

Annual Governance Statement and Local Code review 2020/21

CIPFA Delivering Good Governance in Local Government: Framework (2016)										Mar-21	Dec-21	
Principle	Sub principle	Behaviours and Actions that demonstrate good governance in practice	Examples of systems and processes etc per guidance	SLDC Local Code Ref	Local Code Text	Responsible Officer	Comments	Evidence ref	Self Assessment level (1 low to 4 high)	Action Plan		
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	develop and adopt formal codes of conduct defining standards of personal behaviour;	Monitoring Officer	Constitution includes Member and Officer Codes of Conduct, reviewed annually. Staff personal qualities framework includes "Demonstrates high standards of personal and professional conduct and be a role model for others". New personal qualities framework agreed during 2018/19	4	4		
				Individual sign off with regard to compliance with code	n/a	n/a	All Managers	New annual appraisal process - 'Your Conversation' - being launched in 2021. This is supported by monthly 121 meetings between line managers and team members. Values are confirmed, and Behaviours workshops are planned for 2021 which will most probably lead to an update on the Personal Qualities Framework	3	4	Your Conversation launch May 2021. Values and Behaviours workshops delivered for majority of staff	
				Induction for new members and staff on standard of behaviour expected	A19	provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis;	HR Lead Specialist	Induction process in place, with development opportunities boosted by recent provision of e-learning. Also, new Member Development Strategy currently going through approval process	3	3	Currently reviewing induction/on boarding	
				Performance appraisals	A20	assess the skills required by members and officers and make arrangements to agree a development plan to develop those skills and address any training gaps, to enable roles to be carried out effectively;	All Managers	121 process underway. New 'appraisal' process being launched in May 2021. Skills gap analysis work also underway in Spring 2021. Performance Plan process introduced in 2020 to address ongoing performance and behavioural challenges	4	4		
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	develop and maintain shared values including leadership values both for the Council and its staff reflecting public expectations about the conduct and behaviour of individuals and groups within and associated with the Council;	Corporate Management Team	Personal qualities framework sets out leadership values for Council and staff	3,4	4	4	
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	use the Council's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the Council;	Monitoring Officer		https://www.southlakeland.gov.uk/your-council/councillors-and-decisions/councillors/councillor-code-of-conduct-and-standards/	4	4	
				Declarations of interests made at meetings	A9	put in place arrangements to ensure that members and staff of the Council are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice;	Monitoring Officer		https://democracy.southlakeland.gov.uk/ieListMeetings.aspx?XXR=0&Year=0&Cid=139&MD=ielistmeetings	4	4	
				Conduct at meetings	A5	develop and maintain shared values including leadership values both for the Council and its staff reflecting public expectations about the conduct and behaviour of individuals and groups within and associated with the Council;	Monitoring Officer		https://www.southlakeland.gov.uk/media/7573/south-lakeland-district-council-constitution-2021.pdf	4	4	
				Shared values guide decision making	A6	use the Council's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the Council;	All managers		https://www.southlakeland.gov.uk/media/7573/south-lakeland-district-council-constitution-2021.pdf	4	4	
				Develop and maintain an effective standards committee	A8	develop and maintain an effective standards committee that acts as the main means to raise awareness and take the lead in ensuring high standards of conduct are firmly embedded within the local culture;	Monitoring Officer	meets at least twice a year and meets the requirements of the constitution	https://democracy.southlakeland.gov.uk/ieListMeetings.aspx?CommitteId=139	4	4	
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	put in place effective anti-bribery, fraud and corruption policies that comply with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA, 2014);	Section 151 Officer	Anti-bribery, fraud and corruption policy and associated processes reviewed annually & deemed to be working effectively. Audit Committee December 2021	link to be added when agenda published	4	4	

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			<p>☑ p-to-date register of interests (members and staff)</p>	A9	put in place arrangements to ensure that members and staff of the Council are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice;	Monitoring Officer	Register of member interest published on website and reviewed regularly with members.		4	4	
				A12	put in place arrangements so that conflicts of interest on behalf of members and employees can be avoided and put in place appropriate processes to ensure that they continue to operate in practice;	Monitoring Officer	Annual report by Monitoring Officer to Standards Committee; training given to members and further advice offered before sensitive committee meetings	link to be added when agenda published	4	4	
			<p>☑ p-to-date register of gifts and hospitality</p>	A9	put in place arrangements to ensure that members and staff of the Council are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice;	Monitoring Officer	Annual report by Monitoring Officer to Standards Committee for staff	link to be added when agenda published	4	4	
				A12	put in place arrangements so that conflicts of interest on behalf of members and employees can be avoided and put in place appropriate processes to ensure that they continue to operate in practice;						
			<p>☑ whistleblowing policies are in place and protect individuals raising concerns</p>	A16	put in place effective systems to protect the rights of staff. Ensure that policies for whistle blowing which are accessible to staff and those contracting with the authority, and arrangements for the support of whistle blowers, are in place;	Human Resources Lead Specialist / Section 151 Officer	Whistleblowing policy approved by HR Committee, bi-annual review by Audit Committee	http://sharepoint/sites/hr/Policies%20Procedures%20%20Guidelines/Approved%20PDF%20-%20-%20W/Whistleblowing/2013%20Whistleblowing.pdf	3	3	No evidence it has been revised since 2017/18 - review commenced, will be reported to Audit Committee in April 2022
			<p>☑ whistleblowing policy has been made available to members of the public, employees, partners and contractors</p>	A16	put in place effective systems to protect the rights of staff. Ensure that policies for whistle blowing which are accessible to staff and those contracting with the authority, and arrangements for the support of whistle blowers, are in place;	Human Resources Lead Specialist / Section 151 Officer	Whistleblowing policy on website: also shared as part of tendering pack for prospective contractors. Bi-annual review of whistleblowing to Audit Committee (not 2018/19, last reported 2017/18)	https://www.southlakeland.gov.uk/your-council/council-business/council-documents/policies-and-plans/	3	3	No evidence it has been revised since 2017/18 - review commenced, will be reported to Audit Committee in April 2022
			<p>Complaints policy and examples of responding to complaints about behaviour</p>	A13	put in place effective transparent and accessible arrangements for dealing with complaints;	Monitoring Officer/ Customer Services Lead Specialist	Complaints Policy on Website	https://www.southlakeland.gov.uk/your-council/council-business/council-documents/policies-and-plans/	4	4	
			<p>☑ changes/improvements as a result of complaints received and acted upon</p>	A13	put in place effective transparent and accessible arrangements for dealing with complaints;	Monitoring Officer	Monitored regularly and reported to Standards Committee annually	http://democracy.southlakeland.gov.uk/ieListDocuments.aspx?Clid=139&Mid=4521&Ver=4	4	4	
			<p>☑ Members and officers code of conduct refers to a requirement to declare interests</p>	A9	put in place arrangements to ensure that members and staff of the Council are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice;	Monitoring Officer	Included in both member and officers code of conduct	https://www.southlakeland.gov.uk/your-council/councillors-and-decisions/council-constitution/	4	4	
			<p>☑ Minutes show declarations of interest were sought</p>	A9	put in place arrangements to ensure that members and staff of the Council are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice;	Monitoring Officer	All agendas and minutes show declarations of interest - see minute ref CEX/97 as example	http://democracy.southlakeland.gov.uk/documents/g4456/Printed%20minutes%20Wednesday%202020-Mar-2019%2010.00%20Cabinet.pdf?T=1	4	4	

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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	Seeking to establish, monitor and maintain the organisation's ethical standards and performance	Scrutiny of ethical decision making	A10	put in place arrangements to ensure that procedures and operations are designed in conformity with appropriate ethical standards, and to monitor their continuing compliance in practice;	Monitoring Officer	Constitution is communicated and training provided annually on its contents to officers to ensure they adhere to the contents. Decisions, whether they are executive or non-executive they receive input from Legal Services and the MO. Training on the requirements for effective and efficient decision making will be provided in 2021 to leadership team and wider officers. This to ensure that the workflow from CMT to Cabinet and other decision making committees is correctly followed and training on the Forward Plan will be provided in 2021.	PURDAH training. Report writing guidance page http://sharepoint/sites/committeeservices/SitePages/Report%20Writing%20Guidance.aspx	3	4	Engagement with all Services on the Constitution and any required changes. Establishment of Constitutional Working Group with Party Leaders. Training Programme 2021/22 on Legal, Governance and Democracy for all staff.
				Championing ethical compliance at governing body level	A10	put in place arrangements to ensure that procedures and operations are designed in conformity with appropriate ethical standards, and to monitor their continuing compliance in practice;	Monitoring Officer	MO underpins personal behaviour with ethical values in relation to Code of Conduct Complaints against Members, established Standards Committee, following procedure and assessing complaints with Independent Person. Also advising fairly in relation to declarations of interest for both members and officers	Code of conduct procedure on website:- https://www.southlakeland.gov.uk/your-council/councillors-and-decisions/councillors/councillor-code-of-conduct-and-standards/ . Register of interests:- https://www.southlakeland.gov.uk/your-council/councillors-and-decisions/councillors/councillor-s-register-of-interests/	3	4	Standards Committee regular meeting and annual review. Appointment and meetings with Independent Person
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 - not explicit in code but ethical awareness covered.	develop and maintain shared values including leadership values both for the Council and its staff reflecting public expectations about the conduct and behaviour of individuals and groups within and associated with the Council;	HR Lead Specialist			4	4	
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	put in place arrangements to ensure that procedures and operations are designed in conformity with appropriate ethical standards, and to monitor their continuing compliance in practice;	HR Lead Specialist	Planned programme of HR policy reviews currently underway - around 1/3rd completed.		3	3	More policy updates to HR Committee in July 2021
					A20	assess the skills required by members and officers and make arrangements to agree a development plan to develop those skills and address any training gaps, to enable roles to be carried out effectively;	All managers	Report to Council in May regarding Member development including ethical behaviour. For officers SLDC regularly talk training development needs with their line managers. Linked to 'new appraisal' approach, skills gap conversations, and Customer Connect Transition programme	http://sharepoint/sites/finance/Final%20Accounts%20202021/5%20WPS%20Misc%20AGS%20Cap%20Cash%20System/AGS/Corporate%20Govnce%20Compliance%20with%20Local%20Code/FW%20Skills%20Gap%20Analysis%20-%20A%20New%20Approach.m sg	3	4	new appraisal' approach, skills gap conversations, training for all staff
				Staff appointments policy	A10	put in place arrangements to ensure that procedures and operations are designed in conformity with appropriate ethical standards, and to monitor their continuing compliance in practice;	HR Lead Specialist	Completed			4	4
			Procurement policy	A9	put in place arrangements to ensure that members and staff of the Council are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice;	Section 151 Officer/Procurement Specialist	Procurement Policy includes guidance on collusion and conflicts of interest. Council meetings start with declarations of conflicts of interest. Annual declaration of interest form administered by Legal Governance include the Procurement Specialist	https://www.southlakeland.gov.uk/media/7573/south-lakeland-district-council-constitution-2021.pdf	4	4		
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	put in place arrangements to ensure that procedures and operations are designed in conformity with appropriate ethical standards, and to monitor their continuing compliance in practice;	Section 151 Officer	All invitations to tender have ask suppliers to declare their financial standing and that they conform to ethical standards, have not been involved with fraudulent activity. Inclusion of the anti-collusion form, to reduce the risk of price fixing	Collusion Certificate, ITT part 2	4	4	

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				A11	ensure that systems and processes for financial administration and control, protection of the Authority's resources and assets, are designed in conformity with appropriate ethical standards; and are subject to monitoring of their effectiveness;	Section 151 Officer	Use of Creditsafe to ensure financial due diligence of a supplier and as a tool to identify risks with the supplier base	L:\Finance\Accountancy\Procurements\Credit checks	4	4		
				A18	use a statement of business conduct to make its expectations clear to partners and external providers of services;	All Managers	Within invitation to tender, collusion certificate and	https://www.southlakeland.gov.uk/media/6758/2016-2019-procurement-strategy-2019update-003.pdf	4	4		
			Protocols for partnership working	A18	use a statement of business conduct to make its expectations clear to partners and external providers of services;	Section 151 Officer/Strategy Lead Specialist	Although there is a Partnership Register, there appears to be no current policy to accompany		2	3	Partnership Guidance to be considered by Audit Committee December 2021 and implemented immediately	
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	actively recognise the limits of lawful activity placed on the Council by the ultra vires doctrine but also strive to utilise the Council's powers to the full benefit of our communities;	Monitoring Officer	Constitution includes a number of statements where the law overarches the requirements of the local constitution.	3	3		
					A15	observe all specific legislative requirements placed upon the Council as well as the requirements of general law, and in particular integrate the key principles of administrative law – rationality, legality and natural justice into the Council's procedures and decision making;	Monitoring Officer	Legal officers advise officers on points of law and through continued development and training. The MO and Legal Officers not only apply these principles within their department but across the Council and when advising Members	3	4	Monitoring Officer have delivered bitesize training on a variety of corporate governance subjects. These are programmed in until May 2022. Programmed business support meeting across all service areas to provide advice. Regular advice is provided in report drafting and decision making both within reports and at Council meetings.	
				Statutory guidance is followed	A14	actively recognise the limits of lawful activity placed on the Council by the ultra vires doctrine but also strive to utilise the Council's powers to the full benefit of our communities;	Monitoring Officer	Monitoring Officer reports quarterly to the Corporate Management Team on significant legal issues and cases of significance. With all case work we advise on vires (intra and ultra) doctrine and the MO ensures the Council acts within the vires doctrine.	3	3	Quarterly reports continue and regular input on case work and report writing on the lawfulness of decision-making.	
					A15	observe all specific legislative requirements placed upon the Council as well as the requirements of general law, and in particular integrate the key principles of administrative law – rationality, legality and natural justice into the Council's procedures and decision making;	Monitoring Officer/All managers	Example of alerting the council to the changes in legislation created by Brexit, with regards to Procurement regulations	4	4		
				Constitution	A10	put in place arrangements to ensure that procedures and operations are designed in conformity with appropriate ethical standards, and to monitor their continuing compliance in practice;	Monitoring Officer	Code of Conduct, underpins Member ethical standards	4	4		
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	make a Chief Executive (or equivalent) responsible and accountable to the authority for all aspects of operational management;	Chief Executive	Within the constitution	4	4		
					A3	appoint a professionally qualified and experienced Chief Finance Officer (Section 151 Officer), who will lead the promotion and delivery of good financial management, safeguarding public money and ensuring appropriate, economic, efficient and effective use of funds, together with professional accountability for finance staff throughout the Council with regard to CIPFA's Statement on the Role of the Chief Financial Officer in Local Government (2016);	Chief Executive	Authority adheres to principles of CIPFA statement on role of CFO in local government. CFO does not report direct to CE so in line with CIPFA guidance, need to set out local arrangements: this includes monthly meetings with CE and position on Corporate Management Team. Revised role from 1 April 2019.	4	4		
					A4	make a senior officer (the Monitoring Officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes, regulations and other relevant statements of good practice are complied with.	Chief Executive	In place. Revised role from 1 April 2019.	4	4		

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			Compliance with CIPFA's Statement on the Role of the Chief Financial Officer in Local Government (CIPFA, 2016)	A2	make a senior officer (the Section 151 Officer) responsible to the authority for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control;	Chief Executive	In place. Revised role from 1 April 2019.		4	4		
				A3	appoint a professionally qualified and experienced Chief Finance Officer (Section 151 Officer), who will lead the promotion and delivery of good financial management, safeguarding public money and ensuring appropriate, economic, efficient and effective use of funds, together with professional accountability for finance staff throughout the Council with regard to CIPFA's Statement on the Role of the Chief Financial Officer in Local Government (2016);	Chief Executive	In place. Revised role from 1 April 2019.		4	4		
			Terms of reference/Constitution	A21	determine a scheme of delegated and reserved powers within the constitution and ensure that it is monitored and updated when required;	Monitoring Officer	In place. Revised roles for officers from 1 April 2019.		4	4		
			Committee support	In place, not explicitly referenced	#N/A	Monitoring Officer	In place. Revised role from 1 April 2019.		4	4		
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	ensure that professional advice on legal and financial matters is available and recorded well in advance of decision making and used appropriately when decisions have significant legal or financial implications.	Monitoring Officer	Report includes sections for professional advice on legal, financial, HR and other areas. Reports circulated to relevant officers, dates of advice recorded in report, all reports (except planning committee) considered and approved by Corporate Management Team before cleared for publication.	http://sharepoint/sites/committeeservices/ layouts/15/start.aspx#/SitePages/Report%20Writing%20Guidance.aspx	4	4	
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	make a senior officer (the Monitoring Officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes, regulations and other relevant statements of good practice are complied with.	Chief Executive	In place. Revised role from 1 April 2019.		4	4	
				Record of legal advice provided by officers	A22	ensure that professional advice on legal and financial matters is available and recorded well in advance of decision making and used appropriately when decisions have significant legal or financial implications.	Monitoring Officer	Report includes sections for professional advice on legal, financial, HR and other areas. Reports circulated to relevant officers, dates of advice recorded in report, all reports (except planning committee) considered and approved by Corporate Management Team before cleared for publication. However, current legal case management system needs addressing	http://sharepoint/sites/committeeservices/ layouts/15/start.aspx#/SitePages/Report%20Writing%20Guidance.aspx	2	2	Operational risk identified in Audit Committee April 2021. Urgent need for adequate legal case management system.
				Statutory provisions	Not explicit in the code, would need to	#N/A	Monitoring Officer	All legal officers are trained and comply with CPD to ensure they are up to date with statutory changes		3	4	Attendance throughout the year at virtual training as required.
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	put in place effective anti-bribery, fraud and corruption policies that comply with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA, 2014);	Section 151 Officer	Anti-bribery, fraud and corruption policy and processes reviewed annually by Audit Committee	http://democracy.southlakeland.gov.uk/ieListDocuments.aspx?Cid=135&Mid=4473&Ver=4	4	4	
				Local test of assurance (where appropriate)	n/a	Not applicable for district councils	n/a	n/a	n/a	n/a	n/a	
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	publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance;	Strategy Lead Specialist	Annual report published May each year	https://www.southlakeland.gov.uk/your-council/council-business/council-documents/annual-report/	4	4	

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			Freedom of Information Act publication scheme	B13	To ensure committee decisions are fully documented through the use of appropriate report templates, agenda submission processes and minutes;	Monitoring Officer	The timely publication of agendas and minutes for all committees are published on the Council's website and can be inspected at the Council's offices, always adhering to legislative requirements. Officers undergo report writing training and have access to the SharePoint area which provides advice and guidance on decision making and report writing. Training as referenced above and Governance and Accountability Working Group seeks to embed this across all Council areas, recognising there needs to be further training on the timely submission of reports and correct processes to be followed.	SharePoint report writing area and the Committee Services webpage with agendas and minutes:- https://democracy.southlakeland.gov.uk/mgListCommittees.aspx?bcr=1	2	2	Further training and further communication of what is required. Council wide engagement needed.	
			Online council tax information	B15	promote the use of technology to enhance efficiency and quality of service;	Section 151 Officer	Council tax information included on website. Customer Connect will extend access to include access to personal accounts during 2019/20	https://www.southlakeland.gov.uk/council-tax-and-housing-benefit/council-tax/	4	4		
			Authority's goals and values	B3	ensure that the Council's vision, values, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated;	Chief Executive	Council Plan is reviewed annually with a full refresh carried out in 2018/19 which included consultation with members, key stakeholders etc.	http://democracy.southlakeland.gov.uk/documents/s25274/Council%20Plan.pdf	4	4		
			Authority website	B15	promote the use of technology to enhance efficiency and quality of service;	Chief Executive	Customer Connect programme is designed to increase the use of technology to enhance efficiency	http://democracy.southlakeland.gov.uk/ieListDocuments.aspx?Cid=121&Mid=4274&Ver=4	4	4		
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	B5	develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based;	Monitoring Officer	Report writing guidance - all details shall be in part 1 unless meets requirement of part2. Where possible a part 1 report will be produced with a part 2 report/appendix containing confidential information.	B5	4	4		
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	B5	develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based;	Monitoring Officer	Constitution sets out which decisions should be administrative decisions and which should be subject to formal reporting process (meetings/DED). Guidance issued on when and how reports should be produced and decisions recorded	http://sharepoint/sites/committeeservices/_layouts/15/start.aspx#/SitePages/Report%20Writing%20Guidance.aspx	4	4		
			Report pro-formas	B5	develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based;	Monitoring Officer	Reports produced using ModGov system - template reports used.	http://sharepoint/sites/committeeservices/_layouts/15/start.aspx#/SitePages/Report%20Writing%20Guidance.aspx	4	4		
			Record of professional advice in reaching decisions	B5	develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based;	Monitoring Officer	Report includes sections for professional advice on legal, financial, HR and other areas. Reports circulated to relevant officers, dates of advice recorded in report, all reports (except planning committee) considered and approved by Corporate Management Team before cleared for publication.	http://sharepoint/sites/committeeservices/_layouts/15/start.aspx#/SitePages/Report%20Writing%20Guidance.aspx	4	4		
				B16	ensure that professional advice on legal and financial matters is available and recorded well in advance of decision making and used appropriately when decisions have significant legal or financial implications;	Monitoring Officer						
			Meeting reports show details of advice given	B5	develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based;	Monitoring Officer	Minutes of meeting produced by properly trained staff, circulated to all staff who were present at meeting for agreement before published on website with links back to agenda/reports.	http://sharepoint/sites/committeeservices/_layouts/15/start.aspx#/SitePages/Report%20Writing%20Guidance.aspx	4	4		
				B16	ensure that professional advice on legal and financial matters is available and recorded well in advance of decision making and used appropriately when decisions have significant legal or financial implications;	Monitoring Officer			4	4		

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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	Local Code Text	Responsible Officer	Comments	Evidence ref	Self Assessment level (1 low to 4 high)		Action Plan
			Discussion between members and officers on the information needs of members to support decision making	B5	develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based;	All Managers	Building of relationships with portfolio holders. Examples SAMP board, Climate Change Action Group	http://sharepoint/sites/climateemergency/MJ%20Award%20Nominees/Climate%20Change%20Action%20Plan%20-%20Communications%20Plan.docx	3	3	Actions may be dependent on the area of work
			Agreement on the information that will be provided and timescales	B16	ensure that professional advice on legal and financial matters is available and recorded well in advance of decision making and used appropriately when decisions have significant legal or financial implications;	Section 151 Officer/Monitoring Officer	Specific facility within all reports to Council members that log the advice sought from legal and finance		3	3	Staff training: reports to be discussed with relevant officers in legal and financial services with adequate time to prepare sound comments and advice.
			Calendar of dates for submitting, publishing and distributing timely reports is adhered to	B13	To ensure committee decisions are fully documented through the use of appropriate report templates, agenda submission processes and minutes;	Monitoring Officer	Report includes sections for professional advice on legal, financial, HR and other areas. Reports circulated to relevant officers, dates of advice recorded in report, all reports (except planning committee) considered and approved by Corporate Management Team before cleared for publication.	http://sharepoint/sites/committeeservices/layers/15/start.aspx#SitePages/Report%20Writing%20Guidance.aspx	4	4	
				B13	To ensure committee decisions are fully documented through the use of appropriate report templates, agenda submission processes and minutes;	Monitoring Officer	Timetable agreed, deadlines published as part of report writing guidance	http://sharepoint/sites/committeeservices/layers/15/start.aspx#SitePages/Report%20Writing%20Guidance.aspx	4	4	
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	B6	put in place effective arrangements designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority;	Strategy Lead Specialist	Community Engagement Strategy and Consultation Strategy. Consultation through website on all sorts of issues (Homeless Strategy, Community Governance Review, development of on-line services, Constitution, business premises, Kendal market traders & users)	https://cumbria.citizenspace.com/consultation_finder/?sort_on=iconsultable_modifieddate&sort_order=descending&advanced=1&tx=&pc=&st=&au=&in=&de=.site.south-lakeland-district-council&ar=	4	4	
			Use of consultation feedback	B3	ensure that the Council's vision, values, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated;	Strategy Lead Specialist/All managers	Feedback from consultation is included in report templates to ensure it is considered in decision making.	http://sharepoint/sites/committeeservices/layers/15/start.aspx#SitePages/Report%20Writing%20Guidance.aspx	4	4	
			Citizen survey		ensure that the Council's vision, values, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated;	Strategy Lead Specialist/All managers	Various areas where community have been involved with decision making e.g. Kendal Citizens Jury	http://sharepoint/sites/climateemergency/SitePages/Home.aspx?RootFolder=%2Fsites%2Fclimateemergency%2FMJ%20Award%20Nominees%2FKendal%20Climate%20Change%20Citizen%27s%20Jury&FolderCTID=0x0120007176B78830488E42A5B526966352FF2D&View=%7BCDF25EFD%2D82C1%2D42E4%2DA7EE%2D94B71EEDF151%7D	4	4	
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	B6	put in place effective arrangements designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority;	Strategy Lead Specialist	Community Engagement Strategy, statutory consultation with business rate payers	https://www.southlakeland.gov.uk/your-council/have-your-say/community-engagement/	4	4	
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	B8	consider those institutional stakeholders to whom we are accountable and assess the effectiveness of the relationships and any changes required;	Strategy Lead Specialist		https://democracy.southlakeland.gov.uk/mgListOutsideBodies.aspx?bcr=1	4	4	
				B12	To put in place measures to ensure freedom of information requests and transparency requirements are adhered to, including publication through the Council's website.	Strategy Lead Specialist		https://www.southlakeland.gov.uk/your-council/council-business/freedom-of-information/	4	4	
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	B17	when working in partnership, ensure that there is a clear statement setting out the purpose of the partnership and the outputs to be achieved.	Strategy Lead Specialist		https://www.southlakeland.gov.uk/your-council/partnerships/	4	4	
			Partnership protocols	B4	in pursuing partnerships, agree a set of values against which decision making and actions can be judged in line with and having referred to the Partnership Register and Guidance.	Strategy Lead Specialist	A Partnership Register exists but responsibility shifts means that it needs a review. Also policy behind it need reinstating		2	3	Partnership Guidance to be considered by Audit Committee December 2021 and implemented immediately

CIPFA Delivering Good Governance in Local Government: Framework (2016)				SLDC					Mar-21	Dec-21		
Principle	Sub principle	Behaviours and Actions that demonstrate good governance in practice	Examples of systems and processes etc per guidance	Local Code Ref	Local Code Text	Responsible Officer	Comments	Evidence ref	Self Assessment level (1 low to 4 high)		Action Plan	
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	ensure that the Council's vision, values, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated;	Strategy Lead Specialist	Unsure when this was last reviewed	https://www.southlakeland.gov.uk/media/5665/consultation-strategy.pdf	3	3	review by March 2022
				Partnership framework	B17	when working in partnership, ensure that there is a clear statement setting out the purpose of the partnership and the outputs to be achieved.	all managers	Some work to ensure that this is included in the policy for partnership working	https://www.southlakeland.gov.uk/your-council/partnerships/	3	3	Partnership Guidance to be considered by Audit Committee December 2021 and implemented immediately
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	develop protocols to ensure effective communication between members and officers in their respective roles;	Monitoring Officer	Protocol exists, but no indication of when last reviewed	http://sharepoint/_layouts/15/start.aspx#/SitePages/Member%20and%20Officer%20Protocol.aspx	3	3	review by March 2022
					B6	put in place effective arrangements designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority;	Strategy Lead Specialist		https://www.southlakeland.gov.uk/media/5665/consultation-strategy.pdf	4	4	
					B10	put in place arrangements to enable the authority to engage with all sections of the community effectively. These arrangements will recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands;	Strategy Lead Specialist		https://www.southlakeland.gov.uk/media/5665/consultation-strategy.pdf	4	4	
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	develop protocols to ensure effective communication between members and officers in their respective roles;	Monitoring Officer	Protocol exists, but no indication of when last reviewed	http://sharepoint/_layouts/15/start.aspx#/SitePages/Member%20and%20Officer%20Protocol.aspx	3	3	review by March 2022
					B6	put in place effective arrangements designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority;	Strategy Lead Specialist		https://www.southlakeland.gov.uk/media/5665/consultation-strategy.pdf	4	4	
					B10	put in place arrangements to enable the authority to engage with all sections of the community effectively. These arrangements will recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands;	Strategy Lead Specialist		https://www.southlakeland.gov.uk/media/5665/consultation-strategy.pdf	4	4	
				Joint strategic needs assessment	B3 - Council plan process - no major formal partnerships (eg social	ensure that the Council's vision, values, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated;	all Managers		https://www.southlakeland.gov.uk/media/5665/consultation-strategy.pdf	4	4	
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	develop protocols to ensure effective communication between members and officers in their respective roles;	Monitoring Officer	Protocol exists, but no indication of when last reviewed	http://sharepoint/_layouts/15/start.aspx#/SitePages/Member%20and%20Officer%20Protocol.aspx	3	3	review by March 2022
					B6	put in place effective arrangements designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority;	Strategy Lead Specialist		https://www.southlakeland.gov.uk/media/5665/consultation-strategy.pdf	4	4	
					B9	establish clear channels of communication with all sections of the community and other stakeholders and put in place monitoring arrangements to ensure that they operate effectively;	Strategy Lead Specialist		https://www.southlakeland.gov.uk/media/5665/consultation-strategy.pdf	4	4	

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				B10	put in place arrangements to enable the authority to engage with all sections of the community effectively. These arrangements will recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands;	all Managers		https://www.southlakeland.gov.uk/media/5665/consultation-strategy.pdf	4	4		
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	develop protocols to ensure effective communication between members and officers in their respective roles;	Monitoring Officer	Protocol exists, but no indication of when last reviewed	http://sharepoint/_layouts/15/start.aspx#/SitePages/Member%20and%20Officer%20Protocol.aspx	3	3	review by March 2022
				B6	put in place effective arrangements designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority;	Strategy Lead Specialist		https://www.southlakeland.gov.uk/media/5665/consultation-strategy.pdf	4	4		
				B9	establish clear channels of communication with all sections of the community and other stakeholders and put in place monitoring arrangements to ensure that they operate effectively;	Strategy Lead Specialist		https://www.southlakeland.gov.uk/media/5665/consultation-strategy.pdf	4	4		
				B10	put in place arrangements to enable the authority to engage with all sections of the community effectively. These arrangements will recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands;	all Managers		https://www.southlakeland.gov.uk/media/5665/consultation-strategy.pdf	4	4		
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 taxpayers and service users	Reports	B13 - included in committee template	To ensure committee decisions are fully documented through the use of appropriate report templates, agenda submission processes and minutes;	Monitoring Officer		https://democracy.southlakeland.gov.uk/mgDelegatedDecisions.aspx?bcr=1&DM=0&DS=2&K=0&DR=&V=0	4	4	
				Joint strategic needs assessment	B3 - Council plan process - no major formal partnerships (eg social	ensure that the Council's vision, values, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated;	Strategy Lead Specialist		https://www.southlakeland.gov.uk/planning-and-building/south-lakeland-local-plan/	4	4	
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	make a clear statement of the authority's purpose and vision and use it as a basis for corporate and service planning. and shaping the Council Plan;	Chief Executive/ Strategy Lead Specialist		https://www.southlakeland.gov.uk/your-council/council-business/council-documents/council-plan/	4	4	
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	ensure that the Council's vision, values, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated;	Chief Executive		https://www.southlakeland.gov.uk/your-council/council-business/council-documents/council-plan/	4	4	
				Corporate and service plans	C7	Link service plans to agreed measures and targets within the Council plan;	All Managers	Out of date and being replaced by "Plan on a Page"	http://sharepoint/sites/policy/_layouts/15/start.aspx#/SLDC%20Team%20Service%20Plans/Forms/AllItems.aspx	3	3	Plan on a Page development delayed by LGR
				Community strategy	C1	make a clear statement of the authority's purpose and vision and use it as a basis for corporate and service planning. and shaping the Council Plan;	Strategy Lead Specialist		https://www.southlakeland.gov.uk/your-council/council-business/council-documents/council-plan/	4	4	

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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	Local Code Text	Responsible Officer	Comments	Evidence ref	Self Assessment level (1 low to 4 high)		Action Plan	
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	ensure performance, financial and non-financial, is reported to senior management and Members including action plans where necessary;	all Managers		http://sharepoint/sites/finance/Budget%20Setting/Forms/AllItems.aspx?RootFolder=%2Fsites%2Ffinance%2FBudget%20Setting%2F2022%5F23%20Budget%20Setting&FolderCTID=0x012000480109F51F28BF40A37387C4DE369E89&View=%7BD91ADA21%2D309F%2D4064%2D9EB3%2D7BFAF0CD580A%7D	4	4	
					D3	produce timely, accurate and impartial financial information for decision making, enabling the Authority to meet its objectives and providing effective stewardship and value for money;	Section 151 Officer		http://sharepoint/sites/finance/Committee%20reports/2020-21/Council/23.03.21%20Council/Corporate%20Financial%20Update%20March%202021%20final.docx	4	4	
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	ensure performance, financial and non-financial, is reported to senior management and Members including action plans where necessary;	all Managers	Reports to CMT by Managers	http://sharepoint/sites/finance/_layouts/15/start.aspx#/Committee%20reports/Forms/AllItems.aspx?RootFolder=%2Fsites%2Ffinance%2FCommittee%20reports%2F2020%2D21%2FCMT&FolderCTID=0x01200043B860F50FF8B4F89B263FB28FE124F&View=%7B18D8F90B%2D260D%2D44A7%2D82D0%2D9811E8C31309%7D	4	4	
					D3	produce timely, accurate and impartial financial information for decision making, enabling the Authority to meet its objectives and providing effective stewardship and value for money;	Section 151 Officer		http://sharepoint/sites/finance/Committee%20reports/2020-21/Council/23.03.21%20Council/Corporate%20Financial%20Update%20March%202021%20final.docx	4	4	
				Risk management protocols	C11	ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their job;	All Managers	Although Protocols are in place, they are not always applied	https://www.southlakeland.gov.uk/media/6974/risk-management-process-updated-for-2019-appendix-2.pdf	3	3	
					C12	put arrangements in place to capture and manage risks corporately;	Strategy Lead Specialist	Risk Register	http://sharepoint/sites/policy/intelligence/_layouts/15/start.aspx#/Operational%20Risk%20Registers/Forms/AllItems.aspx	4	4	
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	Link service plans to agreed measures and targets within the Council plan;	All Managers	Being replaced by Plan on a Page	http://sharepoint/sites/policy/_layouts/15/start.aspx#/SLDC%20Team%20Service%20Plans/Forms/AllItems.aspx	3	3	Plan on a Page development delayed by LGR
				Processes for dealing with competing demands within the community	C1 Council planning process from which budget	make a clear statement of the authority's purpose and vision and use it as a basis for corporate and service planning, and shaping the Council Plan;	Section 151 Officer		https://www.southlakeland.gov.uk/your-council/council-business/finance/budget-and-financial-year-reports/	4	4	
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	ensure strategic investment decisions are managed through the capital budgeting process and Medium Term Financial Plan linked to the Council Plan, including the economic, social and environmental impacts.	Section 151 Officer		https://www.southlakeland.gov.uk/your-council/council-business/finance/budget-and-financial-year-reports/	4	4	
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	ensure committee reports are shared with senior management and portfolio holders as part of the pre agenda submission process;	Monitoring Officer		https://www.southlakeland.gov.uk/your-council/council-business/finance/budget-and-financial-year-reports/	4	4	
				Record of decision making and supporting materials	C13	develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based.	All Managers		https://democracy.southlakeland.gov.uk/mgDelegatedDecisions.aspx?bcr=1&DM=0&DS=2&K=0&DR=&V=0	4	4	

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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	Local Code Text	Responsible Officer	Comments	Evidence ref	Self Assessment level (1 low to 4 high)		Action Plan	
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	ensure strategic investment decisions are managed through the capital budgeting process and Medium Term Financial Plan linked to the Council Plan, including the economic, social and environmental impacts.	Section 151 Officer		https://www.southlakeland.gov.uk/your-council/council-business/finance/fund-management/	4	4	
					C13	develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based.	Monitoring Officer		https://democracy.southlakeland.gov.uk/mgDelegatedDecisions.aspx?bcr=1&DM=0&DS=2&K=0&DR=&V=0	4	4	
				Protocols for consultation	C10	ensure that the Council's vision, values, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated;	All Managers		https://democracy.southlakeland.gov.uk/mgDelegatedDecisions.aspx?bcr=1&DM=0&DS=2&K=0&DR=&V=0	4	4	
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	make a clear statement of the authority's purpose and vision and use it as a basis for corporate and service planning, and shaping the Council Plan;	Chief Executive		https://www.southlakeland.gov.uk/your-council/equality-and-diversity/our-equality-objectives/	4	4	
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	ensure that those making decisions are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications;	All Managers		https://democracy.southlakeland.gov.uk/mgDelegatedDecisions.aspx?bcr=1&DM=0&DS=2&K=0&DR=&V=0	4	4	
					D10	To ensure committee decisions are fully documented through the use of appropriate report templates, agenda submission processes and minutes;	monitoring Officer		https://democracy.southlakeland.gov.uk/mgDelegatedDecisions.aspx?bcr=1&DM=0&DS=2&K=0&DR=&V=0	4	4	
					D11	develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based;	All managers		https://democracy.southlakeland.gov.uk/mgDelegatedDecisions.aspx?bcr=1&DM=0&DS=2&K=0&DR=&V=0	4	4	
				Decision making protocols	D5	ensure that those making decisions are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications;	all managers		https://democracy.southlakeland.gov.uk/mgDelegatedDecisions.aspx?bcr=1&DM=0&DS=2&K=0&DR=&V=0	4	4	
					D10	To ensure committee decisions are fully documented through the use of appropriate report templates, agenda submission processes and minutes;	monitoring Officer		https://democracy.southlakeland.gov.uk/mgDelegatedDecisions.aspx?bcr=1&DM=0&DS=2&K=0&DR=&V=0	4	4	
					D11	develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based;	all managers		http://sharepoint/sites/committeeservices/SitePages/Report%20Writing%20Guidance.aspx	4	4	
				Option appraisals	D5	ensure that those making decisions are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications;	all managers		http://sharepoint/sites/committeeservices/SitePages/Report%20Writing%20Guidance.aspx	4	4	
					D10	To ensure committee decisions are fully documented through the use of appropriate report templates, agenda submission processes and minutes;	monitoring Officer		https://democracy.southlakeland.gov.uk/ieDocHome.aspx?bcr=1	4	4	

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				D11	develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based;	all managers		https://democracy.southlakeland.gov.uk/ieDocHome.aspx?bcr=1	4	4		
			Agreement of information that will be provided and timescales	D5	ensure that those making decisions are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications;	all managers		https://democracy.southlakeland.gov.uk/mgCalendarMonthView.aspx?GL=1&bcr=1	4	4		
				D10	To ensure committee decisions are fully documented through the use of appropriate report templates, agenda submission processes and minutes;	monitoring Officer		https://democracy.southlakeland.gov.uk/mgDelegatedDecisions.aspx?bcr=1&DM=0&DS=2&K=0&DR=&V=0	4	4		
				D11	develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based;	all managers		https://democracy.southlakeland.gov.uk/mgDelegatedDecisions.aspx?bcr=1&DM=0&DS=2&K=0&DR=&V=0	4	4		
		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	D7	establish a medium term business and financial planning process in order to deliver a financial strategy ensuring sustainable finances, a robust annual budget process ensuring financial balance and an adequate monitoring process; all of which are subject to regular review;	Section 151 Officer		https://www.southlakeland.gov.uk/your-council/councillors-and-decisions/council-constitution/	4	4		
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	agree annually a calendar of meetings to be used as the basis for forward planning of decision making	Monitoring Officer		https://democracy.southlakeland.gov.uk/mgCalendarMonthView.aspx?GL=1&bcr=1	4	4	
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	establish clear channels of communication with all sections of the community and other stakeholders and put in place monitoring arrangements to ensure that they operate effectively;	Strategy Lead Specialist		https://www.southlakeland.gov.uk/media/5665/consultation-strategy.pdf	4	4	
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	ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their job;	Chief Executive	Specific evidence pertaining to Partnerships difficult to find	http://sharepoint/sites/policy/intelligence/_layouts/15/start.aspx#/SitePages/Risk%20Management%20Training.aspx	3	3	
			Risk management protocol	D13	ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their job;	Strategy Lead Specialist		http://sharepoint/sites/policy/intelligence/_layouts/15/start.aspx#/SitePages/Risk%20Management%20Training.aspx	4	4		
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	establish a medium term business and financial planning process in order to deliver a financial strategy ensuring sustainable finances, a robust annual budget process ensuring financial balance and an adequate monitoring process; all of which are subject to regular review;	Strategy Lead Specialist/section 151 Officer		https://www.southlakeland.gov.uk/your-council/councillors-and-decisions/council-constitution/	4	4	
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	decide how the quality of service for users is to be measured and ensure that the information needed to review service quality effectively and regularly is available;	all Managers	Service Plans being replaced by "Plan on a Page"	http://sharepoint/sites/policy/_layouts/15/start.aspx#/SLDC%20Team%20Service%20Plans/Forms/AllItems.aspx	3	3	"Plan on a Page" development delayed due to LGR

CIPFA Delivering Good Governance in Local Government: Framework (2016)					SLDC					Mar-21	Dec-21	
Principle	Sub principle	Behaviours and Actions that demonstrate good governance in practice	Examples of systems and processes etc per guidance	Local Code Ref	Local Code Text	Responsible Officer	Comments	Evidence ref	Self Assessment level (1 low to 4 high)		Action Plan	
				D6	produce clear, timely, complete and accurate information for budget holders and senior officers relating to the budgetary and financial performance of the Council;	section 151 Officer		https://www.southlakeland.gov.uk/your-council/council-business/finance/budget-and-financial-year-reports/	4	4		
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	produce clear, timely, complete and accurate information for budget holders and senior officers relating to the budgetary and financial performance of the Council;	Section 151 Officer	https://www.southlakeland.gov.uk/your-council/council-business/finance/budget-and-financial-year-reports/	4	4		
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	establish a medium term business and financial planning process in order to deliver a financial strategy ensuring sustainable finances, a robust annual budget process ensuring financial balance and an adequate monitoring process; all of which are subject to regular review;	Section 151 Officer	https://www.southlakeland.gov.uk/your-council/council-business/finance/budget-and-financial-year-reports/	4	4		
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	produce clear, timely, complete and accurate information for budget holders and senior officers relating to the budgetary and financial performance of the Council;	Section 151 Officer	Finance in a nutshell.docx	4	4		
				Medium term financial plan	D7	establish a medium term business and financial planning process in order to deliver a financial strategy ensuring sustainable finances, a robust annual budget process ensuring financial balance and an adequate monitoring process; all of which are subject to regular review;	Section 151 Officer	https://www.southlakeland.gov.uk/your-council/council-business/finance/budget-and-financial-year-reports/	4	4		
				Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy; and	Corporate Plans	C1	make a clear statement of the authority's purpose and vision and use it as a basis for corporate and service planning. and shaping the Council Plan;	Strategy Lead Specialist	Corporate Plan updated annually		4	4
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	establish a medium term business and financial planning process in order to deliver a financial strategy ensuring sustainable finances, a robust annual budget process ensuring financial balance and an adequate monitoring process; all of which are subject to regular review;	Section 151 Officer	Budget strategy part of Medium Term Financial Plan which reviews costs and income of up to 5 years (revenue) or up to 20 years (asset strategy)	https://www.southlakeland.gov.uk/your-council/council-business/finance/budget-and-financial-year-reports/	4	4	
				Changes as a result	D7	establish a medium term business and financial planning process in order to deliver a financial strategy ensuring sustainable finances, a robust annual budget process ensuring financial balance and an adequate monitoring process; all of which are subject to regular review;	Section 151 Officer		https://www.southlakeland.gov.uk/your-council/council-business/finance/budget-and-financial-year-reports/	4	4	
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	D6	produce clear, timely, complete and accurate information for budget holders and senior officers relating to the budgetary and financial performance of the Council;	Section 151 Officer	Budget strategy part of Medium Term Financial Plan which reviews costs and income of up to 5 years (revenue) or up to 20 years (asset strategy)	http://democracy.southlakeland.gov.uk/ieListDocuments.aspx?Cid=120&Mid=4280&Ver=4	4	4	
					D7	establish a medium term business and financial planning process in order to deliver a financial strategy ensuring sustainable finances, a robust annual budget process ensuring financial balance and an adequate monitoring process; all of which are subject to regular review;						

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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	establish a medium term business and financial planning process in order to deliver a financial strategy ensuring sustainable finances, a robust annual budget process ensuring financial balance and an adequate monitoring process; all of which are subject to regular review;	Section 151 Officer	MTPF financial projections reviewed quarterly, full update annually	https://www.southlakeland.gov.uk/your-council/council-business/finance/financial-planning/	4	4	
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	Consider social value when preparing service plans, considering procurement and commissioning and monitoring performance.	All Managers	Method Statements within the Invitation to Tender encourage consideration of Social Value. Use of TOMS in Tenders over £25k . Often referred to as sustainability and Added Value.	L:\Finance\Accountancy\Procurements\Procurement Toolkit\Toolkit Packs (£2.5k - EPCR)\Master Docs\£100k - PCR\£100k - PCR Documents	4	4	
				Achievement of 'social value' is monitored and reported upon	D14	Consider social value when preparing service plans, considering procurement and commissioning and monitoring performance.	All Managers/Procurement Specialist	Use of TOMS to evaluate Social Value within the procurement and contract management stages	L:\Finance\Accountancy\Procurements\Procurement Toolkit\Social Value Portal	4	4	
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.	decide how value for money is to be measured and ensure that we have the information needed to review value for money and performance effectively; measure the environmental impact;	Section 151 Officer/Procurement Specialist	Within the tender process, total life costs are considered in conjunction with Quality	L:\Finance\Accountancy\Procurements\Procurement Toolkit\Toolkit Packs (£2.5k - EPCR)\Master Docs\£100k - PCR\£100k - PCR Documents	4	4	
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.	decide how value for money is to be measured and ensure that we have the information needed to review value for money and performance effectively; measure the environmental impact;	All Managers/Procurement Specialist	Benchmarking is done as part of Contract Management and Review. Individual evidence regarding Benchmarking for bringing a service in-house	https://democracy.southlakeland.gov.uk/mgIssueHistoryHome.aspx?iid=21452&PlanId=164&RPID=1002071015	4	4	
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	when working in partnership, ensure that appropriate governance arrangements are in place that make clear the financial controls, data sharing, audit and scrutiny arrangements.	Section 151 Officer		https://www.southlakeland.gov.uk/your-council/partnerships/	4	4	
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	manage the strategic Human Resource Management and Organisational Development needs of the organisation through relevant policies and accreditation.	HR Lead Specialist	Looking to introduce new 'Plan on a Page' to replace Service Plans		3	3	Plan on a Page development ongoing
				Organisational development plan	E9	manage the strategic Human Resource Management and Organisational Development needs of the organisation through relevant policies and accreditation.	HR Lead Specialist	Looking to introduce new 'Plan on a Page' to replace Service Plans		3	3	Plan on a Page development ongoing
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	#N/A	Monitoring Officer			n/a	n/a	
				Chief executive and leader pairings have considered how best to establish and maintain effective communication	E14	develop protocols to ensure effective communication between members and officers in their respective roles;	Chief Executive			3	3	
					E15	develop protocols to ensure that the leader and chief executive negotiate their respective roles early in their relationship and that a shared understanding of roles and objectives is maintained;	Monitoring Officer	At the appointment of the Cabinet the leader allocates areas of responsibility and reports this to Council as defined in the Constitution's Scheme of delegation e.g. Annual Council Meeting May 2021. Alignment to corporate priorities being improved upon.	https://www.southlakeland.gov.uk/media/7573/south-lakeland-district-council-constitution-2021.pdf	3	3	Keeping this under review, Cabinet away days with Leadership Team and clarification of Council Priorities and roles and responsibilities relating to them.

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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	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	determine a scheme of delegated and reserved powers within the constitution and ensure that it is monitored and updated when required;	Monitoring Officer	Work is ongoing with all services to ensure that the Constitution is clear regarding delegations and decision making. The Constitution is now treated as a living document which is reviewed regularly and updated. Previously this has been on an annual basis. Approx 6 reports over the past year has amended the Constitution and the Council has introduced emergency decision making to deal with COVID-19. The MO will be bringing forward a programme of work for the year to come.	https://www.southlakeland.gov.uk/media/7573/south-lakeland-district-council-constitution-2021.pdf	3	3	Second update report to be presented to the Leadership Team on the amends to contracts and CPR by June 2021. Further update on the programme of work to update individual service delegations and decision making will be programmed in over the next 12 months. All to proceed through the Constitutional Working Group. Constitution updated for Contract Procedure Rules to streamline decision making to make more agile. Report on Property Services delegations to improve decision making following consultation with management team.
				Standing orders and financial regulations which are reviewed on a regular basis	E17	ensure effective internal control arrangements exist for sound financial management systems and processes;	Section 151 Officer	Work is ongoing with all services to ensure that the Constitution is clear regarding delegations and decision making. The Constitution is now treated as a living document which is reviewed regularly and updated. Previously this has been on an annual basis. Approx 6 reports over the past year has amended the Constitution and the Council has introduced emergency decision making to deal with COVID-19. The MO will be bringing forward a programme of work for the year to come.	https://www.southlakeland.gov.uk/media/7573/south-lakeland-district-council-constitution-2021.pdf	3	4	Second update report to be presented to the Leadership Team on the amends to contracts and CPR by June 2021. Further update on the programme of work to update individual service delegations and decision making will be programmed in over the next 12 months. All to proceed through the Constitutional Working Group.
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	develop protocols to ensure effective communication between members and officers in their respective roles;	Communications		http://sharepoint/_layouts/15/start.aspx#/SitePages/Member%20and%20Officer%20Protocol.aspx	4	4	
					E15	develop protocols to ensure that the leader and chief executive negotiate their respective roles early in their relationship and that a shared understanding of roles and objectives is maintained;	Chief Executive		https://www.southlakeland.gov.uk/media/7573/south-lakeland-district-council-constitution-2021.pdf	4	4	
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	assess the skills required by members and officers and make arrangements to agree a development plan to develop those skills and address any training gaps, to enable roles to be carried out effectively;	HR Lead Specialist	Leadership Team development programme with external provider will conclude in summer 2021. Team Leader programme will start in autumn 2021		3	3	Autumn 2021 sessions commenced with Team Leaders
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	provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis;	HR Lead Specialist	121 process underway. New 'appraisal' process being launched in May 2021. Skills gap analysis work also underway in Spring 2021. Performance Plan process introduced in 2020 to address ongoing performance and behavioural challenges		4	4	
				Personal development plans for members and officers	E2	assess the skills required by members and officers and make arrangements to agree a development plan to develop those skills and address any training gaps, to enable roles to be carried out effectively;	HR Lead Specialist	Behavioural workshops will help employees define behaviours that help us meet this need. New Member Development Strategy will support		3	3	Employee workshops in 2021, plus training opportunities to support member development
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: — scrutinise and challenge — recognise when outside expert advice is required — promote trust — work in partnership — lead the organisation — act as a community leader	E4	ensure that Councillor's roles and responsibilities for monitoring financial/budgetary performance are clear; and they are provided with and have access to adequate financial skills and training to assist in discharging these responsibilities;	Section 151 Officer		http://sharepoint/sites/finance/_layouts/15/start.aspx#/Share%20Documents/Forms/AllItems.aspx?RootFolder=%2Fsites%2Ffinance%2FShared%20Documents%2Ffinance%20training%2Ftraining%202021%2D22&FolderCTID=0x01200016AFC72B92A30C448387E0BA67FFBDOE&View=%7BA673D41B%2DE6E8%2D41C0%2DB2AE%2D35F56F91227%7D	4	4	
					E5	develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed, in line with the member development strategy;	HR Lead Specialist	Induction process in place, with development opportunities boosted by recent provision of e-learning. Also, new Member Development Strategy currently going through approval process		3	3	Currently reviewing induction/on boarding
				Efficient systems and technology used for effective support	E10 is catch all for better	promote the use of technology to enhance efficiency and quality of service;	ICT Lead Specialist	Members are treated like all staff in terms of ICT induction and training and are required to sign the induction form.		4	4	

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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	ensuring personal, organisational and system wide development through shared learning, including lessons learnt from governance weaknesses both internal and external	Arrangements for succession planning	E8	consider career structures for members and officers to encourage participation and development;	Chief Executive/All managers			2	2	Overtaken by LGR proposals / implementation
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	establish clear channels of communication with all sections of the community and other stakeholders and put in place monitoring arrangements to ensure that they operate effectively;	Communications		https://www.southlakeland.gov.uk/media/5665/consultation-strategy.pdf	4	4	
				Stakeholder forum terms of reference	E18	establish clear channels of communication with all sections of the community and other stakeholders and put in place monitoring arrangements to ensure that they operate effectively;	Communications		https://www.southlakeland.gov.uk/media/5665/consultation-strategy.pdf	4	4	
				Strategic partnership frameworks	E18	establish clear channels of communication with all sections of the community and other stakeholders and put in place monitoring arrangements to ensure that they operate effectively;	Strategy Lead Specialist	More work required on the Strategy behind Partnership working		2	3	Partnership Guidance to be considered by Audit Committee December 2021 and implemented immediately
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	assess the skills required by members and officers and make arrangements to agree a development plan to develop those skills and address any training gaps, to enable roles to be carried out effectively;	HR Lead Specialist	Members covered by Personal Development Plans. Officers covered by 'Investing in your Skills' and 'Your Conversation' appraisal meetings.		4	4	
					E8	consider career structures for members and officers to encourage participation and development;	HR Lead Specialist	Under consideration		2	2	Overtaken by LGR proposals / implementation
				Peer reviews	This has happened, covered in more general terms in E7	ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the authority;	HR Lead Specialist			4	4	
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	develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed, in line with the member development strategy;	HR Lead Specialist	Driven via 121s, Your Conversation and Values and Behaviours workshop		3	3	Your Conversation launch May 2021. Values and Behaviours workshops planned for later in 2021
				Staff development plans linked to appraisals	E2	assess the skills required by members and officers and make arrangements to agree a development plan to develop those skills and address any training gaps, to enable roles to be carried out effectively;	HR Lead Specialist	Members covered by Personal Development Plans. Officers covered by 'Investing in your Skills' and 'Your Conversation' appraisal meetings.		4	4	
				Implementing appropriate human resource policies and ensuring that they are working effectively	E9	manage the strategic Human Resource Management and Organisational Development needs of the organisation through relevant policies and accreditation.	HR Lead Specialist	Planned programme of HR policy reviews currently underway - around 1/3rd completed.		3	3	More policy updates to HR Committee in July 2021
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	manage the strategic Human Resource Management and Organisational Development needs of the organisation through relevant policies and accreditation.	HR Lead Specialist	Planned programme of HR policy reviews currently underway - around 1/3rd completed.		3	3	More policy updates to HR Committee in July 2021
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	ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their job;	Strategy Lead Specialist	Risk management included as part of Council Plan on website - giving priority and status to policy. All committee reports include section on risks	https://www.southlakeland.gov.uk/your-council/council-business/council-documents/council-plan/	4	4	

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				F15	Put arrangements in place to capture and manage risks corporately.								
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	ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their job;	Strategy Lead Specialist	Risk management policy formally reviewed annually & changes approved (with review noted by Audit Committee if no changes required)	http://democracy.southlakeland.gov.uk/ieListDocuments.aspx?Cid=135&Mid=4659&Ver=4	4	4		
					F15	Put arrangements in place to capture and manage risks corporately.	Strategy Lead Specialist	Risks collated by Performance and Risk Officer as part of quarterly performance monitoring process, reported on exceptions basis to O&S & Cabinet, reported to Audit Committee twice per year	http://democracy.southlakeland.gov.uk/ieListDocuments.aspx?Cid=135&Mid=4474&Ver=4	4	4		
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	ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their job;	Strategy Lead Specialist	Risk management policy	http://democracy.southlakeland.gov.uk/ieListDocuments.aspx?Cid=135&Mid=4659&Ver=4	4	4		
					F15	Put arrangements in place to capture and manage risks corporately.							
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	ensure performance, financial and non-financial, is reported to senior management and Members including action plans where necessary;	Section 151 officer	medium Term Financial Planning and budget process: supported by Constitution.		3	3	To be considered as part of Plan on a Page; development has been delayed by LGR	
				Benchmarking information	F17	ensure performance, financial and non-financial, is reported to senior management and Members including action plans where necessary;	All Managers			3	3	To be considered as part of Plan on a Page; development has been delayed by LGR	
				Cost performance (using inputs and outputs)	F17	ensure performance, financial and non-financial, is reported to senior management and Members including action plans where necessary;	Section 151 Officer	Regular financial monitoring, reported to O&S, Cabinet and Council quarterly. Reviewed regularly as part of internal audit programme	http://democracy.southlakeland.gov.uk/ieListDocuments.aspx?Cid=364&Mid=4569&Ver=4	4	4		
				Calendar of dates for submitting, publishing and distributing timely reports that are adhered to	F18	To ensure committee decisions are fully documented through the use of appropriate report templates, agenda submission processes and minutes;	Strategy Lead Specialist	Performance management policy reviewed (and changes approved if required) annually by Audit Committee; monitoring reports produced for O&S and Cabinet quarterly. Risk management part of regular internal audit programme.	https://www.southlakeland.gov.uk/your-council/council-business/council-documents/council-plan/	4	4		
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	ensure that professional advice on legal and financial matters is available and recorded well in advance of decision making and used appropriately when decisions have significant legal or financial implications.	Monitoring Officer / Section 151 Officer		http://democracy.southlakeland.gov.uk/ieListDocuments.aspx?Cid=120&Mid=4280&Ver=4	4	4		
				Publication of agendas and minutes of meetings	F18	To ensure committee decisions are fully documented through the use of appropriate report templates, agenda submission processes and minutes;	Monitoring Officer	Agendas and minutes published on Council website		4	4		
				Agreement on the information that will be needed and timescales	F19	ensure that professional advice on legal and financial matters is available and recorded well in advance of decision making and used appropriately when decisions have significant legal or financial implications.	Monitoring Officer	Report writing guidance to officers	http://sharepoint/sites/committeeservices/_layouts/15/start.aspx#/SitePages/Report%20Writing%20Guidance.aspx	4	4		
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	develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall;	Monitoring Officer	Terms of reference set out in Constitution	https://www.southlakeland.gov.uk/your-council/councillors-and-decisions/council-constitution/	4	4		
				Agenda and minutes of scrutiny meetings	F20	develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall;	Monitoring Officer	Agendas and minutes published on Council website	http://democracy.southlakeland.gov.uk/mgCommitteeDetails.aspx?ID=364	4	4		
				Evidence of improvements as a result of scrutiny	F20	develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall;	Monitoring Officer	Annual review of effectiveness	http://democracy.southlakeland.gov.uk/ieListDocuments.aspx?Cid=364&Mid=4506&Ver=4	4	4		
				Terms of reference	F20	develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall;	Monitoring Officer	Included in Constitution, reported to O&S Committee at first meeting of the municipal year, effectiveness reviewed annually	http://democracy.southlakeland.gov.uk/ieListDocuments.aspx?Cid=364&Mid=4343&Ver=4	4	4		

CIPFA Delivering Good Governance in Local Government: Framework (2016)				SLDC				Mar-21 Dec-21			
Principle	Sub principle	Behaviours and Actions that demonstrate good governance in practice	Examples of systems and processes etc per guidance	Local Code Ref	Local Code Text	Responsible Officer	Comments	Evidence ref	Self Assessment level (1 low to 4 high)	Action Plan	
			Training for members	F20	develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall;	Monitoring Officer	Training provided at least annually for members		3	4	Training provided at least annually for members. Access to North West Employers in place for training and support.
			Membership	F20	develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall;	Monitoring Officer	Membership reviewed at least annually; annual review of effectiveness		4	4	
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	F18	To ensure committee decisions are fully documented through the use of appropriate report templates, agenda submission processes and minutes;	Strategy Lead Specialist	Overview included in Performance Management framework, individual report deadlines reflect Calendar of Meetings		3	3	
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)	F21	ensure that systems and processes for financial administration and control, protection of the Authority's resources and assets, are designed in conformity with appropriate ethical standards; and are subject to monitoring of their effectiveness;	Section 151 Officer	Included in Constitution	https://www.southlakeland.gov.uk/media/6689/south-lakeland-district-council-constitution-may-2019.pdf	4	4	
			Financial regulations and standing orders	F21	ensure that systems and processes for financial administration and control, protection of the Authority's resources and assets, are designed in conformity with appropriate ethical standards; and are subject to monitoring of their effectiveness;						
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	F8	ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their job;	Strategy Lead Specialist		https://www.southlakeland.gov.uk/media/6974/risk-management-process-updated-for-2019-appendix-2.pdf	4	4	
				F15	Put arrangements in place to capture and manage risks corporately.	Strategy Lead Specialist		https://www.southlakeland.gov.uk/media/6974/risk-management-process-updated-for-2019-appendix-2.pdf	4	4	
			Audit plan	F22	ensure an effective internal audit function is resourced and maintained and complies with Public Sector Internal Audit Standards (PSIAS);	Section 151 Officer	Contract in place with TIAA for Internal Audit Services and reports provided to O & S	http://sharepoint/sites/finance/Committee%20reports/2020-21/Audit%20Committee/April%202021/AuditCommittee202122%20WorkProgramme%20Final.doc	4	4	
			Audit reports	F22	ensure an effective internal audit function is resourced and maintained and complies with Public Sector Internal Audit Standards (PSIAS);	Section 151 Officer		http://sharepoint/sites/finance/Committee%20reports/2020-21/Audit%20Committee/April%202021/Internal%20Audit%20Progress%20Report-April%202021-Cover%20Report.docx	4	4	
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	Yes, monitored through audit committee	#N/A	Strategy Lead Specialist	Reviewed annually		4	4	

CIPFA Delivering Good Governance in Local Government: Framework (2016)					SLDC					Mar-21	Dec-21	
Principle	Sub principle	Behaviours and Actions that demonstrate good governance in practice	Examples of systems and processes etc per guidance	Local Code Ref	Local Code Text	Responsible Officer	Comments	Evidence ref	Self Assessment level (1 low to 4 high)		Action Plan	
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	put in place effective anti-bribery, fraud and corruption policies that comply with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA, 2014);	Section 151 Officer	Counter fraud arrangements reviewed annually by audit committee. Corporate Anti-Fraud officer carries out risk assessments, fraud investigations etc	http://democracy.southlakeland.gov.uk/ieListDocuments.aspx?Cid=135&Mid=4473&Ver=4	4	4	
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	require our arrangements for financial and internal control and management of risk to be formally addressed within the annual governance reports;	Section 151 Officer / Head of Internal Audit	Internal audit provided by contractor; compliant with PSIAS; recommendations monitored to Audit Committee, annual review of effectiveness; private meeting between internal audit and audit committee annually. Internal auditor provides annual assurance in his annual report to inform the AGS process	http://democracy.southlakeland.gov.uk/ieListDocuments.aspx?Cid=135&Mid=4659&Ver=4	4	4	
				Effective internal audit service is resourced and maintained	F22	ensure an effective internal audit function is resourced and maintained and complies with Public Sector Internal Audit Standards (PSIAS);						
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	Ensure audit committee complies with Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA, 2018).	Section 151 Officer/ Monitoring Officer	Annual review of audit committee in accordance with CIPFA guidance	http://democracy.southlakeland.gov.uk/ieListDocuments.aspx?Cid=135&Mid=4474&Ver=4	4	4	
				Terms of reference	F25	Ensure audit committee complies with Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA, 2018).	Section 151 Officer	Terms of reference reviewed annual at first meeting of municipal year; also reviewed annually as part of annual review of audit committee	http://democracy.southlakeland.gov.uk/ieListDocuments.aspx?Cid=135&Mid=4474&Ver=4	4	4	
				Membership	F25	Ensure audit committee complies with Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA, 2018).	Section 151 Officer	Membership reviewed at least annually; annual review of effectiveness includes review of compliance with guidance	http://democracy.southlakeland.gov.uk/ieListDocuments.aspx?Cid=135&Mid=4474&Ver=4	4	4	
				Training	F25	Ensure audit committee complies with Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA, 2018).	Section 151 Officer	Annual training for all members of audit committee at start of new municipal year, additional ad-hoc training as required and for any new members	http://democracy.southlakeland.gov.uk/documents/g4250/Public%20reports%20pack%20Wednesday%2025-Jul-2018%2018.30%20Audit%20Committee.pdf?T=10	4	4	
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	Put arrangements in place for sharing, gathering and storing data and ensuring data quality.	Strategy Lead Specialist	Information Governance Board,	http://democracy.southlakeland.gov.uk/documents/s24419/Implementation%20of%20General%20Data%20Protection%20Regulations%20and%20Data%20Protection%20Act%202018.pdf	4	4	
				Designated data protection officer	F14	Put arrangements in place for sharing, gathering and storing data and ensuring data quality.	Strategy Lead Specialist	Principal Performance and Intelligence Officer appointed		4	4	
				Data protection policies and procedures	F14	Put arrangements in place for sharing, gathering and storing data and ensuring data quality.	Strategy Lead Specialist	Data Protection Policy <input checked="" type="checkbox"/> Retention Policy <input checked="" type="checkbox"/> Information Management Policy <input checked="" type="checkbox"/> Information Security Policy <input checked="" type="checkbox"/> Data Quality Policy <input checked="" type="checkbox"/> Personal Data Breaches Guidance <input checked="" type="checkbox"/> Privacy Notices <input checked="" type="checkbox"/> Acceptable Use Policy <input checked="" type="checkbox"/> Subject Access Request Form <input checked="" type="checkbox"/> Data Protection Impact Assessment (DPIA) Guidance <input checked="" type="checkbox"/> Information Asset Register (IAR)		4	4	
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	Put arrangements in place for sharing, gathering and storing data and ensuring data quality.	Strategy Lead Specialist	Policy and agreement in place: http://sharepoint/sites/projects/infogov/_layouts/15/start.aspx#/Key%20Policies/Information%20Sharing	4	4		
				Data sharing register	F14	Put arrangements in place for sharing, gathering and storing data and ensuring data quality.	Strategy Lead Specialist	The Council's Information Asset Register is complete and has been published on the Council's SharePoint.	4	4		
				Data processing agreements	F14	Put arrangements in place for sharing, gathering and storing data and ensuring data quality.	Strategy Lead Specialist	A template Data Processing Agreement has been implemented and shared with Procurement Services which will accompany all procurement documents where it is considered relevant.	4	4		
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	Put arrangements in place for sharing, gathering and storing data and ensuring data quality.	Strategy Lead Specialist	Data Quality Policy in place, included in regular audit programme	4	4		
				Data validation procedures	F14	Put arrangements in place for sharing, gathering and storing data and ensuring data quality.	Strategy Lead Specialist		4	4		

CIPFA Delivering Good Governance in Local Government: Framework (2016)					SLDC					Mar-21	Dec-21	
	Principle	Sub principle	Behaviours and Actions that demonstrate good governance in practice	Examples of systems and processes etc per guidance	Local Code Ref	Local Code Text	Responsible Officer	Comments	Evidence ref	Self Assessment level (1 low to 4 high)		Action Plan
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	#N/A	Section 151 Officer	Medium Term Financial Planning and budget process: supported by Constitution. During 2018/19 the Customer Connect programme is supporting transformation change to secure future financial stability for the Council	MTFP and budget reports July 18- Feb 19	4	4	
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	ensure performance, financial and non-financial, is reported to senior management and Members including action plans where necessary;	Section 151 Officer	Monthly monitoring reports from period 3 onwards reported to Corporate Management Team and Cabinet, quarterly Corporate Financial Monitoring reports for Q2,Q3 and outturn reported to O&S, Cabinet & Council (Q1 to be reported for 2019/20 onwards)	http://democracy.southlakeland.gov.uk/ieListDocuments.aspx?Cid=121&Mid=4467&Ver=4	4	4	
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	establish clear channels of communication with all sections of the community and other stakeholders and put in place monitoring arrangements to ensure that they operate effectively;	Strategy Lead Specialist	Contents of website reviewed by Digital Editors during 2018/19 to increase readability and accessibility e.g. MTFP in more accessible format, removal of documents/table and replacement with shorter, machine readable text where possible and appropriate	https://www.southlakeland.gov.uk/	4	4	
				Annual report	G14	publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance;	Strategy Lead Specialist	Annual report produced May annually	https://www.southlakeland.gov.uk/your-council/council-business/council-documents/annual-report/	4	4	
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.	#N/A	Strategy Lead Specialist	Contents of website reviewed by Digital Editors during 2018/19 to increase readability and accessibility e.g. MTFP in more accessible format, removal of documents/table and replacement with shorter, machine readable text where possible and appropriate	https://www.southlakeland.gov.uk/your-council/have-your-say/information-and-data/	4	4	
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	publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance;	Monitoring Officer	Covered by annual reports to Standards and Audit Committees	http://democracy.southlakeland.gov.uk/mgCommitteeDetails.aspx?ID=139	4	4	
				Annual financial statements	G14	publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance;	Section 151 Officer	Published by statutory deadline	https://www.southlakeland.gov.uk/your-council/council-business/finance/budget-and-financial-year-reports/	4	4	
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	produce timely, accurate and impartial financial information for decision making, enabling the Authority to meet its objectives and providing effective stewardship and value for money;	Monitoring Officer	Reports reviewed by Corporate Management Team and Standards Committee	http://democracy.southlakeland.gov.uk/mgCommitteeDetails.aspx?ID=139	4	4	
					G16	produce clear, timely, complete and accurate information for budget holders and senior officers relating to the budgetary and financial performance of the Council;	Section 151 Officer	Accounts reviewed by Corporate Management Team and Audit Committee	http://democracy.southlakeland.gov.uk/ieListDocuments.aspx?Cid=135&Mid=4262&Ver=4	4	4	
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	require our arrangements for financial and internal control and management of risk to be formally addressed within the annual governance reports;	Section 151 Officer	This review, results incorporated into Annual Governance Statement (approved by Audit Committee); action plan reviewed regularly by Audit Committee	http://democracy.southlakeland.gov.uk/ieListDocuments.aspx?Cid=135&Mid=4262&Ver=4	4	4	
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	require our arrangements for financial and internal control and management of risk to be formally addressed within the annual governance reports;	Section 151 Officer	All shared services with other district councils who have the similar frameworks and the same requirement to follow this guidance and review annually	https://democracy.eden.gov.uk/ieListDocuments.aspx?Cid=264&Mid=2432&Ver=4	4	4	

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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	Local Code Text	Responsible Officer	Comments	Evidence ref	Self Assessment level (1 low to 4 high)		Action Plan	
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	#N/A	Section 151 Officer	Annual Report and Q4 Performance Monitoring used as basis for performance information in financial statements		4	4	
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	#N/A	Section 151 Officer	Internal and external audit recommendations reported to Audit Committee; implementation reviewed for each committee and reported on an exceptions basis.	http://democracy.southlakeland.gov.uk/documents/g4462/Public%20reports%20pack%20Wednesday%2005-Dec-2018%2018.30%20Audit%20Committee.pdf?T=10	4	4	
				Compliance with CIPFA's Statement on the Role of the Head of Internal Audit (2010)	G4 Part of effective IA function	ensure an effective internal audit function is resourced and maintained and complies with Public Sector Internal Audit Standards (PSIAS);	Section 151 Officer					
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	ensure an effective internal audit function is resourced and maintained and complies with Public Sector Internal Audit Standards (PSIAS);	Section 151 Officer	Internal audit provided by contractor; compliant with PSIAS; recommendations monitored to Audit Committee, annual review of effectiveness; private meeting between internal audit and audit committee annually	http://democracy.southlakeland.gov.uk/ieListDocuments.aspx?Clid=135&Mid=4473&Ver=4	4	4	
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	enable the Chief Finance Officer (Section 151 Officer) to have direct access to the Council's Audit Committee and External Auditor	Chief Executive		http://sharepoint/sites/finance/Committee%20reports/2020-21/Audit%20Committee/April%202021/SLDC%20External%20Audit%20Committee%20Progress%20report%20-%20April%202021.pdf	4	4	
					G13	establish clear channels of communication with all sections of the community and other stakeholders and put in place monitoring arrangements to ensure that they operate effectively;	Communications		https://www.southlakeland.gov.uk/your-council/council-business/council-documents/annual-report/	4	4	
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	require our arrangements for financial and internal control and management of risk to be formally addressed within the annual governance reports;	All managers		http://sharepoint/sites/finance/Committee%20reports/Forms/AllItems.aspx?RootFolder=%2Fsites%2Ffinance%2FCommittee%20reports%2F2020%2D21%2FAudit%20Committee%2FApril%202021%2FReview%20local%20code%20of%20governance&FolderCTID=0x01200043B860F50FF8B4F89B263FB28FE124F&View=%7B18D8F90B%2D260D%2D44A7%2D82D0%2D9811E8C31309%7D	4	4	
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 Partnership Guidance	G9 - not explicitly a community strategy but sets out arrangements for accountability in	ensure that the authority as a whole is open and accessible to the community, service users and staff and make a commitment to openness and transparency in all our dealings, including partnerships subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so;	Chief Executive	Community Strategy not updated on website since 2012 but aims are superseded by Partnership Guidance	https://www.southlakeland.gov.uk/media/5668/community-engagement-strategy.pdf	2	3	Partnership Guidance to be considered by Audit Committee December 2021 and implemented immediately