD Framework</a>	ED – Customer	3	3	Head of I and HR
	Training provided to relevant Members and Officers in areas of identified need, for example Planning and Licensing matters <a href="#">Members' Seminars</a>	ED – Customer	3	3	Heads of I and HR G and L

### 5.3 Supporting Principle: Encouraging new talent so that best use can be made of individuals skills and resources in balancing continuity and renewal

Local Code	Demonstrating Compliance	Responsible	Evaluation 12/13 13/14	Lead Officer
<b>5.3.1 Ensure that effective arrangements are in place designed to encourage individuals from all section of the community to engage with, contribute to and participate in the work of the Authority.</b>	<a href="#">Community and Employee engagement</a> activity	Chief Executive	3 3	Executive Directors

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

6.1 Supporting Principle: Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships	<b>Evaluation Key</b> 1. Not compliant with local code requirements 2. Partially compliant with local code requirements 3. Fully compliant with local code requirements 4. Exceeds the requirements of the local code				
Local Code	Demonstrating Compliance	Responsible	Evaluation 12/13 13/14		Lead Officer
6.1.1 Clearly defined lines of accountability	Public Performance Reporting Strategy <a href="#">Communications Strategy</a> ; <a href="#">Community and Employee engagement</a>	Chief Executive/ ED – Customer	3	3	Head of I and HR
	The Council's strategic objectives are reflected in the <a href="#">Corporate Plan</a> and <a href="#">Single Outcome Agreement</a>  Corporate Plan and Single Outcome Agreement approved by Council and published on the Council's website	Chief Executive/ ED – Customer	3	3	Head of I and HR
6.1.2 Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required.	Ability to communicate with discrete groups in an appropriate manner	Chief Executive	3	3	Executive Directors
6.1.3 Produce an annual report on the activity of the scrutiny function.	Annual Audit Committee report	Chief Executive	3	3	Head of SF

## 6.2 Supporting Principle: Taking an active and planned approach to dialogue with, and accountability to, the public to ensure effective and appropriate service delivery whether directly by the authority or in partnership

Local Code	Demonstrating Compliance	Responsible	Evaluation 12/13 13/14	Lead Officer
<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 to ensure that they operate effectively.</b>	Ability to communicate with all groups in an appropriate manner <a href="#">Social Media Policy</a>	ED – Customer	3 3	Head of I and HR
<b>6.2.2 Hold meetings in public unless there are good reasons for confidentiality</b>	Minutes and Committee reports are published on the Council's website <a href="#">mod.gov</a>	ED – Customer	3 3	Head of G and L
	Council business only held in private if required by legislation	ED – Customer	3 3	Head of G and L
	Compliance with the Data Protection and Freedom of Information Acts	ED – Customer	3 3	Head of G and L
<b>6.2.3 Ensure that arrangements are in place to enable the authority to engage with all sectors of the community effectively. These arrangements should recognise that different sections of the community have different priorities and established explicit processes for dealing with these competing demands.</b>	Ability to communicate with discrete groups in an appropriate manner	Chief Executive	3 3	Executive Directors
<b>6.2.4 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 satisfaction of service users in the previous period.</b>	The Council's strategic objectives are reflected in the <a href="#">Corporate Plan</a> and <a href="#">Single Outcome Agreement</a>  Corporate Plan and Single Outcome Agreement approved by Council and published on the Council's website	Chief Executive/ ED – Customer	3 3	Head of I and HR
	Prepare and publish <a href="#">Annual Accounts</a> and <a href="#">Efficiency Statements</a>	Chief Executive	3 3	Head of SF
	Prepare and publish an <a href="#">Annual Report</a>	Chief Executive/ ED – Customer	3 3	Head of I and HR
	Prepare and publish <a href="#">Statutory/Defined Performance Indicator Report</a>	ED – Customer	3 3	Head of I and HR

<b>6.2.5 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.</b>	Minutes and Committee reports are published on the Council's website <a href="#">mod.gov</a>	ED – Customer	3	3	Head of G and L
	Council business only held in private if required by legislation	ED – Customer	3	3	Head of G and L
	Compliance with the Data Protection and Freedom of Information Acts  <a href="#">FOI and DP</a>	ED – Customer	3	3	Head of G and L

### 6.3 Supporting Principle: Making best use of human resources by taking an active and planned approach

Local Code	Demonstrating Compliance	Responsible	Evaluation 12/13 13/14		Lead Officer
<b>6.3.1 Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making.</b>	The Council has in place an Employee Joint Consultative Committee (EJCC) <a href="#">Minutes of EJCC</a>	ED – Customer	3	3	Head of I and HR
	Development and performance review process in place for all employees, with training and development plans <a href="#">PRD process employees</a>  <a href="#">PRD Process Members</a>	ED – Customer	3	3	Head of I and HR
	Mechanisms and processes are in place for communication and engagement with employees <a href="#">The Hub – news – cascade</a>	ED – Customer	3	3	Head of I and HR
<b>6.3.2 Planned approach to securing a workforce for the future</b>	The Council has in place strategies for the <a href="#">Recruitment and Retention</a> of employees	ED – Customer	3	3	Head of I and HR