

Annual Governance Statement and Local Code review 2020/21

Appendix 4

CIPFA Delivering Good Governance in Local Government: Framework				SLDC	
Principle	Sub principle	Behaviours and Actions that demonstrate good governance in practice	Examples of systems and processes etc per guidance	Local Code Ref	
A	Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law	Behaving with integrity	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	A7
				Individual sign off with regard to compliance with code	Not judged to be necessary, behavioural expectations are clear and part of annual appraisal process.
				Induction for new members and staff on standard of behaviour expected	A19
				Performance appraisals	A20
A	Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law	Behaving with integrity	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	A5
A	Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law	Behaving with integrity	Leading by example and using these standard operating principles or values as a framework for decision making and other actions	Decision making practices	A6
				Declarations of interests made at meetings	A9
				Conduct at meetings	A5
				Shared values guide decision making	A6
			Develop and maintain an effective standards committee	A8	

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A	Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law	Behaving with integrity	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	A17
				Up-to-date register of interests (members and staff)	A9/A12
				Up-to-date register of gifts and hospitality	A9/A12
				Whistleblowing policies are in place and protect individuals raising concerns	A16
				Whistleblowing policy has been made available to members of the public, employees, partners and contractors	A16
				Complaints policy and examples of responding to complaints about behaviour	A13
				Changes/improvements as a result of complaints received and acted upon	A13
				Members and officers code of conduct refers to a requirement to declare interests	A9
				Minutes show declarations of interest were sought	A9
				Review of Code of Conduct for members	A9
A	Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law	Demonstrating strong commitment to ethical values	Seeking to establish, monitor and maintain the organisation's ethical standards and performance	Scrutiny of ethical decision making	A10
				Championing ethical compliance at governing body level	A10
A	Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law	Demonstrating strong commitment to ethical values	Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation	Provision of ethical awareness training	A5

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A	Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law	Demonstrating strong commitment to ethical values	Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values	Appraisal processes take account of values and ethical behaviour	A10/A20
				Staff appointments policy	A10 includes general catch all around ethical policies - there is a recruitment policy within the HR handbook available to all staff.
				Procurement policy	A9 includes general reference to avoiding influence/bias with reference to procurement.
A	Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law	Demonstrating strong commitment to ethical values	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: — Statement of business ethics communicates commitment to ethical values to external suppliers — Ethical values feature in contracts with external service providers	A10/A11/A18
				Protocols for partnership working	A18
A	Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law	Respecting the rule of law	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	A14/A15
				Statutory guidance is followed	A14/A15
				Constitution	A10
A	Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law	Respecting the rule of law	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 description/specifications	A1/A3/A4
				Compliance with CIPFA's Statement on the Role of the Chief Financial Officer in Local Government (CIPFA, 2016)	A2/A3
				Terms of reference/Constitution	A21
				Committee support	In place, not explicitly referenced in local code.
A	Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law	Respecting the rule of law	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	A22

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A	Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law	Respecting the rule of law	Dealing with breaches of legal and regulatory provisions effectively	Monitoring officer provisions	A4
				Record of legal advice provided by officers	A22
				Statutory provisions	A14 / A15
A	Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law	Respecting the rule of law	Ensuring corruption and misuse of power are dealt with effectively	Effective anti-fraud and corruption policies and procedures	A17
				Local test of assurance (where appropriate)	Not judged to be applicable. Would be investigated on case by case basis.
B	Ensuring openness and comprehensive stakeholder engagement	Openness	Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness	Annual report	B14
				Freedom of Information Act publication scheme	B13
				Online council tax information	B15
				Authority's goals and values	B3
				Authority website	B15
B	Ensuring openness and comprehensive stakeholder engagement	Openness	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	B5
B	Ensuring openness and comprehensive stakeholder engagement	Openness	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	B5
				Report pro-formas	B5
				Record of professional advice in reaching decisions	B5/B16
				Meeting reports show details of advice given	B5/B16
				Discussion between members and officers on the information needs of members to support decision making	B5/B16

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Principle		Sub principle	Behaviours and Actions that demonstrate good governance in practice	Examples of systems and processes etc per guidance	Local Code Ref
				Agreement on the information that will be provided and timescales	B13
				Calendar of dates for submitting, publishing and distributing timely reports is adhered to	B13
B	Ensuring openness and comprehensive stakeholder engagement	Openness	Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action	Community strategy	B6
				Use of consultation feedback	B3
				Citizen survey	has been done fairly recently, not explicit but contained within B3
B	Ensuring openness and comprehensive stakeholder engagement	Engaging comprehensively with institutional stakeholders	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	Community strategy	B6
B	Ensuring openness and comprehensive stakeholder engagement	Engaging comprehensively with institutional stakeholders	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	B8/B12
B	Ensuring openness and comprehensive stakeholder engagement	Engaging comprehensively with institutional stakeholders	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	B17
				Partnership protocols	B4
B	Ensuring openness and comprehensive stakeholder engagement	Engaging stakeholders effectively, including individual citizens and service users	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	B3; In place, got a consultation hub but included in wider provision
				Partnership framework	B17

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B	Ensuring openness and comprehensive stakeholder engagement	Engaging stakeholders effectively, including individual citizens and service users	Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement	Communications strategy	B1/B6/B10
B	Ensuring openness and comprehensive stakeholder engagement	Engaging stakeholders effectively, including individual citizens and service users	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	B1/B6/B10
				Joint strategic needs assessment	B3 - Council plan process - no major formal partnerships (eg socail care/health)
B	Ensuring openness and comprehensive stakeholder engagement	Engaging stakeholders effectively, including individual citizens and service users	Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account	Communications strategy	B1/B6/B9/B10
B	Ensuring openness and comprehensive stakeholder engagement	Engaging stakeholders effectively, including individual citizens and service users	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	B1/B6/B9/B10
B	Ensuring openness and comprehensive stakeholder engagement	Engaging stakeholders effectively, including individual citizens and service users	Taking account of the interests of future generations of tax payers and service users	Reports	B13 - included in committee template
				Joint strategic needs assessment	B3 - Council plan process - no major formal partnerships (eg socail care/health)
C	Defining outcomes in terms of sustainable economic, social, and environmental benefits	Defining outcomes	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	C1
C	Defining outcomes in terms of sustainable economic, social, and environmental benefits	Defining outcomes	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	C10
				Corporate and service plans	C7

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				Community strategy	C1
C	Defining outcomes in terms of sustainable economic, social, and environmental benefits	Defining outcomes	Delivering defined outcomes on a sustainable basis within the resources that will be available	Regular reports on progress	C6
C	Defining outcomes in terms of sustainable economic, social, and environmental benefits	Defining outcomes	Identifying and managing risks to the achievement of outcomes	Performance trends are established and reported upon	C6
				Risk management protocols	C11/C12
C	Defining outcomes in terms of sustainable economic, social, and environmental benefits	Defining outcomes	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 and included in service plans	C7
				Processes for dealing with competing demands within the community	C1 Council planning process from which budget and policy framework derived.
C	Defining outcomes in terms of sustainable economic, social, and environmental benefits	Sustainable economic, social and environmental benefits	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 or that resources (eg land) are spent on optimising social, economic and environmental wellbeing: — Capital programme — Capital investment strategy	C8
C	Defining outcomes in terms of sustainable economic, social, and environmental benefits	Sustainable economic, social and environmental benefits	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	C9
				Record of decision making and supporting materials	C13

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C	Defining outcomes in terms of sustainable economic, social, and environmental benefits	Sustainable economic, social and environmental benefits	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	C8/C13
				Protocols for consultation	C10
C	Defining outcomes in terms of sustainable economic, social, and environmental benefits	Sustainable economic, social and environmental benefits	Ensuring fair access to services	Protocols ensure fair access and statutory guidance is followed	C1
D	Determining the interventions necessary to optimise the achievement of the intended outcomes	Determining interventions	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	Discussion between members and officers on the information needs of members to support decision making	D5/D10/D11
				Decision making protocols	D5/D10/D11
				Option appraisals	D5/D10/D11
			Agreement of information that will be provided and timescales	D5/D10/D11	
			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	D5/D10/D11

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Principle		Sub principle	Behaviours and Actions that demonstrate good governance in practice	Examples of systems and processes etc per guidance	Local Code Ref
D	Determining the interventions necessary to optimise the achievement of the intended outcomes	Planning interventions	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	D9
D	Determining the interventions necessary to optimise the achievement of the intended outcomes	Planning interventions	Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered	Communication strategy	D12
D	Determining the interventions necessary to optimise the achievement of the intended outcomes	Planning interventions	Considering and monitoring risks facing each partner when working collaboratively including shared risks	Partnership framework	D13
				Risk management protocol	D13
D	Determining the interventions necessary to optimise the achievement of the intended outcomes	Planning interventions	Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances	Planning protocols	D7 Council Plan, MTFP and performance/finance monitoring in place to assist with overall planning and service development
D	Determining the interventions necessary to optimise the achievement of the intended outcomes	Planning interventions	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	D1/D6
D	Determining the interventions necessary to optimise the achievement of the intended outcomes	Planning interventions	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	D6 - not explicit in local code but in place; performance and finance reports produced each quarter.
D	Determining the interventions necessary to optimise the achievement of the intended outcomes	Planning interventions	Preparing budgets in accordance with organisational objectives, strategies and the medium term financial plan	Evidence that budgets, plans and objectives are aligned	D7 - mtfp process aligned to Council Plan process, service plans also aligned to priorities.
D	Determining the interventions necessary to optimise the achievement of the intended outcomes	Planning interventions	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	D6 - information issues, budget guidance not explicit in local code but is done annually
				Medium term financial plan	D7
D	Determining the interventions necessary to optimise the achievement of the intended outcomes	Optimising achievement of intended outcomes	Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints	Feedback surveys and exit/decommissioning strategies	D7
				Changes as a result	D7

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D	Determining the interventions necessary to optimise the achievement of the intended outcomes	Optimising achievement of intended outcomes	Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term	Budgeting guidance and protocols	D3/D6/D7
D	Determining the interventions necessary to optimise the achievement of the intended outcomes	Optimising achievement of intended outcomes	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	D7
D	Determining the interventions necessary to optimise the achievement of the intended outcomes	Optimising achievement of intended outcomes	Ensuring the achievement of 'social value' through service planning and commissioning. The Public Services (Social Value) Act 2012 states that this is "the additional benefit to the community...over and above the direct purchasing of goods, services and outcomes"	Service plans demonstrate consideration of 'social value'	D14
				Achievement of 'social value' is monitored and reported upon	D14
E	Developing the entity's capacity, including the capability of its leadership and the individuals within it	Developing the entity's capacity	Reviewing operations, performance use of assets on a regular basis to ensure their continuing effectiveness	Regular reviews of activities, outputs and planned outcomes	E12 covers general VFM issues.
E	Developing the entity's capacity, including the capability of its leadership and the individuals within it	Developing the entity's capacity	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 exercise	E12 covers general VFM issues, including information needed to support.
E	Developing the entity's capacity, including the capability of its leadership and the individuals within it	Developing the entity's capacity	Recognising the benefits of partnerships and collaborative working where added value can be achieved	Effective operation of partnerships which deliver agreed outcomes	E13 set out some of the control issues around partnership working. Pro-actively seeking partnership working not explicitly addressed in local code but in place.
E	Developing the entity's capacity, including the capability of its leadership and the individuals within it	Developing the entity's capacity	Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources	Workforce plan	E9
				Organisational development plan	E9

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E	Developing the entity's capacity, including the capability of its leadership and the individuals within it	Developing the capability of the entity's leadership and other individuals	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	Member skills are referenced in general in section E; JDs not specifically mentioned but these are done for PH's (See Cab agenda, 1/6/2016, CEX/9) and officers.
				Chief executive and leader pairings have considered how best to establish and maintain effective communication	
E	Developing the entity's capacity, including the capability of its leadership and the individuals within it	Developing the capability of the entity's leadership and other individuals	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	E16
				Standing orders and financial regulations which are reviewed on a regular basis	E17
E	Developing the entity's capacity, including the capability of its leadership and the individuals within it	Developing the capability of the entity's leadership and other individuals	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	E14/E15
E	Developing the entity's capacity, including the capability of its leadership and the individuals within it	Developing the capability of the entity's leadership and other individuals	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 by:	Access to update courses/ information briefings on new legislation	E2
E	Developing the entity's capacity, including the capability of its leadership and the individuals within it	Developing the capability of the entity's leadership and other individuals	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	E6
				Personal development plans for members and officers	E2
E	Developing the entity's capacity, including the capability of its leadership and the individuals within it	Developing the capability of the entity's leadership and other individuals	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	For example, for members this may include the ability to: <ul style="list-style-type: none"> — scrutinise and challenge — recognise when outside expert advice is required — promote trust — work in partnership — lead the organisation — act as a community leader 	E4/5

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Principle	Sub principle	Behaviours and Actions that demonstrate good governance in practice	Examples of systems and processes etc per guidance	Local Code Ref
			Efficient systems and technology used for effective support	E10 is catch all for better use of electronic info
E	Developing the entity's capacity, including the capability of its leadership and the individuals within it	Developing the capability of the entity's leadership and other individuals	ensuring personal, organisational and systemwide development through shared learning, including lessons learnt from governance weaknesses both internal and external	Arrangements for succession planning E8
E	Developing the entity's capacity, including the capability of its leadership and the individuals within it	Developing the capability of the entity's leadership and other individuals	Ensuring that there are structures in place to encourage public participation	Residents' panels E18 Stakeholder forum terms of reference E18 Strategic partnership frameworks E18
E	Developing the entity's capacity, including the capability of its leadership and the individuals within it	Developing the capability of the entity's leadership and other individuals	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 E2/E8 Peer reviews This has happened, covered in more general terms in E7
E	Developing the entity's capacity, including the capability of its leadership and the individuals within it	Developing the capability of the entity's leadership and other individuals	Holding staff to account through regular performance reviews which take account of training or development needs	Training and development plan E5 Staff development plans linked to appraisals E2 Implementing appropriate human resource policies and ensuring that they are working effectively E9
E	Developing the entity's capacity, including the capability of its leadership and the individuals within it	Developing the capability of the entity's leadership and other individuals	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 resource policies E9
F				
F	Managing risks and performance through robust internal control and strong public financial management	Managing risk	Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making	Risk management protocol F8/F15
F	Managing risks and performance through robust internal control and strong public financial management	Managing risk	Implementing robust and integrated risk management arrangements and ensuring that they are working effectively	Risk management strategy/ policy formally approved and adopted and reviewed and updated on a regular basis F8/F15
F	Managing risks and performance through robust internal control and strong public financial management	Managing risk	Ensuring that responsibilities for managing individual risks are clearly allocated	Risk management protocol F8/F15

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Principle		Sub principle	Behaviours and Actions that demonstrate good governance in practice	Examples of systems and processes etc per guidance	Local Code Ref
F	Managing risks and performance through robust internal control and strong public financial management	Managing performance	Monitoring service delivery effectively including planning, specification, execution and independent post implementation review	Performance map showing all key activities have performance measures	F17
				Benchmarking information	F17
				Cost performance (using inputs and outputs)	F17
				Calendar of dates for submitting, publishing and distributing timely reports that are adhered to	F18
F	Managing risks and performance through robust internal control and strong public financial management	Managing performance	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	F19
				Publication of agendas and minutes of meetings	F18
				Agreement on the information that will be needed and timescales	F19
F	Managing risks and performance through robust internal control and strong public financial management	Managing performance	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	The role and responsibility for scrutiny has been established and is clear	F20
				Agenda and minutes of scrutiny meetings	F20
				Evidence of improvements as a result of scrutiny	F20
				Terms of reference	F20
				Training for members	F20
				Membership	F20
F	Managing risks and performance through robust internal control and strong public financial management	Managing performance	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	F18
F	Managing risks and performance through robust internal control and strong public financial management	Managing performance	Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (eg financial statements)	Financial standards, guidance	F21
				Financial regulations and standing orders	F21

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F	Managing risks and performance through robust internal control and strong public financial management	Robust internal control	Aligning the risk management strategy and policies on internal control with achieving the objectives	Risk management strategy	F8/F15
				Audit plan	F22
				Audit reports	F22
F	Managing risks and performance through robust internal control and strong public financial management	Robust internal control	Evaluating and monitoring the authority's 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	Yes, monitored through audit committee.
F	Managing risks and performance through robust internal control and strong public financial management	Robust internal control	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)	F23
F	Managing risks and performance through robust internal control and strong public financial management	Robust internal control	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	F24
				Effective internal audit service is resourced and maintained	F22
F	Managing risks and performance through robust internal control and strong public financial management	Robust internal control	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. See Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA, 2018)	F25
				Terms of reference	F25
				Membership	F25
				Training	F25
F	Managing risks and performance through robust internal control and strong public financial management	Managing data	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	F14
				Designated data protection officer	F14
				Data protection policies and procedures	F14
F	Managing risks and performance through robust internal control and strong public financial management	Managing data	Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies	Data sharing agreement	F14
				Data sharing register	F14
				Data processing agreements	F14

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F	Managing risks and performance through robust internal control and strong public financial management	Managing data	Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring	Data quality procedures and reports	F14
				Data validation procedures	F14
F	Managing risks and performance through robust internal control and strong public financial management	Strong public financial management	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	Various provisions in the local code, overall, adhere to CIPFA CFO statement
F	Managing risks and performance through robust internal control and strong public financial management	Strong public financial management	Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls	Budget monitoring reports	F17
G	Implementing good practices in transparency, reporting, and audit to deliver effective accountability	Implementing good practice in transparency	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	G13
				Annual report	G14
G	Implementing good practices in transparency, reporting, and audit to deliver effective accountability	Implementing good practice in transparency	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	No specific examples provided	Judged to be in place.
G	Implementing good practices in transparency, reporting, and audit to deliver effective accountability	Implementing good practices in reporting	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	G14
				Annual financial statements	G14
G	Implementing good practices in transparency, reporting, and audit to deliver effective accountability	Implementing good practices in reporting	Ensuring members and senior management own the results	Appropriate approvals	G15/G16
G	Implementing good practices in transparency, reporting, and audit to deliver effective accountability	Implementing good practices in reporting	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	G8
G	Implementing good practices in transparency, reporting, and audit to deliver effective accountability	Implementing good practices in reporting	Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate	Annual governance statement	G8

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Principle		Sub principle	Behaviours and Actions that demonstrate good governance in practice	Examples of systems and processes etc per guidance	Local Code Ref
G	Implementing good practices in transparency, reporting, and audit to deliver effective accountability	Implementing good practices in reporting	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	In place, not explicit, part of audit
G	Implementing good practices in transparency, reporting, and audit to deliver effective accountability	Assurance and effective accountability	Ensuring that recommendations for corrective action made by external audit are acted upon	Recommendations have informed positive improvement	In place, not explicit, reported to audit committee
				Compliance with CIPFA's Statement on the Role of the Head of Internal Audit (2010)	G4 Part of effective IA function
G	Implementing good practices in transparency, reporting, and audit to deliver effective accountability	Assurance and effective accountability	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 Public Sector Internal Audit Standards	G4
G	Implementing good practices in transparency, reporting, and audit to deliver effective accountability	Assurance and effective accountability	Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations	Recommendations have informed positive improvement	G11/13 - tracking of implemented audit recs
G	Implementing good practices in transparency, reporting, and audit to deliver effective accountability	Assurance and effective accountability	Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement	Annual governance statement	G8
G	Implementing good practices in transparency, reporting, and audit to deliver effective accountability	Assurance and effective accountability	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	G9 - not explicitly a community strategy but sets out arrangements for accountability in partnerships.