

## CODE OF CORPORATE GOVERNANCE 2018/19

<b>Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code</b> (1– not; 2– partial; 3–fully)	<b>Further Action Required</b>
<b>1. Behaving with integrity</b>	1.1 Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation	<ul style="list-style-type: none"> <li>• Code of Conducts for Members, Employees, and IJB members</li> <li>• Local protocol for councillor/employee relations</li> <li>• Members' Induction</li> <li>• Council Values</li> <li>• Performance Review and Development</li> <li>• Register of interests</li> </ul>	3	
	1.2 Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles)	<ul style="list-style-type: none"> <li>• Council Values</li> <li>• HR notices and policies</li> <li>• Customer Care standards</li> <li>• Council website</li> <li>• Communications Strategy</li> <li>• Vision for the future strategy (our plan of Change and Organisational Development)</li> <li>• Citizens' panel findings on demonstrating council values</li> </ul>	3	
	1.3 Leading by example and using these standard operating principles or values as a framework for decision making and other actions	<ul style="list-style-type: none"> <li>• Minutes of meetings and web castings</li> <li>• Council Standing Orders</li> <li>• Scheme of Administration</li> <li>• Scheme of delegated functions</li> <li>• Council values</li> </ul>	3	

<b>Principle A continued</b>				
<b>Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law</b>				
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	1.4 Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively	<ul style="list-style-type: none"> <li>• HR notices and policies</li> <li>• Social Media Policy &amp; Media Protocol</li> <li>• Anti-fraud and Bribery strategy</li> <li>• Register of interests</li> <li>• Complaints policy, procedure &amp; report</li> <li>• Unacceptable Actions Policy (updated 2018)</li> <li>• Code of Conducts for Members, Employees, and IJB members</li> <li>• Local protocol for councillor/employee relations</li> <li>• Council Values</li> <li>• Leadership Competencies</li> <li>• Management &amp; Leadership Development Programmes</li> </ul>	3	
<b>2. Demonstrating strong commitment to ethical values</b>	2.1 Seeking to establish, monitor and maintain the organisation's ethical standards and performance	<ul style="list-style-type: none"> <li>• Minutes of Committee meetings</li> <li>• Council Standing Orders</li> <li>• Audit and Scrutiny Committee chaired by opposition group on Council</li> <li>• Scheme of Administration</li> <li>• Scheme of delegated functions</li> <li>• Audit and Scrutiny Committee – Report on activity 2012-2017</li> </ul>	3	

<b>Principle A continued</b>				
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<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code</b> (1 – not; 2 – partial; 3 – fully)	<b>Further Action Required</b>
	2.2 Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation	<ul style="list-style-type: none"> <li>• Members' Induction</li> <li>• Code of Conducts for Members, Employees and IJB members</li> <li>• Scheme of delegated functions</li> <li>• Council Values</li> <li>• Leadership Competencies</li> </ul>	3	
	2.3 Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values	<ul style="list-style-type: none"> <li>• HR notices and policies</li> <li>• Contract Standing Orders</li> <li>• Performance Review and Development</li> <li>• Chief Executive performance review meetings</li> <li>• Recruitment and Selection Code of Practice</li> <li>• Discipline &amp; Grievance procedures</li> <li>• Corporate Procurement Strategy</li> </ul>	3	
	2.4 Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with high ethical standards expected by the organisation	<ul style="list-style-type: none"> <li>• Code of Conducts for Members, Employees and IJB members</li> <li>• Contract Standing Orders</li> <li>• General Conditions of Purchase</li> <li>• Corporate Procurement Strategy</li> <li>• Integration scheme for ER HSCP</li> <li>• Culture and Leisure Trust – Transfer of Services Agreement and Articles of Association</li> </ul>	3	
<b>3. Respecting the rule of law</b>	3.1 Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations.	<ul style="list-style-type: none"> <li>• Scheme of Administration</li> <li>• Council Values</li> <li>• Contract Standing Orders</li> <li>• Adherence to Local Government in Scotland Act</li> <li>• Other statutory provision (e.g. planning legislation, placing requests, FOI )</li> <li>• Role of Monitoring Officer</li> <li>• Financial Regulations</li> </ul>	3	

<b>Principle A cont: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code</b> (1 – not; 2 – partial; 3 – fully)	<b>Further Action Required</b>
	3.2 Creating the conditions to ensure that the statutory officers, other key post holders and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements	<ul style="list-style-type: none"> <li>• Code of Conducts for Members, Employees and IJB members</li> <li>• Scheme of delegated functions</li> <li>• Job descriptions</li> <li>• Financial regulations</li> <li>• Compliant with CIPFA Statement on role of Chief Financial Officer</li> <li>• Council Standing Orders</li> <li>• Head of Accountancy acts as an advisor to the Audit &amp; Scrutiny Committee</li> <li>• 0.5FTE resource secured to support scrutiny activity</li> </ul>	3	Essential Scrutiny Skills Programme developed for elected members and will run over 2018/19 with a completion date of March 2019. Eamonn Daly, Linda Hutchison & Pauline Cameron.
	3.3 Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders	<ul style="list-style-type: none"> <li>• Legal files and emails</li> <li>• ODP</li> </ul>	3	
	3.4 Dealing with breaches of legal and regulatory provisions effectively	<ul style="list-style-type: none"> <li>• Role of Monitoring Officer</li> <li>• Legal files and emails (e.g. response to Housing Regulator reports)</li> <li>• Adherence to Local Government in Scotland Act 2003</li> <li>• Other statutory provision (e.g. planning legislation, placing requests, freedom of information and data protection requirements)</li> </ul>	3	
	3.5 Ensuring corruption and misuse of power are dealt with effectively	<ul style="list-style-type: none"> <li>• Anti-fraud and Bribery Strategy (including probity register)</li> <li>• HR policies</li> </ul>	3	

<b>Principle B: Ensuring openness and comprehensive stakeholder engagement</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code</b> (1 – not; 2 – partial; 3 – fully)	<b>Further Action Required</b>
<b>1. Openness</b>	1.1 Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness	<ul style="list-style-type: none"> <li>• Community Plan, Fairer East Ren &amp; ODP</li> <li>• Customer Care standards</li> <li>• National reporting requirements to Scottish Government/Audit Scotland</li> <li>• Internal Audit annual report</li> <li>• Local Scrutiny Plan</li> <li>• Annual Report &amp; Accounts</li> <li>• Annual Performance Report</li> <li>• Council and CPP performance reports</li> <li>• Citizen Space engagement tool</li> <li>• Social media growth and content strategy</li> <li>• Council website</li> <li>• Citizens' Panel</li> <li>• Council Standing Orders</li> <li>• Annual efficiency statement</li> <li>• Planning for the future demographic document</li> <li>• National LGBF benchmarking report</li> <li>• Annual Complaints report</li> <li>• Chief Social Work Officer Annual Report</li> <li>• Publication Scheme</li> <li>• Records Management Plan</li> <li>• FoI annual report</li> <li>• Council values</li> <li>• Communications Strategy</li> <li>• Insider magazine</li> <li>• Employee survey</li> </ul>	3	

<b>Principle B: Ensuring openness and comprehensive stakeholder engagement</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code</b> (1 – not; 2 – partial; 3 – fully)	<b>Further Action Required</b>
	1.2 Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided	<ul style="list-style-type: none"> <li>• Council meetings and webcasts</li> <li>• Council Standing Orders</li> <li>• Audit and Scrutiny Committee chaired by opposition group on Council</li> <li>• Scheme of Administration</li> <li>• Scheme of delegated functions</li> </ul>	3	
	1.3 Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear	<ul style="list-style-type: none"> <li>• Scheme of Administration</li> <li>• Call-in procedure</li> <li>• Local Scrutiny Plan</li> <li>• Scheme of Delegated Functions</li> <li>• Committee Minutes and Committee reports</li> <li>• Risk management strategy</li> <li>• Options appraisal guidance and training</li> <li>• Reporting arrangements</li> <li>• Unacceptable Actions Policy (updated 2018)</li> </ul>	3	
	1.4 Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action	<ul style="list-style-type: none"> <li>• Community Plan and Fairer East Ren</li> <li>• Community Planning Partnership</li> <li>• Citizen Space community engagement tool</li> <li>• Social media interaction</li> <li>• Citizens' Panel</li> <li>• Service-level customer communication</li> <li>• Budget consultation and Community Choices Budgeting</li> </ul>	3	

<b>Principle B: continued</b>				
<b>Ensuring openness and comprehensive stakeholder engagement</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code</b> (1 – not; 2 – partial; 3 – fully)	<b>Further Action Required</b>
<b>2. Engaging comprehensively with institutional stakeholders</b>	2.1 Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably	<ul style="list-style-type: none"> <li>• Outcome Delivery Plan</li> <li>• Vision for the Future strategy</li> <li>• Communications Strategy</li> <li>• Community Engagement for Fairer East Ren plan</li> <li>• Fairer East Ren</li> </ul>	3	
	2.2 Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively	<ul style="list-style-type: none"> <li>• Citizens' Panel</li> <li>• Community Planning Partnership</li> <li>• Voluntary organisations database</li> <li>• Community Groups database</li> <li>• Fairer East Ren plan</li> </ul>	3	
	2.3 Ensuring that partnerships are based on: trust, a shared commitment to change, a culture that promotes and accepts challenge among partners, and that the added value of partnership working is explicit	<ul style="list-style-type: none"> <li>• Community Planning Partnership</li> <li>• Integration scheme for ER HSCP</li> <li>• Culture and Leisure Trust – Transfer of Services Agreement and Articles of Association</li> </ul>	3	

<b>Principle B: Ensuring openness and comprehensive stakeholder engagement</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code</b> (1 – not; 2 – partial; 3 – fully)	<b>Further Action Required</b>
<b>3. Engaging stakeholders effectively, including individual citizens and service users</b>	3.1 Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes	<ul style="list-style-type: none"> <li>• Citizen Space community engagement tool</li> <li>• Community Planning Partnership</li> <li>• Council website</li> <li>• Participation Requests Framework</li> </ul>	3	
	3.2 Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement	<ul style="list-style-type: none"> <li>• Vision for the Future strategy</li> <li>• Citizen Space engagement tool</li> <li>• Service-level customer communication</li> <li>• Community Empowerment Act briefings</li> <li>• Community Engagement driver diagram</li> <li>• Communications Strategy</li> <li>• Social media growth and content strategy</li> <li>• Community engagement training</li> <li>• Report on budget consultation</li> </ul>	3	
	3.3 Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs	<ul style="list-style-type: none"> <li>• CPP needs assessment</li> <li>• Citizens' panel data trends</li> <li>• Citizen Space engagement tool</li> <li>• Planning for the Future document</li> <li>• Communications Strategy</li> <li>• Social media growth and content strategy</li> <li>• Community engagement on Fairer East Ren</li> </ul>	3	
	3.4 Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account	<ul style="list-style-type: none"> <li>• Citizen Space community engagement tool</li> <li>• Social media &amp; Council website</li> <li>• Citizens' Panel</li> <li>• Complaints report</li> <li>• Communications Strategy</li> </ul>	3	



<b>Principle B: continued</b>				
<b>Ensuring openness and comprehensive stakeholder engagement</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code</b> (1 – not; 2 – partial; 3 – fully)	<b>Further Action Required</b>
3.	3.5 Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity	<ul style="list-style-type: none"> <li>• Citizen Space community engagement tool</li> <li>• Fairer East Ren community engagement exercise</li> <li>• Community Mapping</li> </ul>	3	
	3.6 Taking account of the interests of future generations of tax payers and service users	<ul style="list-style-type: none"> <li>• CPP needs assessment</li> <li>• Community mapping database</li> <li>• Social media engagement</li> <li>• Annual Report &amp; Accounts</li> <li>• Annual Performance Report</li> <li>• Council and CPP performance reports</li> <li>• Annual efficiency statement</li> <li>• Planning for the future demographic document</li> </ul>	3	

<b>Principle C:</b>				
<b>Defining outcomes in terms of sustainable economic, social, and environmental benefits</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code</b> (1 – not; 2 – partial; 3 – fully)	<b>Further Action Required</b>
<b>1. Defining outcomes</b>	1.1 Having a clear vision which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation's overall strategy, planning and other decisions	<ul style="list-style-type: none"> <li>• Council vision, capabilities and value</li> <li>• Outcome Delivery Plan (ODP)</li> <li>• Annual updates on Community Plan and ODP</li> <li>• Council Report – Financial Planning 2017-2022</li> <li>• Community Planning Partnership (CPP) Board meetings</li> <li>• CPP Performance and Accountability (PAR) meetings</li> <li>• Vision for the Future strategy</li> <li>• Driver diagrams for 5 capabilities (incl. modernisation, data, digital and community engagement)</li> <li>• Modern Ambitious change Programme (MAP)</li> </ul>	3	

<b>Principle C: Defining outcomes in terms of sustainable economic, social, and environmental benefits</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code</b> (1 – not; 2 – partial; 3 – fully)	<b>Further Action Required</b>
	1.2 Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer	<ul style="list-style-type: none"> <li>• Outcome Delivery Plan (ODP)</li> <li>• Vision for the Future strategy</li> <li>• MAP change programme</li> <li>• Directors of Finance- Economic Forecasts/Benchmarking</li> <li>• Communications Strategy</li> <li>• Locality Planning approach – Cabinet paper</li> <li>• Budget planning process</li> </ul>	3	
	1.3 Delivering defined outcomes on a sustainable basis within the resources that will be available	<ul style="list-style-type: none"> <li>• Annual updates on Community Plan and ODP</li> <li>• Annual report and accounts</li> <li>• Annual efficiency statement</li> <li>• Council Report – Financial Planning 2017-2022</li> </ul>	3	
	1.4 Identifying and managing risks to the achievement of outcomes	<ul style="list-style-type: none"> <li>• Strategic and operational risk registers</li> <li>• Risk reporting</li> <li>• Audit and Scrutiny and CMT risk monitoring</li> <li>• Risk Management Strategy</li> </ul>	3	
	1.5 Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available	<ul style="list-style-type: none"> <li>• Public performance reporting</li> <li>• Budget consultation exercise</li> <li>• Community Empowerment Act paper January 2017</li> <li>• Framework for participatory requests</li> <li>• Needs assessment and priorities</li> <li>• Community Choices Budgeting Roads pilot</li> </ul>	3	
<b>2. Sustainable economic, social and environmental benefits</b>	2.1 Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision	<ul style="list-style-type: none"> <li>• Capital programme</li> <li>• City Deal</li> <li>• Invest East Renfrewshire</li> <li>• Sustainable procurement policy</li> <li>• Corporate Procurement Strategy</li> <li>• City Deal procurement strategy</li> <li>• Budget Strategy Group and annual budget process</li> </ul>	3	

<b>Principle C: Defining outcomes in terms of sustainable economic, social, and environmental benefits</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code</b> (1 – not; 2 – partial; 3 – fully)	<b>Further Action Required</b>
	2.2 Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints	<ul style="list-style-type: none"> <li>• Agendas and minutes of meetings</li> <li>• Council Report – Financial Planning 2017-2022</li> <li>• Budget Strategy Group and annual budget process</li> <li>• Strategic risk register monitoring</li> </ul>	3	
	2.3 Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs	<ul style="list-style-type: none"> <li>• Agendas and minutes of meeting</li> <li>• Council standing orders</li> <li>• Council website</li> <li>• Scheme of Administration</li> <li>• Budget consultation exercise</li> <li>• Main Issues Report &amp; Local Development Plan</li> </ul>	3	
	2.4 Ensuring fair access to services	<ul style="list-style-type: none"> <li>• Adhering to statutory guidance</li> <li>• Equality Impact Assessments</li> <li>• Equality Outcomes Mainstreaming Plan and Report</li> </ul>	3	

**Principle D:  
Determining the interventions necessary to optimise the achievement of the intended outcomes**

Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
<b>1. Determining interventions</b>	1.1 Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided	<ul style="list-style-type: none"> <li>• Options appraisals (including guidance &amp; training)</li> <li>• Council standing orders</li> <li>• Agenda and minutes of meetings</li> <li>• Corporate template - options</li> </ul>	3	
	1.2 Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resource available including people, skills, land and assets and bearing in mind future impacts	<ul style="list-style-type: none"> <li>• Financial planning and financial management</li> <li>• Budget Strategy Group</li> <li>• Use citizens' panel data</li> <li>• Community Choices Budget pilot</li> </ul>	3	
2. Planning interventions	2.1 Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets	<ul style="list-style-type: none"> <li>• Cabinet system of governance</li> <li>• Annual Cabinet work plan</li> <li>• Six monthly performance monitoring</li> <li>• Multi-year budgeting</li> </ul>	3	
	2.2 Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered	<ul style="list-style-type: none"> <li>• Council website</li> <li>• Citizen's Space</li> <li>• Communications Strategy</li> </ul>	3	
	2.3 Considering and monitoring risks facing each partner when working collaboratively including shared risks	<ul style="list-style-type: none"> <li>• Community Planning Partnership</li> <li>• Risk Management Strategy</li> <li>• Strategic Risk Register</li> </ul>	3	
	2.4 Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances	<ul style="list-style-type: none"> <li>• Council standing orders</li> <li>• Call-in procedure</li> <li>• Scheme of Administration</li> <li>• Council standing orders</li> <li>• Range of budget scenarios</li> </ul>	3	

<b>Principle D: continued</b>				
<b>Determining the interventions necessary to optimise the achievement of the intended</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code</b> (1 – not; 2 – partial; 3 – fully)	<b>Further Action Required</b>
	2.5 Establishing appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured	<ul style="list-style-type: none"> <li>• Performance Management Framework</li> <li>• Corporate, Department and service self-evaluation</li> <li>• Department and Service Planning</li> <li>• Outcome Delivery Plan</li> <li>• Community Plan</li> <li>• Fairer East Ren</li> </ul>	3	
	2.6 Ensuring capacity exists to generate the information required to review service quality regularly	<ul style="list-style-type: none"> <li>• Performance Management System</li> <li>• RAG status included in reports</li> <li>• 6 monthly reporting</li> <li>• Local Scrutiny Plan</li> </ul>	3	
	2.7 Preparing budgets in accordance with organisational objectives, strategies and the medium-term financial plan	<ul style="list-style-type: none"> <li>• Financial planning and management</li> <li>• Budget Strategy Group</li> <li>• Financial Planning 2017-2022 council paper</li> </ul>	3	
	2.8 Informing medium and long-term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy	<ul style="list-style-type: none"> <li>• Financial planning and management</li> <li>• Budget Strategy Group</li> <li>• Outcome Delivery Plan</li> <li>• Reserves policy</li> <li>• Capital Investment Strategy</li> <li>• Asset Management Plans</li> </ul>	3	
<b>3. Optimising achievement of intended outcomes</b>	3.1 Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints	<ul style="list-style-type: none"> <li>• Financial management and planning</li> <li>• Budget Strategy Group</li> <li>• Capital Investment Strategy</li> <li>• Asset Management Plans</li> <li>• Budget engagement process</li> <li>• Capital planning</li> <li>• Community Choices Budgeting approach Roads pilot</li> </ul>	3	

<b>Principle D: continued</b>				
<b>Determining the interventions necessary to optimise the achievement of the intended</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code</b> (1 – not; 2 – partial; 3 – fully)	<b>Further Action Required</b>
	3.2 Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term	<ul style="list-style-type: none"> <li>• Asset Management Plans</li> <li>• Corporate Asset Management Group</li> <li>• Capital Project Appraisal Forms</li> <li>• Financial Planning</li> <li>• Revenue Savings Templates</li> <li>• Corporate Resource Planning (e.g. transformation fund, restructuring budget)</li> </ul>	3	
	3.3 Ensuring the medium-term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage	<ul style="list-style-type: none"> <li>• Financial Planning and management</li> </ul>	3	
	3.4 Ensuring the achievement of 'social value' through service planning and commissioning	<ul style="list-style-type: none"> <li>• Economic Development approach to community benefits</li> <li>• Change programmes</li> <li>• Corporate procurement</li> <li>• Alternative models of service delivery (HSCP)</li> </ul>	3	

<b>Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code</b> (1 – not; 2 – partial; 3 – fully)	<b>Further Action Required</b>
<b>1. Developing the entity's capacity</b>	1.1 Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness	<ul style="list-style-type: none"> <li>• Annual ODP review</li> <li>• Performance Management Framework</li> <li>• Corporate Asset Management Group</li> <li>• Job descriptions/person specifications</li> <li>• Audit and Scrutiny Committee</li> <li>• Service level annual self-evaluations</li> <li>• Inspection regimes</li> <li>• Asset Management Plans</li> <li>• Local Scrutiny Plan</li> </ul>	3	
	1.2 Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority's resources are allocated so that outcomes are achieved effectively and efficiently	<ul style="list-style-type: none"> <li>• Procurement Strategy</li> <li>• Option appraisal</li> <li>• APSE benchmarking reports</li> <li>• Participation in benchmarking groups</li> <li>• LGBF reports</li> </ul>	3	
	1.3 Recognising the benefits of partnerships and collaborative working where added value can be achieved	<ul style="list-style-type: none"> <li>• Community Planning Partnership</li> <li>• ERCL Trust</li> <li>• HSCP</li> <li>• City Deal</li> <li>• Scotland Excel</li> <li>• Clyde Valley arrangements</li> <li>• Shared services/collaborative arrangements</li> </ul>	3	

<b>Principle E: continued</b>				
<b>Developing the entity's capacity, including the capability of its leadership and the individuals within it</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code</b> (1 – not; 2 – partial; 3 – fully)	<b>Further Action Required</b>
	1.4 Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources	<ul style="list-style-type: none"> <li>• Workforce Plan and driver diagram</li> <li>• Planning for the Future staff profile</li> <li>• Vision for the Future strategy</li> </ul>	3	Finalise and implement year one actions from the new workforce plan, March 2019, S Dick
<b>2. Developing the capability of the entity's leadership and other individuals</b>	2.1 Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained	<ul style="list-style-type: none"> <li>• Scheme of delegated functions</li> <li>• Elected member inductions</li> <li>• Scheme of Administration</li> <li>• Codes of Conducts for Employees, Members and IJB members</li> <li>• Anti-fraud and Bribery Strategy</li> <li>• Job descriptions</li> </ul>	3	
	2.2 Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body	<ul style="list-style-type: none"> <li>• Scheme of delegated functions</li> <li>• Council standing orders</li> <li>• Contract standing orders</li> </ul>	3	
	2.3 Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure, whereby the chief executive leads the authority in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority	<ul style="list-style-type: none"> <li>• Job descriptions</li> <li>• Scheme of delegated functions</li> <li>• Performance Review and Development</li> <li>• Six monthly corporate performance reporting</li> </ul>	3	



<b>Principle E: continued</b>				
<b>Developing the entity's capacity, including the capability of its leadership and the individuals within it</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code</b> (1 – not; 2 – partial; 3 – fully)	<b>Further Action Required</b>
	2.4 Developing the capabilities of members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks	<ul style="list-style-type: none"> <li>• Member and Officer induction programme</li> <li>• Leaders for the Future programme</li> <li>• Briefings to Members</li> <li>• Corporate Training Calendar</li> <li>• Brightwave e-learning</li> <li>• Atomic online video training</li> <li>• PRD</li> <li>• Member Training and Development Plans</li> <li>• Organisational Development Action Plan</li> </ul>	3	
	2.5 Ensuring that there are structures in place to encourage public participation	<ul style="list-style-type: none"> <li>• Citizens' Panel</li> <li>• Citizens' Space engagement tool</li> <li>• Community Councils and Tenant group support</li> <li>• Supporting community groups</li> </ul>	3	
	2.6 Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections	<ul style="list-style-type: none"> <li>• Member support team</li> <li>• Chief Executive and Member meetings</li> <li>• Member Training and Development Plans</li> <li>• Leadership training 360 feedback</li> </ul>	3	
	2.7 Holding staff to account through regular performance reviews which take account of training or development needs	<ul style="list-style-type: none"> <li>• PRD</li> <li>• Training and Development Plans</li> <li>• Annual review corporate training programme</li> <li>• Chief Executive and Member meetings</li> </ul>	3	
	2.8 Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing	<ul style="list-style-type: none"> <li>• HR and Health and Safety policies</li> <li>• Healthy Working Lives Award</li> <li>• Employee counselling provision</li> <li>• Occupational Health provision including physiotherapy</li> <li>• Stress risk assessment</li> </ul>	3	

<b>Principle F: Managing risks and performance through robust internal control and strong public financial management</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 –fully)</b>	<b>Further Action Required</b>
<b>1. Managing risk</b>	1.1 Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making	<ul style="list-style-type: none"> <li>• Scheme of Administration</li> <li>• Scheme of Delegated Functions</li> <li>• Risk management strategy</li> <li>• Corporate Management Team monitoring</li> </ul>	3	
	1.2 Implementing robust and integrated risk management arrangements and ensuring that they are working effectively	<ul style="list-style-type: none"> <li>• Risk management strategy</li> </ul>	3	
	1.3 Ensuring that responsibilities for managing individual risks are clearly allocated	<ul style="list-style-type: none"> <li>• Risk management strategy</li> <li>• Risk Management Group</li> <li>• Audit and Scrutiny Committee role</li> <li>• Operational risk registers</li> </ul>	3	
<b>2. Managing performance</b>	2.1 Monitoring service delivery effectively including planning, specification, execution and independent post-implementation review	<ul style="list-style-type: none"> <li>• Strategic planning and performance arrangements (ODP, Community Plan)</li> <li>• Council Minutes and Committee reports</li> <li>• Performance Management Framework</li> <li>• Corporate Asset Management Group</li> </ul>	3	
	2.2 Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook	<ul style="list-style-type: none"> <li>• Member Support team</li> <li>• Corporate committee template requirements</li> <li>• Council Minutes and Committee reports</li> </ul>	3	
	2.3 Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible (OR, for a committee system) Encouraging effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making	<ul style="list-style-type: none"> <li>• Audit and Scrutiny 2012-17 Report</li> <li>• Scheme of Administration</li> <li>• Scheme of Delegated Functions</li> <li>• Code of Conducts for employees, Members and IJB members</li> <li>• Recruitment and Selection Code of Practice</li> <li>• Register of interests</li> <li>• Anti-fraud &amp; Bribery Strategy</li> <li>• Council Standing Orders</li> <li>• Annual Governance Statement</li> </ul>	3	

<b>Principle F: Managing risks and performance through robust internal control and strong public financial management</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code</b> (1 – not; 2 – partial; 3 – fully)	<b>Further Action Required</b>
	2.4 Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement	<ul style="list-style-type: none"> <li>• Directors 1:1 with Convenors</li> <li>• Strategic and service plan monitoring arrangements</li> </ul>	3	
	2.5 Ensuring there is consistency between specification stages (such as budgets) and post-implementation reporting (e.g. financial statements )	<ul style="list-style-type: none"> <li>• Contract standing orders</li> <li>• Financial planning and management</li> <li>• Annual Report and Accounts</li> </ul>	3	
<b>3. Robust internal control</b>	3.1 Aligning the risk management strategy and policies on internal control with achieving objectives	<ul style="list-style-type: none"> <li>• Risk management strategy</li> <li>• Strategic risk register</li> <li>• Internal audit plan and reports</li> <li>• Risks linked to outcomes in key plans</li> </ul>	3	
	3.2 Evaluating and monitoring risk management and internal control on a regular basis	<ul style="list-style-type: none"> <li>• Risk management strategy</li> <li>• Budget monitoring arrangements</li> </ul>	3	
	3.3 Ensuring effective counter fraud and anti-corruption arrangements are in place	<ul style="list-style-type: none"> <li>• Anti-fraud &amp; Bribery Strategy</li> </ul>	2	<p>Update Information Security Policy and Anti money laundering policy, March 2019. Murray Husband &amp; Margaret McCrossan.</p> <p>Undertake further work to review counter fraud and anti-corruption</p>

				arrangements to ensure these are in line with the CIPFA “Code of Practice on Managing the Risk of Fraud and Corruption” by March 2019. Gill Darbyshire.
	3.4 Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor	<ul style="list-style-type: none"> <li>• Annual Governance Statement</li> <li>• Annual Report and Accounts</li> <li>• Internal audit work plan</li> <li>• Audit and Scrutiny Committee oversight of Internal /External Audit and Strategic Risks</li> </ul>	3	
	3.5 Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body: provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment, that its recommendations are listened to and acted upon	<ul style="list-style-type: none"> <li>• Audit and Scrutiny Committee 2012-17 Report</li> <li>• Audit and Scrutiny Committee chaired by opposition group on Council</li> <li>• Audit and Scrutiny Committee oversight of Internal /External Audit and Strategic Risks</li> <li>• Committee’s use of ‘call in procedures</li> <li>• Audit &amp; Scrutiny self-evaluation 2017</li> </ul>	3	

<b>Principle F: Managing risks and performance through robust internal control and strong public financial management</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code</b> (1 – not; 2 – partial; 3 – fully)	<b>Further Action Required</b>
<b>4. Managing data</b>	4.1 Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data	<ul style="list-style-type: none"> <li>• Code of Conducts for employees, Members and IJB members</li> <li>• Recruitment and Selection Code of Practice</li> <li>• Register of Members' and Employees' interests</li> <li>• Anti-fraud &amp; Bribery Strategy</li> <li>• Corporate training and guidance notes on FOI, Regulation of Investigatory Powers and Data Protection</li> <li>• Data Loss Prevention programme</li> <li>• Data Protection (e-courses)</li> <li>• Data Protection Officer</li> <li>• Data protection policies</li> <li>• Records Management Plan</li> <li>• GDPR documentation</li> </ul>	3	
	4.2 Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies	<ul style="list-style-type: none"> <li>• Data Loss Prevention programme</li> <li>• Data Protection Officer</li> <li>• Data protection policies</li> <li>• GDPR documentation</li> </ul>	3	
	4.3 Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring	<ul style="list-style-type: none"> <li>• Performance Management Framework</li> <li>• Sign off procedures</li> <li>• Mid and end year reporting</li> <li>• Mid and end year review meetings</li> <li>• LGBF analysis</li> </ul>	3	
<b>5. Strong public financial management</b>	5.1 Ensuring financial management supports both long-term achievement of outcomes and short-term financial and operational performance	<ul style="list-style-type: none"> <li>• Financial planning and management arrangements</li> <li>• Council Report - Financial Planning 2017-2022</li> <li>• Outcome Delivery Plan</li> <li>• Finance Business Partner Approach</li> </ul>	3	
	5.2 Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls	<ul style="list-style-type: none"> <li>• Budget monitoring reports</li> <li>• Annual report and accounts</li> <li>• Annual Efficiency statement</li> <li>• Finance Business Partner Approach</li> </ul>	3	Procure new Finance, Procurement, Payroll & HR system March 2019. Cross Council

<b>Principle G: Implementing good practices in transparency, reporting, and audit to deliver effective accountability</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)</b>	<b>Further Action Required</b>
<b>1. Implementing good practice in transparency</b>	1.1 Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate	<ul style="list-style-type: none"> <li>• Council website</li> <li>• Corporate Reporting Format guidance</li> <li>• Communications strategy</li> </ul>	3	
	1.2 Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand	<ul style="list-style-type: none"> <li>• Annual Public Performance Report</li> <li>• Council website- performance pages</li> <li>• Evaluation of public performance reporting arrangement</li> </ul>	3	
<b>2. Implementing good practices in reporting</b>	2.1 Reporting at least annually on performance, value for money and the stewardship of its resources	<ul style="list-style-type: none"> <li>• Annual report and accounts</li> <li>• Annual Efficiency Statement</li> <li>• Annual Public Performance Report</li> <li>• LGBF report</li> </ul>	3	
	2.2 Ensuring members and senior management own the results	<ul style="list-style-type: none"> <li>• Discussion at Council/Cabinet/Committees</li> <li>• Improvement actions and ownership</li> <li>• Chief Executive review meetings</li> <li>• Chief Executive PRD</li> </ul>	3	
	2.3 Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including an action plan for improvement and evidence to demonstrate good governance (annual governance statement)	<ul style="list-style-type: none"> <li>• Annual governance statement</li> </ul>	3	

<b>Principle G: Implementing good practices in transparency, reporting, and audit to deliver effective accountability</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code</b> (1 – not; 2 – partial; 3 – fully)	<b>Further Action Required</b>
	2.4 Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate	<ul style="list-style-type: none"> <li>Annual governance statement- included in annual accounts and publicly available</li> </ul>	3	
	2.5 Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations	<ul style="list-style-type: none"> <li>Recent review of annual account format to improve accessibility</li> </ul>	3	
<b>3. Assurance and effective accountability</b>	3.1 Ensuring that recommendations for corrective action made by external audit are acted upon	<ul style="list-style-type: none"> <li>Recommendations made by external audit acted upon (e.g. Local Scrutiny Plan)</li> <li>Audit Scotland Annual Audit Report to Members and the Controller of Audit</li> <li>East Renfrewshire Best Value report and update on improvement action plan</li> </ul>	3	Co-ordinate our approach to the development of key corporate plans with the use and management of our finances, resources, assets and workforce and incorporate this into our future strategic planning and budgeting arrangements by December 2018. Louise Pringle

<b>Principle G: Implementing good practices in transparency, reporting, and audit to deliver effective accountability</b>				
<b>Sub Principle</b>	<b>Requirement</b>	<b>Evidence</b>	<b>Evaluation of Requirement Against Code</b> (1 – not; 2 – partial; 3 – fully)	<b>Further Action Required</b>
	3.2 Ensuring an effective internal audit service with direct access to members is in place which provides assurance with regard to governance arrangements and recommendations are acted upon	<ul style="list-style-type: none"> <li>• Compliance with CIPFAs statement on the role of the head of internal audit</li> <li>• Compliance with public sector internal audit standards</li> </ul>	3	
	3.3 Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations	<ul style="list-style-type: none"> <li>• Recommendations made by peer reviews/inspections/regulatory and bodies considered and included in plans for implementation e.g. thematic review cycle in schools</li> </ul>	3	
	3.4 Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement	<ul style="list-style-type: none"> <li>• Annual Governance Statement</li> </ul>	3	
	3.5 Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met	<ul style="list-style-type: none"> <li>• Community Planning Partnership governance arrangements</li> <li>• Ongoing approach to community engagement</li> <li>• Service Level Agreements, e.g. ERCLT</li> </ul>	3	



**East Renfrewshire Council Corporate Governance - Key documents, supporting processes and monitoring**

**Corporate Governance comprises the systems and processes, cultures and values, by which councils are directed and controlled and through which they account to and engage with their communities**

**Key Documents**

**Strategies, standards and statements**

Vision for the Future Strategy	Council Values
Capital Investment Strategy	Efficiency Statement
Anti-Fraud and Bribery Strategy	Governance Statement
Corporate Procurement Strategy	Codes of Conducts
Risk Management Strategy	Register of Interests
Communications Strategy	Social Media Policy & Protocol
Strategic Risk Register	Customer Care Standards

**Plans, policies and reports**

Community Plan	Public Performance Report
Outcome Delivery Plan	Internal Audit Reports
Fairer East Ren	LGBF Benchmarking Report
Mainstreaming Equality Plan	Strategic Performance Reports
Asset Management Plans	Citizens' Panel Report
Records Management Plan	Audit & Scrutiny Report
Workforce Plan	Financial Planning Report
Complaints Policy	Annual Report & Accounts
Unacceptable Actions Policy	Employee Survey Results
Meeting Agendas and Minutes	Local Scrutiny Plan

**Supporting Processes and Monitoring**

- HR policies
- Leadership Competencies
- Recruitment Code of Practice
- Inductions and training
- Performance review and development
- Job Descriptions
- Monitoring Officer
- Performance Management Framework
- CMT, Dept and service self-evaluations
- Inspection regimes
- Council website
- Community Planning Partnership
- Budget monitoring
- Data Protection policies
- Risk Monitoring
- Audit & Scrutiny Committee
- Council Standing Orders
- Scheme of Delegated functions
- Scheme of Administration
- Contract Standing Orders
- Financial Regulations