

EAST RENFREWSHIRE COUNCIL
AUDIT AND SCRUTINY COMMITTEE
2 June 2016
Report by Deputy Chief Executive
CODE OF CORPORATE GOVERNANCE

PURPOSE OF REPORT

1. To update the Audit and Scrutiny Committee on progress against improvement actions in the 2015/16 Code of Corporate Governance and to approve a new Code for 2016/17 (draft code listed at Annex 1).

RECOMMENDATIONS

2. The Audit and Scrutiny Committee is asked to:-
- (a) Note progress on the 2015/16 Code of Corporate Governance improvement actions.
 - (b) Approve the Code of Corporate Governance updates and actions for 2016/17 (Annex 1).

BACKGROUND

3. East Renfrewshire Council is responsible for ensuring that business is: conducted in accordance with the law and proper standards; and that public money is safeguarded, properly accounted for, and used economically, efficiently and effectively.

4. In discharging this responsibility, elected members and senior officers are responsible for putting in place proper arrangements for the governance of the Council's affairs and the stewardship of resources. Since December 2002, the Council has adopted and updated annually a Code of Corporate Governance which is consistent with the principles and requirements of the CIPFA/SOLACE Framework: *Delivering Good Governance in Local Government*.

5. The Code of Corporate Governance is a statement of the structures and processes that govern internal policy-making, community leadership, partnership working and the mechanisms to ensure proper control and accountability are in place. The Code comprises of six governing principles and a set of supporting principles. The full set of principles is listed in the draft code in Annex 1.

6. All councils must comply with the following requirements:

- Publication of an annual progress summary on the previous year's Code, including any actions taken to improve compliance.
- Publication of an annual Code of Corporate Governance update. This must include an update on any new evidence we can present. It must also include self-assessment

4

scoring of the evidence we have regarding: compliance with national guidance on each governance requirement; and details of any action planned to improve compliance during 2016/17.

- Inclusion of an Annual Governance Statement in the Council's Annual Report and Accounts.

PROGRESS ON 2015/16 ACTIONS

7. In April 2016 an update on the actions from the 2015/16 Code of Corporate Governance update was produced. This update was placed on the Council's website for public access.

8. Of the eight improvement activities listed in the 2015/16 code, seven were completed and one action has been carried forward into the 2016/17 code. Completed actions were:

- Council's public performance reporting arrangements further improved;
- New Customer Care Standards promoted and implemented;
- Care Finance areas reconciled and new Care Finance system implemented;
- Organisational values embedded;
- Supervisory and management development programmes reviewed and updated;
- Leadership competencies implemented; and
- Phase 2 of area forums review completed.

9. The activity in the 2015/16 code on revising strategy guidance is in progress- a workshop has been undertaken and a feedback survey analysed. The recent guidance on the new Local Outcome Improvement Plans (LOIPs) will also inform this piece of work. A report will be presented to Corporate Management Team in June 2016.

UPDATED CODE OF CORPORATE GOVERNANCE FOR 2016/17

10. The updated Code of Corporate Governance for 2016/17 is included at Annex 1 and sets out arrangements which fulfil the six governance principles outlined in national guidance. The CIPFA / SOLACE framework emphasises that councils should:

- keep codes of corporate governance under review,
- carry out a process of self-evaluation scoring; and
- develop actions to address any gaps or areas for improvement in governance arrangements.

The self-assessment of this year's code against the nationally prescribed criteria¹, found the Council to be fully compliant across all 6 governing principles. The scoring is supported by a positive external Local Scrutiny Plan 2016/17 report prepared by Audit Scotland. This Plan will be considered at Cabinet on 2 June 2016. As in previous years, the Local Area Network (LAN) auditors' assessed that no *specific* risk based scrutiny work will be undertaken apart from the routine, planned service inspections and monitoring from each of the scrutiny bodies (e.g. of schools).

¹ The nationally prescribed scoring used as suggested in the CIPFA/SOLACE guidance is:

- 1 - not compliant with local code requirements
- 2 - partially compliant with local code requirements
- 3 - fully compliant with the requirements of the local code
- 4 - exceeds the requirements of the local code

11. A number of actions to be undertaken in 2016/2017 to further improve compliance with the Code have been identified. Each action has been included only once even although it may relate to a piece of evidence that occurs throughout the Code of Corporate Governance – this is to reduce duplication. Key actions for 2016/17 are:

- Deliver council wide internal communication plan for Vision for the Future
- Develop strategies for corporate communications, social media growth and the Council website
- Revise strategy guidance
- Improve absence reporting facilities and access through MyInsider
- Deliver briefing sessions on the Community Empowerment Act
- Fully implement Leaders for the Future development programme

12. Annex 2 shows how the various sources of evidence represent the 6 CIPFA/SOLACE principles of good governance and gives officer contacts for further information on each piece of evidence.

13. Once approved, the Code of Corporate Governance 2016/17 will be made available on the Council's website and a progress update on the actions will be made in April 2017 after the close of the 2016/17 financial year.

INTERNAL AUDIT REVIEW

14. Internal Audit reviewed the Code of Corporate Governance for 2015/16 and issued a set of recommendations relating to the code. As part of the review of the code for 2016/17 there have been a number of changes made over and above the normal review process. These include streamlining evidence further, reducing duplication where possible, and improving the clarity of the code.

ANNUAL GOVERNANCE STATEMENT

15. As part of the SOLACE/CIPFA corporate governance framework the Leader and the Chief Executive are responsible for ensuring the inclusion of the Annual Governance Statement in the Annual Report and Accounts. The 2015/16 Annual Report and Accounts is to be published later in the year. This Statement includes a progress summary of the 2015/16 actions and also references the 2016/17 update on the Code of Corporate Governance.

CONCLUSION

16. Based on the evidence presented here East Renfrewshire Council is governed by sound and effective internal management controls and continues to demonstrate compliance with the requirements of the CIPFA/SOLACE Framework: *"Delivering Good Governance in Local Government"*.

17. As part of the annual review process the Code of Corporate Governance has been updated and scored in line with new evidence and in consultation with colleagues across the Council. Progress on planned actions for last year (2015/16) has been posted on the Council's website. Subject to Audit and Scrutiny Committee's approval the new revised Code for 2016/17 will also be posted on the Council's website in June 2016.

RECOMMENDATIONS

18. The Audit and Scrutiny Committee is asked to:-

- (a) Note progress on the 2015/16 Code of Corporate Governance improvement actions.
- (b) Approve the Code of Corporate Governance updates and actions for 2016/17 (Annex 1).

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12 May 2016

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BACKGROUND PAPERS

- Code of Corporate Governance, Audit Committee, 4 June, 2015
- *Draft Audit Scotland Local Scrutiny Plan Update 2016-17, Cabinet 2 June 2016*
- Outcome Delivery Plan 2016-19, Cabinet 21 April 2016

KEYWORDS

(governance, code, corporate, principles, CIPFA, SOLACE, LAN, accountability, improvement actions, establishment, leadership).

CODE OF CORPORATE GOVERNANCE 2016/17

Principle 1: Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area.				
Supporting Principle	Requirement	Evidence <small>(n.b. additions for 2016/17 are <u>underlined</u>)</small>	Evaluation of Requirement Against Code <small>(1 – not; 2 – partial; 3 – fully; 4 – exceeds)</small>	Further Action Required
1. Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcome for citizens and service users	1.1 Develop and promote the authority's purpose and vision	<ul style="list-style-type: none"> • Single Outcome Agreement (SOA) • <u>Outcome Delivery Plan (ODP) (new approach)</u> • Corporate Statement: Your Council Your Future • Strategy for the Future • Modern Ambitious Programme (MAP) change programme 	3	Deliver council wide internal communication plan for Vision for the Future by March 2017, Communications.
	1.2 Review on a regular basis the authority's vision for the local area and its implications for the authority's governance arrangements	<ul style="list-style-type: none"> • Annual updates on SOA, ODP and Corporate Statement • Council values 	3	
	1.3 Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners	<ul style="list-style-type: none"> • SOA • Integration Joint Board Strategic Plan • <u>Glasgow City Region City Deal Agreement and Assurance Framework</u> • <u>Culture and Leisure Trust Business Plan</u> 	3	
	1.4 Publish an annual report on a timely basis and communicate the authority's achievements, its financial position and performance	<ul style="list-style-type: none"> • Annual Performance Report <u>and animation</u> • Annual report and accounts • Annual efficiency statement • Council and Community Planning Partnership Performance Reports • Council wide performance presentation • Chief Executive performance review meetings • Chief Social Work Officers' Annual Report • National (LGBF) Benchmarking Report • <u>Annual Complaints report</u> • <u>Culture and Leisure Trust Business Plan</u> • <u>Member's seminar on Modern Ambitious Council (MAP)</u> 	3	

Principle 1 continued				
Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area.				
Supporting Principle	Requirement	Evidence (n.b. additions for 2016/17 are underlined)	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully; 4 – exceeds)	Further Action Required
2. Ensuring that users receive a high quality of service, whether directly, or in partnership, or by commissioning	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	<ul style="list-style-type: none"> • Customer Care Standards • Citizens' Panel • Citizen Space community engagement tool • Complaints data analysis • National (LGBF) benchmarking report • Customer Service Excellence framework • How Good is Our Service? (HGIOS) framework 	3	
	2.2 Put in place effective arrangements to identify and deal with failure in service delivery	<ul style="list-style-type: none"> • External audits and inspections • HGIOS? self evaluation programme - and other quality frameworks • MAP change programme • Performance Management Framework • Lagan Customer Relationship Management system • Audit and Scrutiny Committee • Internal Audit Annual Plan and quarterly reports • Risk Management Strategy • Local Scrutiny Plan • National (LGBF) benchmarking • Community Planning Partnership (CPP) Board meetings • CPP Performance and Accountability (PAR) meetings • <u>ERC Yellow Belt training</u> 	3	
3. Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money	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. Measure environmental impact of policies, plans and decisions.	<ul style="list-style-type: none"> • Budget Strategy Group • Annual report and accounts • Contract Standing Orders (revised) • Internal Audit Annual Plan • Annual Efficiency Statement • CIPFA suite of financial indicators for Directors of Finance • Strategic Environmental Assessment (SEA) • Citizens' Panel • Environmental Sustainability Strategy and action plan • <u>Corporate Asset Management Group</u> 	3	

Principle 2: Members and officers working together to achieve a common purpose with clearly defined functions and roles.				
Supporting Principle	Requirement	Evidence (n.b. additions for 2016/17 are underlined)	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully; 4 – exceeds)	Further Action Required
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	Set out a clear statement of the respective roles and responsibilities of members generally and senior officers	<ul style="list-style-type: none"> • Scheme of delegated functions • Job descriptions for elected members • Performance Review and Development (PRD) • Chief Executive performance review meetings • Scheme of Administration • Planning Scheme of Delegation • Code of Conduct for Employees & Members • Anti-fraud and Bribery Strategy 	3	
2. Ensuring that a constructive working relationship exists between authority and members and officers and that the responsibilities of members and officers are carried out to a high standard	2.1 Determine a scheme of delegation and reserved powers within the constitution including a formal schedule 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	<ul style="list-style-type: none"> • Scheme of delegated functions • Scheme of administration • Planning Scheme of Delegation • Code of Conduct for Employees • Code of Conduct for Elected Members • Anti-fraud and Bribery Strategy • Leaders for the Future programme 	3	
	2.2 Make the Chief Executive responsible and accountable to the authority for all aspects of operational management	<ul style="list-style-type: none"> • Scheme of delegated functions • Chief Executive's job description • Chief Executive performance review meetings • Cabinet work plan 	3	
	2.3 Develop protocols to ensure that the leader and chief executive negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained	<ul style="list-style-type: none"> • Scheme of administration • Scheme of delegated functions • Job descriptions for elected members • Chief Executive's job description • Solicitor's Note on Distribution and Circulation of Papers 	3	
	2.4 Make a senior officer responsible to the authority for ensuring appropriate advice is given on all financial matters, for keeping proper financial records and accounts and for maintaining effective systems of internal financial control	<ul style="list-style-type: none"> • Scheme of delegated functions • Annual report and accounts • Local Scrutiny Plan • Financial regulations • Compliant with CIPFA Statement on role of Chief Financial Officer 	3	

Principle 2: continued				
Members and officers working together to achieve a common purpose with clearly defined functions and roles.				
Supporting Principle	Requirement	Evidence (n.b. additions for 2016/17 are underlined)	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully; 4 – exceeds)	Further Action Required
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	<ul style="list-style-type: none"> • Scheme of delegated functions • Standing Orders • Deputy Chief Executive is monitoring officer responsible for this area. • Anti-fraud and Bribery Strategy 	3	
3. Ensuring relationships between the authority, its partners and the public are clear so that each know what to expect of the other	3.1 Develop protocols to ensure effective communication between members and officers in their respective roles	<ul style="list-style-type: none"> • Code of Conduct for Employees • Protocol for working within multi-member wards • Social Media Policy • Media Protocol Guidance • Crisis Communications Plan 	3	Develop strategies for corporate communications, social media growth and the Council website by March 2017, Communications
	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 are in place (if applicable)	<ul style="list-style-type: none"> • Scheme of Members' salaries and expenses • Employee pay and grading scheme • Maintenance of job evaluation scheme • Appeals Committee 	3	
	3.3 Ensure that effective mechanisms exist to monitor service delivery	<ul style="list-style-type: none"> • Performance management framework • Chief Executive performance review meetings • Performance & Accountability Review meetings • Internal audit annual plan • Complaints handling procedure • <u>Corporate Asset Management Group</u> 	3	

Principle 2: continued				
Members and officers working together to achieve a common purpose with clearly defined functions and roles.				
Supporting Principle	Requirement	Evidence (n.b. additions for 2016/17 are underlined)	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully; 4 – exceeds)	Further Action Required
3.	3.4 Ensure that the authority's vision, corporate plans, priorities and targets are developed through robust mechanisms and in consultation with the local community and other key stakeholders and that they are clearly articulated and disseminated	<ul style="list-style-type: none"> • Annual SOA and ODP updates • Corporate Statement • Department and service plans • Citizens' Panel surveys and newsletters • Council's <i>er</i> online for residents • Social media channels – Twitter and Facebook • Annual Performance Report • Employee Survey • Citizen Space community engagement tool • <u>How Good is Our Service? (HGIOS)</u> 	3	<i>Carry forward</i> Revise corporate strategy guidance by June 2016. Policy and Improvement Unit
	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	<ul style="list-style-type: none"> • PAR meetings • Integration scheme for ER HSCP • Police and Fire quarterly Cabinet meetings • CPP Board meetings • Culture and Leisure Trust Agreement and Articles of Association • <u>Members' Induction</u> 	3	
	3.6 When working in partnership, ensure that there is clarity about the legal status of the partnership and ensure that representatives of organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions	<ul style="list-style-type: none"> • Performance & Accountability Reviews meetings • Integration scheme for ER HSCP • CPP Board meetings • Culture and Leisure Trust Agreement and Articles of Association 	3	

Principle 3: Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.				
Supporting Principle	Requirement	Evidence (n.b. additions for 2016/17 are underlined)	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully; 4 – exceeds)	Further Action Required
1. Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance	1.1 Ensure that the leadership sets the tone for the organisation by creating a climate of openness, support and respect	<ul style="list-style-type: none"> • Code of Conduct for Elected Members • Code of Conduct for Employees • Corporate Statement • Members' Induction • Minutes of committee meetings • Standing orders • Revised Anti-fraud and Bribery Strategy • Council Values • Employee Survey 	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 and its partners and the community are defined and communicated through codes of conduct and protocol	<ul style="list-style-type: none"> • Code of Conduct for Elected Members • Code of Conduct for Employees • Scottish Social Services Council registration of social work staff and some Education staff • General Teaching Council registration • Anti-fraud and Bribery Strategy • HR notices and policies • Social Media Policy • Media Protocol • Customer Care standards 	3	Improvements to absence reporting facilities and access through MyInsider by March 2017, HR
	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	<ul style="list-style-type: none"> • Code of Conduct for Elected Members • Code of Conduct for Employees • Contract Standing Orders (revised) • Register of Members' and Employees' interests • Anti-fraud and Bribery strategy which includes probity register 	3	
2. Ensuring that organisational values are put into practice and are effective	2.1 Develop and maintain shared values for both the organisation and staff reflecting public expectations, communicating these with members, staff, the community and partners	<ul style="list-style-type: none"> • Corporate Statement • Code of Conduct for Elected Members • Code of Conduct for Employees • Social Media • Council values 	3	

Principle 3: continued

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

Supporting Principle	Requirement	Evidence (n.b. additions for 2016/17 are underlined)	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully; 4 – exceeds)	Further Action Required
2.	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	<ul style="list-style-type: none"> Code of Conduct for Elected Members Code of Conduct for Employees Scottish Social Services Council registration of social work staff and some Education staff General Teaching Council registration Anti-fraud and Bribery Strategy 	3	
	2.3 Develop and maintain an effective standards committee (or ensure that the function is undertaken by an appropriate equivalent)	<ul style="list-style-type: none"> Not applicable in Scotland, refer to Standards Commission with local involvement as appropriate 	N/A	
	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	<ul style="list-style-type: none"> Corporate Statement ODP Strategy for the Future Council values 	3	
	2.5 In pursuing the vision of a partnership, agree a set of values against which decisions making and actions can be judged. Such values must be demonstrated by partners' behaviour both individually and collectively	<ul style="list-style-type: none"> Integration scheme for ER HSCP CPP Performance and Accountability (PAR) meetings Culture and Leisure Trust – Transfer of Services Agreement and Articles of Association <u>Culture and Leisure Trust Business Plan</u> 	3	

Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk				
Supporting Principle	Requirement	Evidence (n.b. additions for 2016/17 are underlined)	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully; 4 – exceeds)	Further Action Required
1. Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny	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	<ul style="list-style-type: none"> • Scheme of Administration • Record of Audit and Scrutiny Committee meetings • Call-in procedure for review of Cabinet decisions • Local Scrutiny Plan 	3	
	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	<ul style="list-style-type: none"> • Scheme of Administration • Scheme of Delegated Functions • Council Minutes and Committee reports • Risk management strategy • Options appraisal guidance • Options appraisal course for senior staff • Strategic operational / risk registers 	3	
	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	<ul style="list-style-type: none"> • Scheme of Administration • Code of Conduct for employees • Code of Conduct for Elected Members • Recruitment and Selection Code of Practice • Register of Members' and Employees' interests • Revised Anti-fraud & Bribery Strategy 	3	
	1.4 Develop and maintain an effective audit committee (or equivalent) which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the functions of such a committee	<ul style="list-style-type: none"> • Audit and Scrutiny Committee chaired by opposition group on Council • Members of Audit and Scrutiny Committee review external/ internal audit reports • Scheme of Administration 	3	

Principle 4: continued				
Taking informed and transparent decisions which are subject to effective scrutiny and managing risk				
Supporting Principle	Requirement	Evidence (n.b. additions for 2016/17 are underlined)	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully; 4 – exceeds)	Further Action Required
1.	1.5 Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints.	<ul style="list-style-type: none"> Complaints handling procedure Reporting arrangements <u>Unacceptable Actions Policy</u> 	3	
2. Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/ needs	2.1 Ensure that those making decisions whether for the authority or the partnership, are provided with information that is fit for purpose - relevant, timely and gives clear explanations of technical issues and their implications	<ul style="list-style-type: none"> Early issue of Cabinet papers Budget Strategy Group Capital Project Appraisal (CPA) process Calendar of meetings published annually Planning for the future demographic document <u>Corporate Asset Management Group</u> 	3	
	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 used appropriately	<ul style="list-style-type: none"> Council minutes Business cases 	3	
3. Ensuring that an effective risk management system is in place	3.1 Ensure that risk management is embedded in the culture of the authority with members and managers at all levels recognising that risk management is part of their jobs	<ul style="list-style-type: none"> Risk management strategy Strategic risk register reported annually to Cabinet and bi-annually to Audit and Scrutiny Committee Operational risk registers for each service Corporate risk management group Defined role of corporate risk management departmental representative Shared risk management drive with all risk documentation Calendar of risk management training Audit and Scrutiny Committee role in relation to scrutiny of risk management arrangements Contract Standing Orders (revised) Audit and Scrutiny Committee annual statement on Adequacy of Internal Controls Annual Governance Statement (in Annual accounts) Periodic internal and external audit of risk management and corporate governance 	3	

Principle 4: continued				
Taking informed and transparent decisions which are subject to effective scrutiny and managing risk				
Supporting Principle	Requirement	Evidence (n.b. additions for 2016/17 are underlined)	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully; 4 – exceeds)	Further Action Required
3	3.2 Ensure that arrangements are in place for whistle-blowing to which staff and all those contracting with the authority have access.	<ul style="list-style-type: none"> Code of Conduct for Employees Anti-fraud and bribery strategy Online reporting mechanisms 	3	
4. Using their legal powers to the full benefit of the citizens and communities in their areas	4.1 Actively recognise the limits of lawful activity placed on them by, e.g., the <i>ultra vires</i> doctrine but also strive to utilise powers to the full benefit of their communities	<ul style="list-style-type: none"> Adherence to the Local Government in Scotland Act 2003, particularly Power to Advance Wellbeing (e.g. PPP/PFIs) Other statutory provision (e.g. planning legislation, placing requests, freedom of information and data protection requirements) Role of Monitoring Officer 	3	
	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.	<ul style="list-style-type: none"> Corporate training and guidance notes on FOI, Regulation of Investigatory Powers and Data Protection Data Loss Prevention programme Data Protection (e-courses) Bespoke training on range of legal issues Equality Impact Assessment requirements Prior consideration of 'blue paper' committee reports by Chief Officer- Legal and Procurement. 	3	
	4.3 Observe all specific legislative requirements placed upon them as well as requirements of general law, in particular to integrate principles of good administrative law - rationality, legality and natural justice into their procedures & decision-making processes.	<ul style="list-style-type: none"> Report preparation includes 'blue paper' stage for review by CMT Role of Monitoring Officer Chief Social Work Officer Culture and Leisure Trust Articles of Association 	3	

Principle 5: Developing the capacity and capabilities of members and officers to be effective				
Supporting Principle	Requirement	Evidence (n.b. additions for 2016/17 are underlined)	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully; 4 – exceeds)	Further Action Required
1. Making sure that members and officers have the skills, knowledge, experience and resources they need to perform their roles well	1.1 Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis	<ul style="list-style-type: none"> • Induction programmes for Officers and Members • HSCP joint (health and social work) induction programme • Elected Member Training • PRD for employees • Annual corporate training calendar • Brightwave e-learning • HR Notices and policies • Leaders for the Future programme • Leadership Competencies • Legal training for Culture and Leisure Trust Board 	3	Fully implement Leaders for the Future development programme by March 2017, HR
	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	<ul style="list-style-type: none"> • Job descriptions/person specifications • Chief Executive performance review meetings • Scheme of delegated functions • PRD for employees • Internal communications policy • Social Media Policy 	3	
2. Developing the capability of people with governance responsibilities and evaluating their performance as individuals and as a group	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	<ul style="list-style-type: none"> • Elected Member Training • PRD for employees • Chief Executive performance review meetings • Leaders for the Future programme 	3	

Principle 5: continued				
Developing the capacity and capabilities of members and officers to be effective				
Supporting Principle	Requirement	Evidence (n.b. additions for 2016/17 are underlined)	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully; 4 – exceeds)	Further Action Required
2	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	<ul style="list-style-type: none"> • Elected Member Training • PRD for employees • Chief Executive performance review meetings • Brightwave e-learning • Workforce Plan • Option appraisal course for senior managers • <u>ERC Yellow Belt training</u> 	3	
	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 needs	<ul style="list-style-type: none"> • Elected Member Training • Audit and Scrutiny Committee • Inspection regimes (e.g. Care Inspectorate, Education Scotland, Audit Scotland) 	3	
3. Encouraging new talent for membership of the authority so that best use can be made of individual skills and resources in balancing continuity and renewal	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	<ul style="list-style-type: none"> • Council support to Community Councils, Tenants and Residents' Groups, Access Panel, Neilston Development Trust, Neilston Town Team and Ethnic Minority Reference Group etc. • Complaints Handling Procedure • <u>Community Empowerment Act</u> 	3	Deliver briefing sessions on the new Community Empowerment Act by March 2017, Community Planning Team
	3.2 Ensure that career structures are in place for members and officers to encourage participation and development	<ul style="list-style-type: none"> • Elected Member Training • PRD for employees • Workforce Plan • Leaders for the Future programme 	3	

Principle 6: Engaging with local people and other stakeholders to ensure robust public accountability				
Supporting Principle	Requirement	Evidence (n.b. additions for 2016/17 are underlined)	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully; 4 – exceeds)	Further Action Required
1. Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders including partnerships, and develops constructive accountability relationship	1.1 Make clear to themselves, all staff and the community to whom they are accountable and for what	<ul style="list-style-type: none"> • SOA • Corporate Statement • ODP • Customer Care standards • Code of Conduct for Employees • Strategy for the Future 	3	
	1.2 Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and changes required	<ul style="list-style-type: none"> • National reporting requirements to Scottish Government/Audit Scotland 	3	
	1.3 Produce an annual report on the activity of the scrutiny function	<ul style="list-style-type: none"> • Internal Audit annual report • Local Scrutiny Plan • Annual Report & Accounts • Annual Performance Report • Council and CPP performance reports 	3	
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	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	<ul style="list-style-type: none"> • Citizen Space community engagement tool • Social media • Council website • Support and on going communication with groups listed above (at principle 5, (3.1)) • Complaints handling procedure • Citizens' Panel • Service-level communications and customer surveys 	3	

Principle 6: continued Engaging with local people and other stakeholders to ensure robust public accountability				
Supporting Principle	Requirement	Evidence (n.b. additions for 2016/17 are underlined)	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully; 4 – exceeds)	Further Action Required
2	2.2 Hold meetings in public unless there are good reasons for confidentiality	<ul style="list-style-type: none"> • Council Standing Orders ensure all meetings of Council, Cabinet and Committees are open to the public unless there are specific exempted items where there are overriding issues of confidentiality • <u>Council meetings webcast live on website</u> 	3	
	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	<ul style="list-style-type: none"> • Citizen Space community engagement tool • Complaints handling procedure • Citizens' Panel • Service-level communications and surveys • Support and on going communication with groups listed above (at principle 5, (3.1)) 	3	
	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	<ul style="list-style-type: none"> • Citizens' Panel • Articles in Council's <i>er</i> online • <u>Community Empowerment Act</u> 	3	

Principle 6: continued				
Engaging with local people and other stakeholders to ensure robust public accountability				
Supporting Principle	Requirement	Evidence (n.b. additions for 2016/17 are underlined)	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully; 4 – exceeds)	Further Action Required
2	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 and achievements and satisfaction of service users in the previous period	<ul style="list-style-type: none"> • Annual Performance Report • Annual efficiency statement • Annual report and accounts • Council and CPP Performance reports • ODP updated annually • Citizens' Panel • Articles in Council's <i>er</i> online • Planning for the future demographic document • National LGBF benchmarking report • Annual Complaints report • Chief Social Work Officer Annual Report • <u>Culture and Leisure Trust Business Plan</u> 	3	
	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 circumstances where it is proper and appropriate to do so	<ul style="list-style-type: none"> • Requests under Freedom of Information (Fol) • Publication Scheme • Records Management Plan • Fol annual report • Corporate Statement • Council values 	3	
3. Making best use of human resources by taking an active and planned approach to meet responsibility to staff	3.1 Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making	<ul style="list-style-type: none"> • Joint Consultative Committees • HSCP Staff Partnership Forum • Employee survey results and newsletter • Culture and Leisure Trust Employee Forum 	3	

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Code of Corporate Governance
Listing of documents/evidence by principle as at May 2016

CIPFA/SOLACE Principles of Good Governance

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 local people and other stakeholders to ensure robust public accountability.

	Principle						Contact Officer
	1	2	3	4	5	6	
Annual Complaints Report	✓					✓	Steven Reid
Annual Efficiency Statement	✓					✓	Laura Glassford
Annual Performance Report	✓	✓				✓	Kim Gear
Annual Report and Accounts	✓	✓			✓	✓	Margaret McCrossan
Anti-fraud and Bribery Strategy		✓	✓	✓			Jackie Martin
Appeals Committee		✓					Various
Audit and Scrutiny Committee	✓			✓	✓		Linda Hutchison
Brightwave e-learning					✓		Pauline Cameron
Budget Strategy Group	✓			✓			Margaret McCrossan
Cabinet work plan		✓					Eamonn Daly
Calendar of meetings				✓			Eamonn Daly
Calendar of risk management training				✓			Jackie Martin
Call-in procedure for review of Cabinet decisions				✓			Eamonn Daly
Capital Project Appraisal (CPA) process				✓			Margaret McCrossan
CIPFA Suite of Financial Indicators for Directors of Finance	✓						Margaret McCrossan
Chief Executive's Job Description		✓					Lorraine McMillan
Chief Executive's performance review meetings	✓	✓			✓		Lorraine McMillan
Chief Social Work Officer Annual Report	✓					✓	Kate Rocks
Citizens' Panel	✓	✓				✓	Steven Reid
Code of Conduct for Elected Members		✓	✓	✓			Caroline Innes
Citizens Space	✓	✓				✓	Jamie Reid
Code of Conduct for Employees		✓	✓	✓	✓	✓	Sharon Beattie
Committee reports				✓			Eamonn Daly
Community Councils					✓		Tracy Butler
Community Empowerment Act				✓	✓	✓	Jamie Reid
Community Planning Partnership Board meetings	✓	✓					Tracy Butler
Complaints handling procedure		✓		✓	✓	✓	Linda Wilson
Contract Standing Orders (revised)	✓		✓	✓			Gerry Mahon
Corporate Asset Management Group	✓	✓		✓			Andy Cahill
Corporate Risk Management Group				✓			Jackie Martin
Corporate Statement – Your Council, Your Future	✓	✓	✓		✓	✓	Morag Brown
Corporate Training Calendar					✓		Pauline Cameron
Corporate training/guidance notes on FOI, Regulation of Investigatory Powers and Data Protection				✓			Gerry Mahon
Council Minutes			✓	✓			Eamonn Daly
Council and CPP Performance Report	✓					✓	Kim Gear

Principle
1 2 3 4 5 6 **Contact Officer**

Council's ER online for residents		✓				✓	Emma Edwards
Council values	✓		✓			✓	Jean Byrne
Council website						✓	Emma Edwards
Council-wide performance presentation	✓						Louise Pringle
Crisis Communications Plan		✓					Emma Edwards
Culture and Leisure Trust – Transfer of Services			✓				Anthony McReavy
Culture and Leisure Trust Articles of Association		✓	✓	✓			Anthony McReavy
Culture and Leisure Trust Business Plan	✓		✓			✓	Anthony McReavy
Customer Care Standards	✓		✓			✓	Steven Reid
Data loss Prevention programme				✓			Murray Husband
Department and service plans		✓					All departments
Elected Member Training					✓		Pauline Cameron
Employee Pay & Grading Scheme		✓					Sharon Beattie
Employee Survey		✓	✓			✓	Steven Reid
Environmental Sustainability Strategy and action plan	✓						Derek Jarvie
Equality Impact Assessment Online Toolkit (EIA)	✓						Kofi Tordzro
ERC Yellow Belt training	✓				✓		Richard Morrison
External audits and inspections	✓						Various
FoI annual report						✓	Craig Geddes
Financial Regulations		✓					Margaret McCrossan
General Teaching Council registration			✓				Tracy Morton
Glasgow City Region City Deal Agreement and Assurance Framework	✓						Iain Maclean
How Good is Our Service? (HGIOS)	✓	✓					Dominique Carlisle-Kitz
HR Notices and policies			✓		✓		Sharon Beattie
HSCP induction programme					✓		Candy Millard
HSCP Staff Partnership Forum						✓	Candy Millard
Induction programmes for Officers and Members		✓	✓		✓		Sharon Beattie
Internal Audit Annual Plan & quarterly reports	✓	✓				✓	Michelle Blair
Periodic Internal audit of operational risk registers				✓			Michelle Blair
Integration Joint Board Strategic Plan	✓						Candy Millard
Integration scheme for ER HSCP		✓	✓				Candy Millard
Internal Communications Policy					✓		Emma Edwards
Job descriptions					✓		Sharon Beattie
Job Descriptions for Elected Members		✓					Sharon Beattie
Job Evaluation Scheme		✓					Sharon Beattie
Joint Consultative Committees (JCCs)						✓	Sharon Beattie
Lagan CRM system	✓			✓			Linda Wilson
Leaders for the Future programme		✓			✓		Jean Byrne
Local Scrutiny Plan	✓	✓		✓		✓	Louise Pringle
Media Protocol		✓	✓				Emma Edwards
Minutes of meetings			✓	✓			Eamonn Daly
Modern Ambitious Programme (MAP)	✓						Louise Pringle
National (LGBF) benchmarking report	✓					✓	Steven Reid
National reporting requirements to Scottish Government / Audit Scotland						✓	All departments
Operational Risk Registers (Departmental)				✓			Jackie Martin
Outcome Delivery Plan (ODP)	✓	✓	✓		✓	✓	Kim Gear
Performance & Accountability Review (PAR) meetings	✓	✓	✓				Tracy Butler
Performance Management Guide		✓					Kim Gear
Performance Management Framework	✓	✓					Morag Brown
Performance Review and Development (PRD)		✓			✓		Pauline Cameron
Person specifications					✓		Sharon Beattie
Police and Fire Quarterly Cabinet meetings		✓					Jim Sneddon
Planning for the Future demographic document	✓	✓		✓		✓	Jackie Martin
Planning Scheme of Delegation		✓					Gillian McCarney
Probity Register			✓				Jackie Martin

Principle

1 2 3 4 5 6 Contact Officer

Protocol for Working Within Multi-Member Wards		✓					Eamonn Daly
Publication Scheme						✓	Craig Geddes
Records Management Plan						✓	Craig Geddes
Recruitment and Selection Code of Practice				✓			Sharon Beattie
Register of Members' & Employees' Interests			✓	✓			Caroline Innes
Risk Management Strategy	✓			✓			Jackie Martin
Scheme of Administration		✓		✓			Eamonn Daly
Scheme of Delegated Functions		✓		✓	✓		Eamonn Daly
Scheme of Members' Salaries & Expenses		✓					Sharon Beattie
Scottish Social Services Council registration			✓				Kate Rocks
Single Outcome Agreement (SOA)	✓	✓				✓	Tracy Butler
Social Media		✓	✓	✓	✓	✓	Emma Edwards
Socio-economic profiles				✓			Jamie Reid
Solicitor to the Council's Note on Distribution and Circulation of Papers		✓					Gerry Mahon
Strategic Environmental Assessment (SEA)	✓						Louise Carr
Strategy for the Future	✓		✓			✓	Jean Byrne
Strategic Risk Register				✓			Jackie Martin
Strategy Guidance		✓					Kim Gear
Unacceptable Actions Policy					✓		Morag Brown
Workforce Plan					✓		Sharon Beattie

END

Should you have difficulty contacting any of the officers above, please contact the Policy and Improvement Unit below:

Email: policyandimprovement@eastrenfrewshire.gov.uk

Tel: 0141 577 3075

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