

EAST RENFREWSHIRE COUNCIL
AUDIT AND SCRUTINY COMMITTEE

24 June 2021

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 2020/21 Code of Corporate Governance and to approve a new Code for 2021/22 (listed at Annex 1).

RECOMMENDATIONS

2. The Audit and Scrutiny Committee is asked to:-
- (a) Note progress on the 2020/21 Code of Corporate Governance improvement actions, and:
 - (b) Approve the Code of Corporate Governance updates and actions for 2021/22 (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.

6. The *Delivering Good Governance in Local Government* framework was revised in 2016. The Code comprises of seven governing principles and a set of supporting principles. The full set of principles is listed in the draft code in Annex 1. A diagram providing an 'at a glance' summary of the Council's evidence to ensure good corporate governance is included at the end of Annex 1 for ease of reference.

7. 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 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 2020/21.
 - Inclusion of an Annual Governance Statement in the Council's Annual Report and Accounts.

PROGRESS ON 2020/21 ACTIONS

8. In May 2021 an update on the actions from the 2020/21 Code of Corporate Governance update was produced. The update is attached at Annex 1 and is available to the public on the [council website](#).

9. Five of seven improvement activities listed in the 2020/21 code were completed:
- As part of risk management, the first annual "Fraud Response Statement" was approved by the Audit and Scrutiny Committee in September 2020.
 - Finalisation of the new Digital Customer Experience programme.
 - The Equalities and Human Rights Mainstreaming Report 2017-2021 was approved by Council in April. This includes 6 new Equality Outcomes for the period 2021-2025.
 - There was a full roll out of an investment reporting system for Capital and Investment projects.
 - The Outcome Delivery Plan 2020-2023 reflecting on recovery and renewal post-COVID-19 was approved at Council in October 2020.

The remaining activities have been carried forward into the 2021/22 plan. The plan outlining the next steps for Community Choices participatory budgeting events has been delayed due to current restrictions. The process will be completed 21/22. And the Climate Change Strategy and Action Plan is currently still under development.

UPDATED CODE OF CORPORATE GOVERNANCE FOR 2021/22

10. The updated Code of Corporate Governance for 2021/22 is included at Annex 1 and sets out arrangements which fulfil the seven governance principles outlined in the national guidance.

11. 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 scoring of this year's code found that we were compliant across all governance principles, apart from one relating to managing data. Internal auditor identified that data sharing agreements recorded on information asset registers were not up to date in March 2020. As a result, a new action relating to the roll out of a replacement Information Asset Register application has been added to the Code.

12. As well as the activities that have been carried forward from last year's plan a number of actions to be undertaken in 2021/22 to further improve compliance with the Code have been identified. Each action has been included only once to avoid duplication, with any references to other relevant supporting principles included for information. Key actions for 2021/22 are:

- Introducing a marketing campaign to raise awareness about the new complaints handling procedure and processes.
- Implementing a new Equality & Fairness Impact Assessment process and creating a central repository of all completed Impact Assessments on the Council webpage.
- Reviewing and updating the workforce plan.
- In response to an area of the Code that we are only partially compliant, one improvement action will focus on rolling out the replacement Information Asset Register (IAR)
- Community Choices participatory budgeting process/events will be completed by end 2021/22 (carried forward action).
- Climate Change Strategy and Action Plan remains under development. Target consultation and publication by end 2021/22 (carried forward action).

13. Some actions included within the report relate to several principles, however these actions are only mentioned once for brevity.

14. Once approved, the Code of Corporate Governance 2021/22 will be made available on the Council's website and a progress update on the actions will be made in May 2022 after the close of the 2021/22 financial year.

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 2020/21 Annual Report and Accounts is to be published later in the year. This Statement includes a progress summary of the 2020/21 Code of Corporate Governance actions and also references the 2021/22 Code.

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 evidence and in consultation with colleagues across the Council. Progress on planned actions for last year (2020/21) has been posted on the Council's website, accessible [here](#). Subject to Audit and Scrutiny Committee's approval the new revised Code for 2021/22 will also be posted on the Council's website in August 2021.

RECOMMENDATIONS

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

- (a) Note progress on the 2020/21 Code of Corporate Governance improvement actions.

- (b) Approve the Code of Corporate Governance updates and actions for 2021/22 (Annex 1).

Caroline Innes
Deputy Chief Executive
16 June 2021

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BACKGROUND PAPERS

- Code of Corporate Governance, Audit & Scrutiny Committee, 28 July 2020.

KEYWORDS

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

EAST RENFREWSHIRE COUNCIL

CODE OF CORPORATE GOVERNANCE 2021/22

Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1– not; 2– partial; 3–fully)	Further Action Required
1. Behaving with integrity	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"> • Codes of Conduct for Members & Employees • Members' Induction Programme • Council Values (reviewed 2019) • Quality Conversations framework 	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"> • Council Values • HR notices and policies • Customer Care standards • <u>New Council website</u> • Communications Strategy • Vision for the future strategy (reviewed 2019) • Citizens' panel findings on demonstrating council values 	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"> • Minutes of meetings • Council Standing Orders • Audit and Scrutiny Committee • Scheme of Administration • Scheme of Delegated Functions • Council values • Register of interests 	3	

Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1– not; 2– partial; 3–fully)	Further Action Required
	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"> • HR notices and policies • Social Media Policy & Media Protocol • <u>Anti-Fraud and Bribery strategy: Managing the Risk of Fraud and Corruption – Fraud Response Statement 2019/20</u> • Registers of interests (Councillor and Employee) • <u>New complaints procedure</u> • Unacceptable Actions Policy • Codes of Conduct for Members & Employees • Council Values • Leadership Competencies • Management & Leadership Development Programmes 	3	<u>Marketing campaign to raise awareness about the new complaints handling procedure and processes. Delivery of training programme to support efficient complaints handling via the new customer experience management system (GOSS), Responsible Officer: Sarah Jane Hayes and Morag Brown, completion August 2021</u>
2. Demonstrating strong commitment to ethical values	2.1 Seeking to establish, monitor and maintain the organisation's ethical standards and performance	<ul style="list-style-type: none"> • Minutes of committee meetings • Council Standing Orders • <u>Audit and Scrutiny Committee chaired by non-Administration councillor</u> • Scheme of Administration • Scheme of Delegated Functions 	3	
	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"> • Members' Induction Programme • Codes of Conduct for Members & Employees • Scheme of Delegated Functions • Council Values • Leadership Competencies 	3	

Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1– not; 2– partial; 3–fully)	Further Action Required
	2.3 Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values	<ul style="list-style-type: none"> • HR notices and policies • Contract Standing Orders • Quality Conversations • Chief Executive performance review meetings • Recruitment and Selection Code of Practice • Discipline & Grievance procedures • Corporate Procurement Strategy 	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"> • Codes of Conduct for Members & Employees • Contract Standing Orders • General Conditions of Purchase • Corporate Procurement Strategy • Integration scheme for ER HSCP • Culture and Leisure Trust – Transfer of Services Agreement and Articles of Association 	3	
3. Respecting the rule of law	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"> • Scheme of Administration • Council Values • Contract Standing Orders • Adherence to Local Government in Scotland Act • Other statutory provision (e.g. planning legislation, placing requests, freedom of information, data protection and health and safety requirements) • Role of Monitoring Officer • Financial Regulations • <u>Declarations of Employee interests</u> 	3	

Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1– not; 2– partial; 3–fully)	Further Action Required
	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"> • Codes of Conduct for Members & Employees • Scheme of Delegated Functions • Job descriptions • Financial Regulations • Compliant with CIPFA Statement on role of Chief Financial Officer • Council Standing Orders 	3	
	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"> • Legal files and emails • Outcome Delivery Plan 	3	
	3.4 Dealing with breaches of legal and regulatory provisions effectively	<ul style="list-style-type: none"> • Role of Monitoring Officer • Legal files and emails (e.g. response to Housing Regulator reports) • Adherence to Local Government in Scotland Act 2003 • Other statutory provision (e.g. planning legislation, placing requests, freedom of information and data protection requirements) 	3	

Principle B: Ensuring openness and comprehensive stakeholder engagement				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
1. Openness	1.1 Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness	<ul style="list-style-type: none"> • Community Plan & Outcome Delivery Plan • National reporting requirements to Scottish Government/Audit Scotland • <u>COVID-19 actions reports to Council throughout 2020 and into 2021</u> • Internal Audit annual report • Annual Report & Accounts • Annual Performance Report • Council and Community Planning Partnership (CPP) performance reports • Citizen Space engagement tool • Social media growth and content strategy • <u>New Council website</u> • Citizens' Panel reports • Council Standing Orders • Planning for the future demographic report • National LGBF benchmarking report • Annual Complaints report • Chief Social Work Officer Annual Report • Publication Scheme • Records Management Plan • FoI annual report • Council values • Communications Strategy • Insider magazine • Programme reporting & governance 	3	

Principle B: Ensuring openness and comprehensive stakeholder engagement				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
	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"> • Council meetings and webcasts • Council Standing Orders • <u>Audit and Scrutiny Committee chaired by non-Administration councillor</u> • Scheme of Administration • Scheme of Delegated Functions 	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"> • Scheme of Administration • Call-in procedure • Scheme of Delegated Functions • Committee Minutes and reports • Risk management strategy • Options appraisal guidance and training • Reporting arrangements • Unacceptable Actions Policy • <u>Integrated Impact Assessment (Equality, Fairness and Rights)</u> 	3	<u>Implement new Equality & Fairness Impact Assessment process and create a central repository of all completed Impact Assessments on council webpage.</u> <u>Responsible Officer: Jamie Reid, completion Spring 2022</u>
	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"> • Community Plan • Community Planning Partnership • Citizen Space community engagement tool • Social media interaction • Citizens' Panel reports • Service-level customer communication • Digital Customer Experience principles • <u>User/service design as part of MAP and training on Scottish Approach to Service Design</u> • <u>Community Benefits Wish List</u> 	3	

Principle B: Ensuring openness and comprehensive stakeholder engagement				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
2. Engaging comprehensively with institutional stakeholders	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"> • Outcome Delivery Plan • Vision for the Future strategy • Communications Strategy • Community Engagement for Fairer East Ren plan • Locality Planning - targeted and joint approaches to improving outcomes in specific communities 	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"> • Citizens' Panel reports • Community Planning Partnership • Voluntary organisations database • Community Groups database • Community Plan (incorporating Fairer East Ren) • <u>Jointwork with Voluntary Action East Renfrewshire as part of pandemic support response for local communities</u> 	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"> • Community Planning Partnership • Integration scheme for ER HSCP • Culture and Leisure Trust – Transfer of Services Agreement and Articles of Association 	3	

Principle B: Ensuring openness and comprehensive stakeholder engagement				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
3. Engaging stakeholders effectively, including individual citizens and service users	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"> • Citizen Space community engagement tool • Community Planning Partnership • <u>New Council website</u> • Participation Requests Framework 	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"> • Vision for the Future strategy • Citizen Space engagement tool • Service-level customer communication • Community Empowerment Act briefings • Community Engagement driver diagram • Communications Strategy • Social media growth and content strategy • Community engagement training 	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"> • CPP needs assessment • Citizens' panel data trends • Citizen Space engagement tool • Planning for the Future document • Communications Strategy • Social media growth and content strategy • Community engagement on Fairer East Ren plan • Locality Planning – targeted/joint approaches to improve outcomes in specific communities • <u>Equality and Human Rights Mainstreaming report published April 2021 including new equality outcomes</u> • <u>Supplier Development and Meet The Buyer Programme</u> 	3	

Principle B: Ensuring openness and comprehensive stakeholder engagement				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
	3.4 Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account	<ul style="list-style-type: none"> • Citizen Space community engagement tool • Social media & <u>new Council website</u> • Citizens' Panel reports • Complaints report • Communications Strategy 	3	
	3.5 Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity	<ul style="list-style-type: none"> • Citizen Space community engagement tool • Fairer East Ren community engagement exercise • Community mapping database • Locality Planning – targeted/joint approaches to improve outcomes in specific communities 	3	
	3.6 Taking account of the interests of future generations of tax payers and service users	<ul style="list-style-type: none"> • CPP needs assessment • Community mapping database • Social media engagement • Annual Report & Accounts • Annual Performance Report • Council and CPP performance reports • Vision for the Future strategy • Financial Planning • Planning for the future demographic document • Renewal theme of COVID-19 recovery 	3	

Principle C: Defining outcomes in terms of sustainable economic, social, and environmental benefits				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
1. Defining outcomes	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"> • Modern Ambitious change Programme (MAP) • Council vision, capabilities and values • Outcome Delivery Plan • Annual updates on Community Plan and Outcome Delivery Plan • Council Report – Financial Planning • <u>Capital Investment Strategy</u> • Community Planning Partnership (CPP) • Meetings • Vision for the Future strategy • Strategic Planning update for Council • Driver diagrams for 5 capabilities (incl. modernisation, data, digital and empowering communities) • <u>Digital Transformation Strategy 2021-24</u> 	3	
	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"> • Outcome Delivery Plan • Vision for the Future strategy • MAP change programme • Directors of Finance- Economic Forecasts/Benchmarking • Communications Strategy • Locality Planning • Budget planning process 	3	

Principle C: Defining outcomes in terms of sustainable economic, social, and environmental benefits				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
	1.3 Delivering defined outcomes on a sustainable basis within the resources that will be available	<ul style="list-style-type: none"> Annual updates on Community Plan and Outcome Delivery Plan Annual report and accounts Council Report – Financial Planning Treasury Management Strategy 	3	
	1.4 Identifying and managing risks to the achievement of outcomes	<ul style="list-style-type: none"> Strategic and operational risk registers Risk reporting Audit and Scrutiny and CMT risk monitoring Risk Management Strategy Business Continuity Planning 	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"> Public performance reporting 2021 Budget consultation exercise Participatory budgeting (PB) – engagement and participation in expenditure and policy developments e.g. ER Spaces for People (consultation on safe travel during Covid-19), Learning & Leisure in Neilston and support for Linking Communities: community led PB group. Outcome Participation Request policy and process 	3	<p><u>ONGOING</u> <u>Action deferred due to the COVID 19 pandemic.</u> <u>Community Choices participatory budgeting process/events have been delayed due to current restrictions.</u> <u>Responsible Officer: Dominique Carsisle-Fitz, process completed by 21/22</u></p>

Principle C: Defining outcomes in terms of sustainable economic, social, and environmental benefits				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
2. Sustainable economic, social and environmental benefits	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"> • <u>Capital programme/ Capital Investment Strategy</u> • City Deal • Invest East Renfrewshire • Sustainable procurement policy • Corporate Procurement Strategy • City Deal procurement strategy • Budget Strategy Group and annual budget process • PEST analysis in Vision for the Future • <u>Living Wage, Modern Slavery Charter, Community Benefits</u> 	3	
	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"> • Agendas, reports and minutes of meetings • Council Report – Financial Planning 2019-25 • <u>Capital Investment Strategy</u> • <u>Treasury Management Strategy</u> • Budget Strategy Group and annual budget process • Strategic risk register monitoring • Recovery & Renewal themes of COVID-19 response 	3	

Principle C: Defining outcomes in terms of sustainable economic, social, and environmental benefits				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
	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"> • Agendas, reports and minutes of meetings • Council Standing Orders • New Council website • Scheme of Administration • Budget consultation exercise • Main Issues Report & Local Development Plan 	3	<p>ONGOING</p> <p><u>Climate change views sought by Citizens' Panel in January 2021. Climate Change Strategy and Action Plan under development.</u></p> <p><u>Responsible Officer: Environment Leadership Support Officer, target consultation and publication by end 21/22.</u></p>
	2.4 Ensuring fair access to services	<ul style="list-style-type: none"> • Adhering to statutory guidance • Integrated Impact Assessment (Equality, Fairness and Rights) • Equality Outcomes Mainstreaming Plan and Report • Fairer Scotland Duty 	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
1. Determining interventions	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"> Options appraisals (including guidance & training) – mainstreamed into MAP & financial bid processes Council Standing Orders Agendas, reports and minutes of meetings Corporate template - options 	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"> Financial planning and financial management Budget Strategy Group Use of Citizens' Panel data Service/user design via MAP 'Consul' scoping and development – citizen engagement and participation software Use of 'Commonplace' – tool for plotting and responding to needs Use of Citizen Space community engagement tool across departments Local Development Plan 2 preparation 	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"> Cabinet system of governance Annual Cabinet work plan Six monthly strategic performance monitoring MAP & Investment Programme governance Multi-year budgeting Procurement Contract Register 	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
	2.2 Considering and monitoring risks facing each partner when working collaboratively including shared risks	<ul style="list-style-type: none"> • Community Planning Partnership including thematic outcome delivery groups • Risk Management Strategy • Strategic Risk Register • Business Continuity Planning 	3	
	2.3 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"> • Performance Management Framework • Evaluative approach to Service Business Planning • Outcome strategies • Outcome Delivery Plan • Community Plan 	3	
	2.4 Ensuring capacity exists to generate the information required to review service quality regularly	<ul style="list-style-type: none"> • Performance Management System • 6 monthly performance reporting 	3	
	2.5 Preparing budgets in accordance with organisational objectives, strategies and the medium-term financial plan	<ul style="list-style-type: none"> • Financial planning and management • Budget Strategy Group • Financial Planning 	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
3. Optimising achievement of intended outcomes	3.1 Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints	<ul style="list-style-type: none"> • Financial management and planning • Budget Strategy Group • Capital Investment Strategy • <u>Treasury Management Strategy</u> • Asset Management Plans • Budget engagement process • Capital planning • Local Development Plan • Participatory budgeting (PB) – participatory approaches to policy development and capital and revenue spend • <u>Community Benefits, Fair Working Practices</u> 	3	
	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"> • Asset Management Plans • Corporate Asset Management Group • Capital Project Appraisal Forms • Financial Planning • Revenue Savings Templates • Corporate Resource Planning (e.g. transformation fund, restructuring budget) • <u>Treasury Management Strategy</u> 	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"> • Financial Planning and management 	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
	3.4 Ensuring the achievement of 'social value' through service planning and commissioning	<ul style="list-style-type: none"> • Economic Development & City Deal approaches to community benefits • Change programmes • Corporate procurement • Alternative models of service delivery (HSCP) 	3	

Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
1. Developing the entity's capacity	1.1 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"> • Procurement Strategy • Option appraisal • APSE benchmarking reports • Participation in benchmarking groups & Local Government Benchmarking Framework report 	3	
	1.2 Recognising the benefits of partnerships and collaborative working where added value can be achieved	<ul style="list-style-type: none"> • CoSLA • Improvement Service engagement • Community Planning Partnership • ERCL Trust • HSCP • City Deal • Scotland Excel • Local Government Digital Partnership • Clyde Valley arrangements • <u>hubWest</u> • Shared services/collaborative arrangements • <u>Third Sector Interface via Voluntary Action East Renfrewshire</u> 	3	

Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
	1.3 Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources	<ul style="list-style-type: none"> • Workforce Plan and driver diagram • Planning for the Future staff profile • Vision for the Future strategy 	3	<u>Review and update workforce plan.</u> <u>Responsible Officer:</u> <u>Sharon Dick,</u> <u>completion June 2021.</u>
2.Developing the capability of the entity's leadership and other individuals	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"> • Scheme of delegated functions • Elected member inductions • Scheme of Administration • Codes of Conduct for Employees & Members • <u>Anti-Fraud, Bribery and Theft strategy: Managing the Risk of Fraud and Corruption – Fraud Response Statement 2019/20</u> • Job descriptions 	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"> • Scheme of Delegated Functions • Scheme of Administration • Council Standing Orders • Contract Standing Orders 	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"> • Job descriptions • Scheme of Delegated Functions • Quality Conversations • Six monthly corporate performance reporting 	3	

Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
	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"> • Member and Officer induction programme • Leaders for the Future programme • Vision for the Future strategy • Briefings to Members • Corporate Training Calendar • Brightwave e-learning • Atomic online video training • Quality Conversations • Member Training and Development Plans • Organisational Development Board 	3	
	2.5 Ensuring that there are structures in place to encourage public participation	<ul style="list-style-type: none"> • Citizens' Panel reports • Citizens' Space engagement tool • Community Councils and Tenant group support • Service/User design as part of MAP • Supporting community groups 	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"> • Member support team • Chief Executive and Member meetings • Member Training and Development Plans • Leadership training 360 feedback 	3	

Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
	2.7 Holding staff to account through regular performance reviews which take account of training or development needs	<ul style="list-style-type: none"> • Quality Conversations • Training and Development Plans • Annual review corporate training programme • Chief Executive and Member meetings 	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"> • HR and Health and Safety policies • <u>Implementation of new Health & Safety ICT system</u> • Healthy Working Lives Award • Employee counselling provision • Occupational Health provision • Stress risk assessment 	3	

Principle F: Managing risks and performance through robust internal control and strong public financial management				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
1. Managing risk	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"> • Scheme of Administration • Scheme of Delegated Functions • Risk management strategy • Corporate Management Team monitoring • Business Continuity Planning • Risk registers as part of response to and recovery from COVID-19 	3	
	1.2 Implementing robust and integrated risk management arrangements and ensuring that they are working effectively	<ul style="list-style-type: none"> • Risk management strategy 	3	
	1.3 Ensuring that responsibilities for managing individual risks are clearly allocated	<ul style="list-style-type: none"> • Risk management strategy • Risk Management Group • Audit and Scrutiny Committee role • Operational risk registers 	3	
2. Managing performance	2.1 Monitoring service delivery effectively including planning, specification, execution and independent post-implementation review	<ul style="list-style-type: none"> • Strategic planning and performance arrangements (Outcome Delivery Plan, Community Plan) • Council Minutes and Committee reports • Performance Management Framework • Corporate Asset Management Group 	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"> • Member Support team • Corporate report format guidance • Council Minutes and Committee reports 	3	

Principle F: Managing risks and performance through robust internal control and strong public financial management				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
	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"> • Scheme of Administration • Scheme of Delegated Functions • Codes of Conduct for Members and Employees Recruitment and Selection Code of Practice • Registers of interests (Member and Officer) • <u>Anti-Fraud, Bribery and Theft strategy: Managing the Risk of Fraud and Corruption – Fraud Response Statement 2019/20</u> • Council Standing Orders • Annual Governance Statement • Adherence to Local Gov. in Scotland Act • <u>Audit and Scrutiny Committee chaired by non-Administration councillor</u> • Call-in procedure • Establishment of Emergencies Committee as part of COVID-19 response 	3	
	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"> • Directors' 1:1s with Convenors • Performance management framework • Strategic and service business plan monitoring arrangements 	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"> • Contract Standing Orders • Financial planning and management • Annual Report and Accounts 	3	

Principle F: Managing risks and performance through robust internal control and strong public financial management				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
3. Robust internal control	3.1 Aligning the risk management strategy and policies on internal control with achieving objectives	<ul style="list-style-type: none"> • Risk management strategy • Strategic risk register • Internal audit plan and reports • Risks linked to outcomes in key plans 	3	
	3.2 Evaluating and monitoring risk management and internal control on a regular basis	<ul style="list-style-type: none"> • Risk management strategy • Budget monitoring arrangements 	3	
	3.3 Ensuring effective counter fraud and anti-corruption arrangements are in place	<ul style="list-style-type: none"> • <u>Anti-Fraud, Bribery and Theft strategy: Managing the Risk of Fraud and Corruption – Fraud Response Statement 2019/20</u> • Compliance with the Code of practice on managing the risk of fraud and corruption 	3	
	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"> • <u>Annual Governance Statement</u> • <u>Annual Report and Accounts</u> • <u>Internal audit work plan</u> • <u>Audit and Scrutiny Committee oversight of Internal /External Audit and Strategic Risks</u> 	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"> • <u>Audit and Scrutiny Committee chaired by non-Administration councillor</u> • <u>Audit and Scrutiny Committee oversight of Internal /External Audit and Strategic Risks</u> • <u>Use of 'call in' procedures</u> 	3	

Principle F: Managing risks and performance through robust internal control and strong public financial management				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
4. Managing data	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"> • Codes of Conduct for Members and Employees • Recruitment and Selection Code of Practice • Registers of Members' and Employees' interests • <u>Anti-Fraud, Bribery and Theft strategy: Managing the Risk of Fraud and Corruption – Fraud Response Statement 2019/20</u> • Corporate training and guidance notes on FOI, Regulation of Investigatory Powers and Data Protection • Data Loss Prevention programme • Data Protection (e-courses) • Information Governance Officer • Data protection policies • Records Management Plan 	3	

Principle F: Managing risks and performance through robust internal control and strong public financial management				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
	4.2 Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies	<ul style="list-style-type: none"> • Data Loss Prevention programme • Information Governance Officer • Data protection policies • <u>Digital Information Asset Register</u> 	2	Roll out the replacement Information Asset Register (IAR) application, with a focus on: identifying IAR users across departments; reviewing and building on Third Party sharing guidance (includes data processing agreements & information sharing protocols) for IAR users; and supporting users to populate the register with Asset details, relevant sharing documentation and review dates. Responsible Officer: TBC, completion by Spring 2023

Principle F: Managing risks and performance through robust internal control and strong public financial management				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
	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"> • Performance Management Framework • Sign off procedures • Mid and end year reporting • Mid and end year review meetings • Local Government Benchmarking Framework analysis 	3	
5. Strong public financial management	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"> • Financial planning and management arrangements • Council Report - Financial Planning • <u>Capital Investment Strategy</u> • <u>Treasury Management Strategy</u> • Outcome Delivery Plan • Finance Business Partner Approach 	3	
	5.2 Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks & controls	<ul style="list-style-type: none"> • Budget monitoring reports • Annual report and accounts • Finance Business Partner Approach • <u>Core Systems development</u> 	3	

Principle G: Implementing good practices in transparency, reporting, and audit to deliver effective accountability				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
1. Implementing good practice in transparency	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"> • <u>New Council website</u> • Corporate Reporting Format guidance • Communications strategy 	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"> • Annual Public Performance Report • <u>New Council website</u> - performance pages • Evaluation of public performance reporting arrangements 	3	
2. Implementing good practices in reporting	2.1 Reporting at least annually on performance, value for money and the stewardship of its resources	<ul style="list-style-type: none"> • Annual report and accounts • Annual Public Performance Report • Performance Management Framework • Local Government Benchmarking Framework • Annual Performance Report 	3	
	2.2 Ensuring members and senior management own the results	<ul style="list-style-type: none"> • Discussion at Council/Cabinet/Committees • Chief Executive review meetings • Chief Executive's 'Quality Conversation' 	3	

Principle G: Implementing good practices in transparency, reporting, and audit to deliver effective accountability				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
	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"> Annual governance statement Code of Corporate Governance improvement actions published online 	3	
	2.4 Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate	<ul style="list-style-type: none"> Annual governance statement- included in annual accounts and publicly available 	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"> Recent review of annual account format to improve accessibility 	3	
3. Assurance and effective accountability	3.1 Ensuring that recommendations for corrective action made by external audit are acted upon	<ul style="list-style-type: none"> Recommendations made by external audit acted upon Audit Scotland Annual Audit Report to Members and the Controller of Audit East Renfrewshire Best Value report 	3	
	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"> Compliance with CIPFA's statement on the role of the head of internal audit Compliance with public sector internal audit standards 	3	
	3.3 Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations	<ul style="list-style-type: none"> Recommendations made by peer reviews/inspections/regulatory and bodies considered and included in plans for implementation e.g. thematic review cycle in schools 	3	

Principle G: Implementing good practices in transparency, reporting, and audit to deliver effective accountability				
Sub Principle	Requirement	Evidence	Evaluation of Requirement Against Code (1 – not; 2 – partial; 3 – fully)	Further Action Required
	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"> Annual Governance Statement 	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"> Community Planning Partnership governance arrangements Ongoing approach to community engagement, participation and feedback on decisions 	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 | Council Values |
| Outcome strategies | Governance Statement |
| Capital Investment Strategy | Codes of Conduct |
| Anti-Fraud, Bribery & Theft Strategy | Register of Interests |
| Corporate Procurement Strategy | Social Media Policy & Protocol |
| Risk Management Strategy | Customer Care Standards |
| Communications Strategy | <u>Procurement Contract Register</u> |
| Strategic Risk Register | <u>Digital Information Asset</u> |
| <u>Capital Investment Strategy</u> | <u>Register</u> |
| <u>Digital Transformation Strategy</u> | <u>Living Wage</u> |
| <u>2021-24</u> | <u>Modern Slavery Charter</u> |
| <u>Treasury Management Strategy</u> | <u>Declarations of Employee</u> |
| | <u>Interests</u> |

Plans, policies and reports

- | | |
|--------------------------------------------|----------------------------------------|
| Community Plan (including Fairer East Ren) | Public Performance Report |
| Outcome Delivery Plan | Internal Audit Reports |
| Local Scrutiny Plan | LGBF Benchmarking Report |
| Mainstreaming Equality Plan | Strategic Performance Reports |
| Asset Management Plans | Citizens' Panel Report |
| Records Management Plan | Audit & Scrutiny Reports |
| Workforce Plan | Financial Planning Report |
| New Complaints Procedure | Annual Report & Accounts |
| Unacceptable Actions Policy | Change & Investment |
| <u>COVID-19 actions reports</u> | Service Business Plans |
| Meeting Agendas and Minutes | <u>Equality & HR Mainstreaming</u> |
| Programmes | <u>Report</u> |
| Local Development Plan | |

Supporting Processes, Systems and Monitoring

- HR policies
- Leadership Competencies
- Recruitment Code of Practice
- Inductions and training
- Quality Conversations framework
- Job Descriptions
- Monitoring Officer
- Performance Management Framework
- Inspection regimes
- New Council website
- Community Planning Partnership
- Budget monitoring
- Data Protection/Information Governance policies
- Risk Monitoring
- Audit & Scrutiny Committee
- Council Standing Orders
- Scheme of Delegated functions
- Scheme of Administration
- Contract Standing Orders
- Financial Regulations
- Integrated Impact Assessment (Equality, Fairness and Rights)
- Community Benefits Wish List
- Supplier Development and Meet The Buyer Programme
- Fair Working Practices
- hubWest
- Third Sector Interface via Voluntary Action East Renfrewshire
- Implementation of new H&S ICT system
- Core Systems development

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