



Code of Corporate Governance 2021/22

| | |
|----------------|----------------------|
| Date | 30 May 2022 |
| Version | v0.1 – annual update |

Principle 1: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

1.1 Supporting Principle: Behaving with integrity

Evaluation Key

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

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|---|--|------------------|--------|--------------|
| 1.1.1 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 | Codes of conduct - Ethical Framework - Part F page 185 | 3 | | D. Logan |
| | Individual sign off with regard to compliance with the code | 3 | | |
| | Induction for new members and staff on standard of behaviour expected | 3 | | |
| | Performance Appraisals | 3 | | |
| | Declarations of Interest made at meetings - Standing Orders for meetings - Part B page 23 | 3 | | |
| 1.1.2 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) | Communicating shared values with members, staff, the community and partners Ethical Framework - Part F page 185 | 3 | | D. Logan |
| 1.1.3 Leading by example and using these standard operating principles or values as a framework for decision making and other actions | Decision making practices | 3 | | D. Logan |
| | Declarations of interests made at meetings - Standing Orders for meetings - Part B page 23 | 3 | | |

| | | | | |
|--|---|---|--|----------|
| | Conduct at meetings - Standing Orders for meetings - Part B page 23 | 3 | | |
| | Shared values guide decision making | 3 | | |
| | Develop and maintain an effective standards committee | | | |
| 1.1.4 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 | Anti-fraud and corruption policies are working effectively - Anti Fraud Strategy - Part D page 137 | 3 | | D. Logan |
| | Up-to-date register of interests (members and staff) - Councillors register of interests | 3 | | |
| | Up-to-date register of gifts and hospitality - Councillors register of interests | 3 | | |
| | Whistleblowing policies are - in place and protect individuals raising concerns Whistleblowing Policy - Part F page 185 | 3 | | |
| | Whistleblowing policy has been made available to members of the public, employees, partners and contractors | 3 | | |
| | Complaints policy and examples of responding to complaints about behaviour - Complaints procedure and reports | 3 | | |
| | Changes/improvements as a result of complaints received and acted upon Complaints annual report | 3 | | |
| | Members' and officers' code of conduct refers to a requirement to declare interests - Ethical Framework - Part F page 185 | 3 | | |
| | Minutes show declarations of interest were sought and appropriate declarations made - Agenda for Council budget meeting on 25 February 2021 | 3 | | |

1.2 Supporting Principle: Demonstrating strong commitment to ethical values

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|---|--|------------------|--------|------------------|
| 1.2.1 Seeking to establish, monitor and maintain the organisation's ethical standards and performance | Scrutiny of ethical decision making - Audit and Scrutiny Committee | 3 | | D. Hendry |
| | Championing ethical compliance at governing body level - Monitoring Officer Protocol - page 233 | 3 | | |
| 1.2.2 Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation | Provision of ethical awareness training | 3 | | D. Logan |
| 1.2.3 Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values | Appraisal processes take account of values and ethical behaviour | 3 | | Heads of Service |
| | Staff appointments policy | 3 | | J. Fowler |
| | Procurement policy - procurement | 3 | | D. Logan |
| 1.2.4 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 | Agreed values in partnership working: <ul style="list-style-type: none"> – statement of business ethics communicates commitment to ethical values to external suppliers – ethical values feature in contracts with external service providers - procurement | 3 | | J. Fowler |
| | Protocols for partnership working - Community Planning | 3 | | |

1.3 Supporting Principle: Respecting the rule of law

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|---|---|------------------|--------|--------------|
| 1.3.1 Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations | Statutory provisions and statutory Guidance is followed | 3 | | D. Logan |
| | Constitution in place - Constitution | 3 | | |
| 1.3.2 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 | Job Descriptions/Specifications | 3 | | J. Fowler |
| | Compliance with CIPFA's Statement on the Role of the Chief Financial Officer in Local Government (CIPFA, 2016) | 3 | | K. Flanagan |
| | Terms of reference - Scheme of Administration and delegations - Part C Page 51 | 3 | | D. Logan |
| | Committee Support | 3 | | |
| 1.3.3 Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders | Record of legal advice provided by officers | 3 | | D. Logan |
| 1.3.4 Dealing with breaches of legal and regulatory provisions effectively | Monitoring officer provisions - Ethical Framework - Part F page 185 | 3 | | D. Logan |
| | Record of legal advice provided by officers | 3 | | |
| | Statutory provisions | 3 | | |
| 1.3.5 Ensuring corruption and misuse of power are dealt with effectively | Effective anti-fraud and corruption policies and procedures - Anti Fraud Strategy - Part D page 137 | 3 | | D. Logan |
| | Whistle Blowing Policy - Whistleblowing Policy - Part F page 185 | 3 | | |

| | | | | |
|--|---|--|--|-------------|
| | Local test of assurance (where appropriate) | | | K. Flanagan |
|--|---|--|--|-------------|

Principle 2: Ensuring openness and comprehensive stakeholder engagement

2.1 Supporting Principle: Openness

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

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|---|---|------------------|--------|--------------|
| 2.1.1 Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness | Annual report - Annual Reports | 3 | | P. Milne |
| | Freedom of Information Publication Scheme - Publication Scheme | 3 | | D. Logan |
| | Online Council Tax Information - Council Tax | 3 | | J. Fowler |
| | Council's goals and values - Plans, Policies and Key Documents | 3 | | P. Milne |
| | Council website - home page | 3 | | J. Fowler |
| | Publication of Council meeting Agendas and Papers - Meetings, agendas, and minutes | 3 | | D. Logan |
| | Publication of Audit and Scrutiny Committee Agendas and Papers - Audit and Scrutiny Committee | 3 | | |
| 2.1.2 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 | Record of decision making and supporting materials – Council Webcasting | 3 | | D. Logan |

| | | | | |
|---|---|---|--|-----------|
| 2.1.3 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 | Decision making protocols | 3 | | |
| | Report pro-formas | 3 | | |
| | Record of professional advice in reaching decisions - Meetings, agendas, and minutes | 3 | | |
| | Meeting reports show details of advice given - Meetings, agendas, and minutes | 3 | | |
| | Discussion between members and officers on the information needs of members to support decision making | 3 | | |
| | Agreement on the information that will be provided and timescales | 3 | | |
| | Calendar of dates for submitting, publishing and distributing timely reports is adhered to - Meetings, agendas, and minutes | 3 | | |
| 2.1.4 Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/courses of action | Community strategy - Community Development | 3 | | J. Fowler |
| | Use of consultation feedback - Consultation Diary | 3 | | |
| | Citizen survey - Citizens' Panel | 3 | | |
| | Staff Survey | 3 | | |

2.2 Supporting Principle: Engaging comprehensively with institutional stakeholders

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|--|--|------------------|--------|--------------|
| 2.2.1 Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that | Communication strategy | 3 | | J. Fowler |

| | | | | |
|--|---|---|--|-----------|
| outcomes are achieved successfully and sustainably | | | | |
| 2.2.2 Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively | Database of stakeholders with whom the authority should engage and for what purpose and a record of an assessment of the effectiveness of any changes | 3 | | J. Fowler |
| 2.2.3 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 | Partnership Framework - communitydevelopment | 3 | | J. Fowler |
| | Partnership protocols - CommunityPlanning | 3 | | |
| | Data Sharing protocols | 3 | | D. Logan |

2.3 Supporting Principle: Engaging stakeholders effectively, including individual citizens and service users

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|---|--|------------------|--------|--------------|
| 2.3.1 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 | Record of public consultations - Consultation Diary | 3 | | J. Fowler |
| | Partnership framework - communitydevelopment | 3 | | |
| 2.3.2 Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement | Communications strategy | 3 | | |

| | | | | |
|--|---|---|--|-------------|
| 2.3.3 Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs | Communications strategy | 3 | | |
| | Joint strategic needs assessment | 3 | | K. Flanagan |
| 2.3.4 Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account | Communications strategy | 3 | | J. Fowler |
| 2.3.5 Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity | Processes for dealing with competing demands within the community, for example a consultation | 3 | | J. Fowler |
| 2.3.6 Taking account of the interests of future generations of tax payers and service users | Reports | 3 | | K. Flanagan |
| | Joint strategic needs assessment | 3 | | |

Principle 3: Defining outcomes in terms of sustainable economic, social, and environmental benefits

3.1 Supporting Principle: Defining outcomes

Evaluation Key

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

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|--|--|------------------|--------|--------------|
| 3.1.1 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 | Vision used as a basis for corporate and service planning - Corporate plan | 3 | | P. Milne |

| | | | | |
|---|--|---|--|------------------|
| 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 | Community engagement and involvement - Community Planning and Community Development | 3 | | |
| | Corporate and Service plans - Service Plans - Overview | 3 | | P. Milne |
| | Community strategy - Community Planning and Community Development | 3 | | |
| | De-carbonisation Plan - decarbonisation plan | 3 | | F. Murray |
| 3.1.3 Delivering defined outcomes on a sustainable basis within the resources that will be available | Regular reports on progress | 3 | | K. Flanagan |
| 3.1.4 Identifying and managing risks to the achievement of outcome | Performance trends are established and reported upon - performance and improvement framework | 3 | | K. Flanagan |
| | Risk management protocols | 3 | | |
| 3.1.5 Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available | An agreed set of quality standard measures for each service element are included in service plans - Service Plans - Overview | 3 | | Heads of Service |
| | Processes for dealing with competing demands within the community - Community Planning and Community Development | 3 | | P. Milne |

3.2 Supporting Principle: Sustainable economic, social and environmental benefits

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|--|--|------------------|--------|--------------|
| 3.2.1 Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision | Capital investment is structured to achieve appropriate life spans and adaptability for future use so that resources are spent on optimising social, economic and environmental wellbeing: | 3 | | K. Flanagan |

| | | | | |
|---|--|---|--|----------|
| | <p>– Capital programme</p> <p>– Capital investment strategy - Council Plans and Strategies</p> | | | |
| 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 | Discussion between members and officers on the information needs of members to support decision making | 3 | | D. Logan |
| | Record of decision making and supporting materials - Meetings, agendas, and minutes | 3 | | |
| 3.2.3 Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs | Record of decision making and supporting materials - Meetings, agendas, and minutes | 3 | | D. Logan |
| | Protocols for consultation - Consultation Diary | 3 | | |
| 3.2.4 Ensuring fair access to services | Protocols ensure fair access and statutory guidance is followed | 3 | | D. Logan |

Principle 4: Determining the interventions necessary to optimise the achievement of the intended outcomes

4.1 Supporting Principle: Determining interventions

Evaluation Key

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

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|--|--|------------------|--------|--------------|
| 4.1.1 Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes | Discussion between members and officers on the information needs of members to support decision making | 3 | | D. Logan |

| | | | | |
|--|---|---|--|------------------|
| would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided | | | | |
| | Decision making protocols | 3 | | |
| | Option appraisals | 3 | | Heads of Service |
| | Agreement of information that will be provided and timescales | 3 | | D. Logan |
| 4.1.2 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 resources available including people, skills, land and assets and bearing in mind future impacts | Financial strategy - Council Plans and Strategies | 3 | | K. Flanagan |

4.2 Supporting Principle: Planning interventions

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|---|--|------------------|--------|--------------|
| 4.2.1 Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets | Calendar of dates for developing and submitting plans and reports that are adhered to - Meetings, agendas, and minutes | 3 | | D. Logan |
| 4.2.2 Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered | Communication strategy | 3 | | J. Fowler |
| 4.2.3 Considering and monitoring risks facing each partner when working collaboratively including shared risks | Partnership framework - Community Planning and Community Development | 3 | | P. Milne |
| | Risk management protocol | 3 | | K. Flanagan |

| | | | | |
|---|--|---|--|------------------|
| | | | | |
| 4.2.4 Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances | Planning protocols | 3 | | P. Milne |
| 4.2.5 Establishing appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured | KPIs have been established and approved for each service element and included in the service plan and are reported upon regularly - LGBF | 3 | | Heads of Service |
| 4.2.6 Ensuring capacity exists to generate the information required to review service quality regularly | Reports include detailed performance results and highlight areas where corrective action is necessary | 3 | | Heads of Service |
| 4.2.7 Preparing budgets in accordance with organisational objectives, strategies and the medium-term financial plan | Evidence that budgets, plans and objectives are aligned - business outcomes mapped to corporate plan | 3 | | K. Flanagan |
| 4.2.8 Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy | Budget guidance and protocols - Budget challenge | 3 | | K. Flanagan |
| | Medium term financial plan | 3 | | |
| | Corporate plans - Plans, Policies and Key Documents | 3 | | P. Milne |

4.3 Supporting Principle: Optimising achievement of intended outcomes

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|---|--|------------------|--------|--------------|
| 4.3.1 Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints | Feedback surveys and exit/decommissioning surveys | 3 | | K. Flanagan |
| | Changes as a result | 3 | | |

| | | | | |
|--|---|---|--|------------------|
| 4.3.2 Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term | Budget guidance and proposals - Budget challenge | 3 | | K. Flanagan |
| 4.3.3 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 | Financial strategy - Council Plans and Strategies | 3 | | K. Flanagan |
| 4.3.4 Ensuring the achievement of 'social value' through service planning and commissioning | Service plans demonstrate consideration of 'social value' | 3 | | Heads of Service |
| | Achievement of 'social value' is monitored and reported on | 3 | | |

Principle 5: Developing the entity’s capacity, including the capability of its leadership and the individuals within it

5.1 Developing the entity’s capacity

Evaluation Key

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

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|---|--|------------------|--------|-------------------|
| 5.1.1 Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness | Regular reviews of activities, outputs and planned outcomes - Budget challenge | 3 | | Senior Management |
| 5.1.2 Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority’s resources are allocated so that outcomes are achieved effectively and efficiently | Utilisation of research and benchmarking exercises - LGBF | 3 | | Heads of Service |
| 5.1.3 Recognising the benefits of partnerships and collaborative working where added value can be achieved | Effective operation of partnerships which deliver agreed outcomes - Community Planning and Community Development | 3 | | P. Milne |
| 5.1.4 Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources | Workforce Plan - strategic workforce plan | 3 | | J. Fowler |
| | Organisational development plan | 3 | | |

5.2 Supporting Principle: Developing the capability of the entity’s leadership and other individuals

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|---|--|------------------|--------|--------------|
| 5.2.1 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 | Job Descriptions | 3 | | J. Fowler |
| | Chief Executive and Leader pairings have considered how best to establish and maintain effective communication | 3 | | P. Milne |
| 5.2.2 Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body | Scheme of delegation reviewed at least annually in the light of legal and organisational changes - Scheme of Administration and delegations - Part C Page 51 | 3 | | D. Logan |
| | Standing orders and financial regulations which are reviewed on a regular basis - Financial and Security - Part D page 109 | 3 | | |
| 5.2.3 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 | Clear statement of respective roles and responsibilities and how they will be put into practice - Scheme of Administration and delegations - Part C Page 51 | 3 | | D. Logan |
| 5.2.4 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 | Access to courses/information briefings on new legislation | 3 | | D. Logan |

| | | | | |
|---|---|---|--|---------------------------|
| | | | | |
| 5.2.5 Ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged | Induction programme | 3 | | D. Logan |
| | Personal development plans for members and officers | 3 | | D. Logan |
| 5.2.6 Ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis | Able to scrutinise and challenge | 3 | | Executive Leadership Team |
| | Recognise when outside expert advice is required | 3 | | |
| | Promote trust | 3 | | |
| | Work in Partnership | 3 | | |
| | Lead the Organisation | 3 | | |
| | Act as a community leader | 3 | | |
| 5.2.7 Ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from both internal and external governance weaknesses | Arrangements for succession planning | 3 | | J. Fowler |
| 5.2.8 Ensuring that there are structures in place to encourage public participation | Residents panels | 3 | | J. Fowler |
| | Stakeholder forums terms of reference | 3 | | |
| | Strategic Partnership Frameworks | 3 | | |
| 5.2.9 Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections | Reviewing individual member performance on a regular basis taking account of their attendance and considering any training or development needs | 3 | | D. Logan |
| | Peer reviews | 3 | | Executive Leadership Team |

| | | | | |
|---|---|---|--|-----------|
| 5.2.10 Holding staff to account through regular performance reviews which take account of training or development needs | Training and Development Plan | 3 | | J. Fowler |
| | Staff development plans linked to appraisals | 3 | | |
| | Implementing appropriate human resource policies and ensuring that they are working effectively | 3 | | |
| 5.2.11 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 | Human Resources policies | 3 | | J. Fowler |

Principle 6: Managing risks and performance through robust internal control and strong public financial management

6.1 Supporting Principle: Managing Risk

Evaluation Key

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

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|--|--|------------------|--------|--------------|
| 6.1.1 Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making | Risk Management protocol | 3 | | K. Flanagan |
| 6.1.2 Implementing robust and integrated risk management arrangements and ensuring that they are working effectively | Risk management strategy/ policy formally approved, adopted, reviewed and updated on a regular basis | 3 | | |
| 6.1.3 Ensuring that responsibilities for managing individual risks are clearly allocated | Risk Management protocol | 3 | | |

6.2 Supporting Principle: Managing performance

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|--|---|------------------|--------|------------------|
| 6.2.1 Monitoring service delivery effectively including planning, specification, execution and independent post implementation review | Performance map showing all key activities have performance measures | 3 | | Heads of Service |
| | Benchmarking information - LGBF | 3 | | |
| | Cost performance (using inputs and outputs) | | | |
| | Calendar of dates for submitting, publishing and distributing timely reports that are adhered to - Meetings, agendas, and minutes | 3 | | D. Logan |
| 6.2.2 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 | Discussion between members and officers on the information needs of members to support decision making | 3 | | D. Logan |
| | Publication of agendas and minutes of meetings - Meetings, agendas, and minutes | 3 | | |
| | Agreement on the information that will be needed and timescales | 3 | | |
| 6.2.3 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 support balanced and effective decision making | The role and responsibility for scrutiny has been established and is clear - Audit and Scrutiny Committee | 3 | | K. Flanagan |
| | Scrutiny Framework and Manual established and approved on an annual basis by the Audit and Scrutiny Committee | 3 | | |
| | Scrutiny reviews published | 3 | | |

| | | | | |
|---|---|---|--|-------------|
| | Agenda and minutes of scrutiny meetings | 3 | | |
| | Evidence of improvements as a result of scrutiny | 3 | | |
| | Terms of reference | 3 | | |
| | Training for members | 3 | | |
| | Membership | 3 | | |
| 6.2.4 Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement | Calendar of dates for submitting, publishing and distributing timely reports that are adhered to - Meetings, agendas, and minutes | 3 | | D. Logan |
| 6.2.5 Ensuring there is consistency between specification stages (such as budgets) and post-implementation reporting (eg financial statements) | Financial standards guidance - Budget challenge | 3 | | K. Flanagan |
| | Financial regulations and standing orders - Constitution | 3 | | K. Flanagan |

6.3 Supporting Principle: Robust internal control

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|---|--|------------------|--------|--------------|
| 6.3.1 Aligning the risk management strategy and policies on internal control with achieving objectives | Risk management strategy | 3 | | K. Flanagan |
| | Audit plan | 3 | | |
| | Continuous monitoring of key financial systems as part of the Audit plan | 3 | | |
| | Audit reports | 3 | | |
| 6.3.2 Evaluating and monitoring risk management and internal control on a regular basis | Risk management strategy/ policy has been formally approved and adopted and is reviewed and updated on a regular basis | 3 | | K. Flanagan |

| | | | | |
|--|--|---|--|-------------|
| 6.3.3 Ensuring effective counter fraud and anti-corruption arrangements are in place | Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA, 2014) | 3 | | K. Flanagan |
| | Whistle Blowing policy - Whistleblowing Policy - Part F page 185 | 3 | | |
| | Appointment of Counter Fraud team | 3 | | |
| 6.3.4 Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor | Annual governance statement | 3 | | K. Flanagan |
| | Effective internal audit service is resourced and maintained | 3 | | |
| 6.3.5 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 | Audit committee complies with best practice – Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA, 2013) - Audit and Scrutiny Committee | 3 | | K. Flanagan |
| | Independent Chair of Audit and Scrutiny Committee | 3 | | |
| | Terms of reference | 3 | | |
| | Membership | 3 | | |
| | Training | 3 | | |

6.4 Supporting Principle: Managing Data

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|---|--|------------------|--------|--------------|
| 6.4.1 Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data | Data management framework and procedures | 3 | | D. Logan |
| | Designated data protection officer | 3 | | |

| | | | | |
|---|---|---|--|------------------|
| | Data protection policies and procedures | 3 | | |
| 6.4.2 Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies | Data sharing agreements | 3 | | D. Logan |
| | Data sharing register | 3 | | |
| | Data processing agreements | 3 | | |
| 6.4.3 Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring | Data quality procedures and reports | 3 | | Heads of Service |
| | Data validation procedures | 3 | | |

6.5 Supporting Principle: Strong Public Financial Management

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|---|--|------------------|--------|------------------|
| 6.5.1 Ensuring financial management supports both long-term achievement of outcomes and short-term financial and operational performance | Financial management supports the delivery of services and transformational change as well as securing good stewardship - Council Plans and Strategies | 3 | | K. Flanagan |
| 6.5.2 Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls | Budget monitoring reports and engagement meetings with officers | 3 | | Heads of Service |

Principle 7: Implementing good practices in transparency, reporting, and audit to deliver effective accountability

7.1 Supporting Principle: Implementing Good Practice In Transparency

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

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|---|--|------------------|--------|------------------|
| 7.1.1 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 | Website | 3 | | Heads of Service |
| 7.1.2 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 | Annual Report - Annual Reports | 3 | | P. Milne |

7.2 Supporting Principle: Implementing good practices in reporting

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|--|--|------------------|--------|--------------|
| 7.2.1 Reporting at least annually on performance, value for money and the stewardship of its resources | Formal annual report which includes key points raised by external scrutineers and service users' feedback on service delivery - Annual Reports | 3 | | P. Milne |
| | Annual financial statements - Annual Reports | 3 | | K. Flanagan |

| | | | | |
|--|--|---|--|-------------|
| 7.2.2 Ensuring members and senior management own the results | Appropriate approvals | 3 | | K. Flanagan |
| 7.2.3 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) | Annual governance statement - Financial Statements | 3 | | K. Flanagan |
| 7.2.4 Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate | Annual governance statement - Financial Statements | 3 | | K. Flanagan |
| 7.2.5 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 | Format follows best practice | 3 | | K. Flanagan |

7.3 Supporting Principle: Assurance and effective accountability

| Local Code | Evidence Demonstrating Compliance with links to full documents/further information | Evaluation 21/22 | Action | Lead Officer |
|--|--|------------------|--------|--------------|
| 7.3.1 Ensuring that recommendations for corrective action made by external audit are acted upon | Recommendations have informed positive improvement | 3 | | K. Flanagan |
| 7.3.2 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 | Compliance with CIPFA's Statement on the Role of the Head of Internal Audit (2010) | 3 | | K. Flanagan |
| | Compliance with Public Sector Internal Audit Standards | 3 | | K. Flanagan |

| | | | | |
|---|---|---|--|-------------------|
| 7.3.3 Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations | Recommendations have informed positive improvement | 3 | | Senior Management |
| 7.3.4 Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement | Annual governance statement - Financial Statements | 3 | | K. Flanagan |
| 7.3.5 Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met | Community strategy - Community Planning and Community Development | 3 | | P. Milne |