
Report To:	Audit Committee	Date:	7 January 2014
Report By:	Acting Corporate Director Environment, Regeneration & Resources	Report No:	AC/73/14/AP/APr
Contact Officer:	Andi Priestman	Contact No:	01475 12251
Subject:	Local Code Of Governance		

1.0 PURPOSE

- 1.1 The purpose of this report is to present the draft Local Code of Governance to the Audit Committee for approval.

2.0 SUMMARY

- 2.1 Good governance for local authorities means ensuring they are doing the right things, in the right way, for the right people in a timely, inclusive, open, honest and accountable manner. It comprises the systems and processes, and cultures and values, by which local government bodies are directed and controlled and through which they account to, engage with and, where appropriate, lead their communities.

- 2.2 In a report to the April 2013 Audit Committee, Members were advised that the Council was currently developing comprehensive arrangements for a Local Code of Governance, including the internal control framework, arrangements for risk management, financial governance and accountability which would lead to the inclusion of a new assurance statement in this year's (2013-2014) Accounts called the Annual Governance Statement that will replace the current Statement on the System of Internal Control.

- 2.3 The Chartered Institute of Public Finance and Accountancy (CIPFA)/Society of Local Authority Chief Executives (SOLACE) provide a framework for developing and maintaining a Local Code of Governance and for discharging accountability for the proper conduct of public business to support the publication of an Annual Governance Statement. It defines the principles that should underpin governance and suggests best practice as:-

- reviewing the Council's existing governance arrangements against the Framework;
- developing and maintaining a Local Code of Governance, including arrangements for ensuring its ongoing application and effectiveness. The Framework outlines six core principles of good governance and translates each one into a range of specific requirements that should be reflected in the Local Code; and
- preparing an Annual Governance Statement to report publicly on the extent to which the Council complies with its local Code, including how the effectiveness of these arrangements during the year have been monitored and on any planned changes in the coming period.

- 2.4 A working group comprising officers from Performance Management, Finance, Legal, Education, CHCP, HR and Internal Audit has now reviewed existing arrangements against the Framework and has developed a draft Local Code of Governance which demonstrates the ways in which the Council will achieve good governance. This is attached as an appendix to this report. Appx 1

- 2.5 In addition to the Local Code, monitoring processes have also been developed whereby all chief officers will be required to review the effectiveness of these arrangements within their own services/directorate during the year and highlight any gaps as appropriate.

- 2.6 As this is the first year that the Council will implement the Local Code of Governance and the associated monitoring processes, the Chief Internal Auditor will provide support to chief officers in order to ensure consistency of approach. The working group will then review the responses and finalise the Local Code of Governance.

3.0 RECOMMENDATIONS

- 3.1 It is recommended that Members approve the draft Local Code of Governance for adoption by the Council.

Alan Puckrin

Acting Corporate Director Environment, Regeneration & Resources

4.0 BACKGROUND

- 4.1 Good governance for local authorities means ensuring they are doing the right things, in the right way, for the right people in a timely, inclusive, open, honest and accountable manner. It comprises the systems and processes, and cultures and values, by which local government bodies are directed and controlled and through which they account to, engage with and, where appropriate, lead their communities.
- 4.2 The Chartered Institute of Public Finance and Accountancy (CIPFA)/Society of Local Authority Chief Executives (SOLACE) provide a framework for developing and maintaining a Local Code of Governance and for discharging accountability for the proper conduct of public business, to support the publication of an Annual Governance Statement. It defines the principles that should underpin governance, and suggests best practice as:-
- reviewing the Council's existing governance arrangements against the Framework;
 - developing and maintaining a local Code of Governance, including arrangements for ensuring its ongoing application and effectiveness. The Framework outlines six core principles of good governance and translates each one into a range of specific requirements that should be reflected in the Local Code; and
 - preparing an Annual Governance Statement to report publicly on the extent to which the Council complies with its local Code, including how the effectiveness of these arrangements during the year have been monitored, and on any planned changes in the coming period.
- 4.3 The Local Code of Governance will underpin the assertions made in the Annual Governance Statement and provide the evidence base for scrutiny by the external auditors.

5.0 IMPLICATIONS

- 5.1 Legal: None
Finance: None
Personnel: None
Equalities: None

6.0 CONSULTATIONS

- 6.1 A working group was set up to develop the draft Local Code of Governance which included representation from all directorates.

7.0 LIST OF BACKGROUND PAPERS

- 7.1 Delivering Good Governance In Local Government Framework (2007, CIPFA/SOLACE)

Principle 1			
Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area			
Supporting Principle			
1. Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcome for citizens and service users			
LA Requirement	Evidence	Evaluation (1-4)	Action Plan Ref
1.1 Develop and promote the authority's purpose and vision.	<ol style="list-style-type: none"> 1. Single Outcome Agreement (SOA) 2013-17 2. Corporate Statement 2013-2017 3. Corporate Directorate Improvement Plans (CDIP) 2013-2015 4. Service Statements 2013-2015 5. CDIP Guidance 6. Service Statement Guidance 7. Self-Evaluation Guidance 8. CDIPs link to SOA and Corporate Statements 9. Strategic Planning and Performance Management Framework (SPPMF) Workshops and Presentations for senior management and team leaders 10. Committee reports 11. CHCP Quarterly Service Reviews 		
1.2 Review on a regular basis the authority's vision for the local area and its implications for the authority's governance arrangements.	<ol style="list-style-type: none"> 1. SOA 2013-17 2. Corporate Statement 2013-2017 3. Local Code of Governance 4. Committee reports 5. CDIP Guidance 6. Service Statement Guidance 7. Self-Evaluation Guidance 8. CHCP Quarterly Service Reviews 		

Evaluation Criteria:

1 Not compliant 2 Partially compliant 3 Fully compliant 4 Exceeds the requirements

LA Requirement	Evidence	Evaluation (1-4)	Action Plan Ref
1.3 Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties.	<ol style="list-style-type: none"> 1. SOA 2013-17 2. Community Plan 3. Reports to Alliance Board 4. Reports to SOA Programme Board 5. Inverclyde Alliance Memorandum of Understanding 		
1.4 Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance.	<ol style="list-style-type: none"> 1. SOA Annual Report 2. Public Performance Reporting Annual Report 3. Annual Report and Accounts 4. Customer satisfaction performance indicators (from Citizen's Panel) 		
Supporting Principle			
2. Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning			
2.1 Decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available.	<ol style="list-style-type: none"> 1. CDIPs 2. Statutory Performance Indicators 3. Key Performance Indicators 4. SOLACE Benchmarking Indicators 5. Self-Evaluation Guidance 6. Community Engagemenet and Capacity Building Network (CECBN) Action Plan 7. Citizens' Panel 8. Benchmarking Networks across Services 9. Communities of Practice eg Performance Management Forum 10. CHCP Quarterly Service Reviews 11. CHCP Advisory Network 12. Care Inspectorate Quality Gradings and Scrutiny Reporting 		

Evaluation Criteria:

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LA Requirement	Evidence	Evaluation (1-4)	Action Plan Ref
2.2 Put in place effective arrangements to identify and deal with failure in service delivery.	<ol style="list-style-type: none"> 1. Quarterly Performance Reports to Committee 2. SPI/KPI reports set out trends 3. Complaints Policy 4. Complaints Recording System 5. Service Improvement Plans for Complaints 6. Complaints training 7. Complaints Reporting 8. CMT regularly reviews and actions Audit Scotland performance reports with relevant reporting and follow up to committee as appropriate 9. CHCP Quarterly Service Reviews 10. CHCP Organisational Performance Review (OPR) Reports 11. Internal Audit Annual Audit Plan 		
Supporting Principle			
3. Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money.			
3.1 Decide how value for money (VFM) is to be measured and make sure that the authority or the partnership has the information needed to review value for money and performance effectively. Measure the environmental impact of policies, plans and decisions.	<ol style="list-style-type: none"> 1. Standing Orders Relating to Contracts 2. Procurement Manual 3. CHCP Service Commissioning and Procurement Framework and Guidance 4. Annual Procurement Capability Assessment 5. Annual Efficiency Statement 6. Financial Regulations 7. Budget Monitoring Reports 8. Financial Strategy 9. CIPFA Directors of Finance Key Performance Indicators 		

Evaluation Criteria:

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Principle 2			
Members and officers working together to achieve a common purpose with clearly defined functions and roles.			
Supporting Principle			
1. Ensuring effective leadership throughout the authority and being clear about executive and non-executive functions and of the roles and responsibilities of the scrutiny function.			
LA Requirement	Evidence	Evaluation (1-4)	Action Plan Ref
1.1 Set out a clear statement of the respective roles and responsibilities of members generally and of senior officers.	1. Role profile for the Leader 2. Job Description/Person Specification for the Chief Executive 3. Member/Officer protocol 4. Local Code of Governance 5. Performance Review Process for Chief Executive 6. Performance Review Process for Chief Officers 7. Joint Agreement between Greater Glasgow and Clyde and Inverclyde Council for Performance Review of CHCP Corporate Director and Heads of Service 8. Performance Appraisal Process for Service Managers 9. Scheme of Delegation 10. Standing Orders 11. Scheme of Administration 12. Planning Scheme of Administration		
Supporting Principle			
2. Ensuring that a constructive working relationship exists between authority members and officers and that the responsibilities of members and officers are carried out to a high standard.			
LA Requirement	Evidence	Evaluation (1-4)	Action Plan Ref
2.1 Determine a scheme of delegation and reserve powers within the constitution, including a formal schedule on those matters specifically reserved for collective decision of the authority, taking account of relevant legislation, and ensure that it is monitored and updated when required.	1. Scheme of Delegation 2. Terms of Reference for Committees 3. Standing Orders 4. Scheme of Administration 5. Planning Scheme of Delegation 6. Financial Regulations August 2011 7. CHCP Scheme of Delegation and Scheme of Establishment		

Evaluation Criteria:

1 Not compliant 2 Partially compliant 3 Fully compliant 4 Exceeds the requirements

LA Requirement	Evidence	Evaluation (1-4)	Action Plan Ref
2.2 Make the Chief Executive responsible and accountable to the authority for all aspects of operational management.	<ol style="list-style-type: none"> 1. Scheme of Delegation 2. Standing Orders 3. Role profile for the Chief Executive 4. Performance Review Process for Chief Executive and Corporate Directors 		
2.3 Develop protocols to ensure that the leader and Chief Executive negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained.	<ol style="list-style-type: none"> 1. Scheme of Delegation 2. Role profiles for the Leader and the Chief Executive 3. Leaders Meeting 		
2.4 Make a senior officer (the S95 Officer) responsible to the authority for ensuring appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining effective systems of internal financial control.	<ol style="list-style-type: none"> 1. Scheme of Delegation 2. Chief Financial Officer is s95 Officer 3. Financial Regulations August 2011 4. Annual Report and Accounts 5. Financial Strategy 		
2.5 Make a senior officer (usually the monitoring officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with.	<ol style="list-style-type: none"> 1. Head of Legal and Democratic Services is Monitoring Officer 2. Scheme of Delegation 3. Scheme of Administration 4. Standing Orders Relating to Contracts 5. Financial Regulations 6. Internal Audit Reports highlighting any breaches in standing orders or financial regulations 		

Evaluation Criteria:

1 Not compliant

2 Partially compliant

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4 Exceeds the requirements

Supporting Principle			
3. Ensuring relationships between the authority, its partners and the public are clear so that each know what to expect of the other.			
LA Requirement	Evidence	Evaluation (1-4)	Action Plan Ref
3.1 Develop protocols to ensure effective communication between members and officers in their respective roles.	<ol style="list-style-type: none"> 1. Member/Officer Protocol 2. Protocol for Members working within multi-member wards 		
3.2 Ensure that an established scheme for remuneration of members and officers and an effective structure for managing the process including an effective remuneration panel (if applicable) are in place.	<ol style="list-style-type: none"> 1. Scheme of Members' salaries and expenses 2. Chief Executive salary set by COSLA 3. Chief Officer salary set as a percentage of Chief Executive salary 4. Employee pay and grading model August 2008 5. Job evaluation scheme 6. Job evaluation scheme appeals process 		
3.3 Ensure that effective mechanisms exist to monitor service delivery.	<ol style="list-style-type: none"> 1. Public Performance Reporting 2. CDIP Performance Reports 3. SOA Annual Report 4. Committee Reports 5. SOLACE Benchmarking Report 6. Budget Monitoring Reports 7. Annual Governance Reviews of ALEO's 8. CHCP 6 monthly OPR Reporting to Committee 9. Outcome Delivery Group reporting to Inverclyde Alliance 		
3.4 Ensure that the authority's vision, corporate plans, priorities and targets are developed, through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated.	<ol style="list-style-type: none"> 1. Citizens' Panel 2. CECBN Action Plan 3. Community Engagement Strategy 4. Adoption of Community Engagement Standards 5. Community Council's Guidance 6. Reports to Committee 7. CHCP People Involvement Framework 		

Evaluation Criteria:

1 Not compliant 2 Partially compliant 3 Fully compliant 4 Exceeds the requirements

LA Requirement	Evidence	Evaluation (1-4)	Action Plan Ref
3.5 When working in partnership ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the authority.	<ol style="list-style-type: none"> 1. Inverclyde Alliance MOU 2. CHCP Scheme of Establishment/Scheme of Delegation 		
3.6 When working in partnership, ensure that there is clarity about the legal status of the partnership; and ensure that representatives of organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions.	<ol style="list-style-type: none"> 1. Inverclyde Alliance MOU 2. SOA 2013-17 3. CHCP Scheme of Establishment/Scheme of Delegation 		

Evaluation Criteria:

1 Not compliant

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4 Exceeds the requirements

Principle 3			
Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour			
Supporting Principle			
1. Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance			
LA Requirement	Evidence	Evaluation (1-4)	Action Plan Ref
1.1 Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect.	1. Code of Conduct for Elected Members 2. Code of Conduct for Employees 3. New Member Induction Programme 4. Standing Orders 5. Committee Meeting Timetable 6. Committee Minutes and Agendas 7. Annual Governance Statement 8. FOI Publication Scheme		
1.2 Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols.	1. Employee Code of Conduct 2. Code of Conduct for Elected Members 3. Member/Officer Protocol 4. Employee Performance Appraisals 5. New Member Induction Programme 6. New Employee Corporate Induction 7. Anti-Fraud and Irregularity Policy 8. Complaints Policy and Procedures		
1.3 Put in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice.	1. Standing Orders Relating to Contracts 2. Code of Conduct for Employees 3. Code of Conduct for Members 4. Register of Interests for Members 5. Conflicts of Interest Procedures 6. Register of Gifts and Hospitality 7. Equalities Policy		

Evaluation Criteria:

1 Not compliant 2 Partially compliant 3 Fully compliant 4 Exceeds the requirements

Supporting Principle			
2. Ensuring that organisational values are put into practice and are effective			
LA Requirement	Evidence	Evaluation (1-4)	Action Plan Ref
2.1 Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations, and communicating these with members, staff, the community and partners.	<ol style="list-style-type: none"> 1. Code of Conduct for Elected Members 2. Code of Conduct for Employees 3. Corporate Statement 2013-2017 4. CHCP Statement of Values 5. CHCP Director's Brief 		
2.2 Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice.	<ol style="list-style-type: none"> 1. Code of Conduct for Elected Members 2. Code of Conduct for Employees 		
2.3 Develop and maintain an effective standards committee (or ensure the function is undertaken by an appropriate equivalent).	<ol style="list-style-type: none"> 1. Commission for Ethical Standards in Public Life Scotland 		
2.4 Use the organisation's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority.	<ol style="list-style-type: none"> 1. Corporate Statement 2. Inverclyde Alliance MOU 3. CHCP Scheme of Establishment 		
2.5 In pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partners' behaviour both individually and collectively.	<ol style="list-style-type: none"> 1. Inverclyde Alliance MOU 2. SOA 2013-17 3. CHCP Scheme of Establishment 		

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Principle 4			
Taking informed and transparent decisions which are subject to effective scrutiny and managing risk			
Supporting Principle			
1. Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny.			
LA Requirement	Evidence	Evaluation (1-4)	Action Plan Ref
1.1 Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall and that of any organisation for which it is responsible	<ol style="list-style-type: none"> 1. Scheme of Administration sets out the role of scrutiny function within Service Committees 2. Committee Minutes and Agendas 		
1.2 Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based	<ol style="list-style-type: none"> 1. Scheme of Delegation 2. Corporate Committee Reporting Format Guidelines 3. Minutes of Committee Meetings 4. Committee Reports 		
1.3 Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice	<ol style="list-style-type: none"> 1. Code of Conduct for Employees 2. Code of Conduct for Elected Members 3. Register of Gifts and Hospitality 4. Committee Minutes showing declarations of interest sought and declarations made 5. Elected Member Training 		
1.4 Develop and maintain an effective audit committee (or equivalent) which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the functions of such a committee.	<ol style="list-style-type: none"> 1. Scheme of Administration 2. Audit Committee chaired by opposition group 3. Review all Internal and External audit reports 		
1.5 Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints.	<ol style="list-style-type: none"> 1. IC Complaints Policy 2. CHCP Complaints Monitoring 3. Scottish Public Services Ombudsman 		

Evaluation Criteria:

1 Not compliant 2 Partially compliant 3 Fully compliant 4 Exceeds the requirements

Supporting Principle			
2. Having good-quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs			
LA Requirement	Evidence	Evaluation (1-4)	Action Plan Ref
2.1 Ensure that those making decisions, whether for the authority or the partnership, are provided with information that is fit for purpose – relevant, timely and gives clear explanations of technical issues and their implications.	<ol style="list-style-type: none"> 1. Corporate Committee Reporting Format Guidelines 2. Pre-agenda meetings 3. Committee timetable 4. Committee papers issued in line with legislative requirements and standing orders 		
2.2 Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately.	<ol style="list-style-type: none"> 1. Council Minutes 2. Council Reports 3. Corporate Committee Reporting Format Guidelines 		
Supporting Principle			
3. Ensuring that an effective risk management system is in place.			
LA Requirement	Evidence	Evaluation (1-4)	Action Plan Ref
3.1 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 jobs.	<ol style="list-style-type: none"> 1. Risk Management Strategy 2. Corporate Risk Register 3. Service Risk Registers 4. Project Risk Registers 5. Operational Risk Management Group 6. Audit Committee oversight of Risk Management 7. Annual Report on Risk Management Activity 		
3.2 Ensure that arrangements are in place for whistleblowing to which staff and all those contracting with the authority have access.	<ol style="list-style-type: none"> 1. Code of Conduct for Employees contains Confidential Reporting (Whistleblowing) Policy 2. Anti-Fraud and Irregularity Policy 3. On the Fiddle E-Learning module 		

Evaluation Criteria:

1 Not compliant 2 Partially compliant 3 Fully compliant 4 Exceeds the requirements

Supporting Principle			
4. Using their legal powers to the full benefit of the citizens and communities in their areas			
LA Requirement	Evidence	Evaluation (1-4)	Action Plan Ref
4.1 Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine but also strive to utilise powers to the full benefit of their communities.	<ol style="list-style-type: none"> 1. Financial Regulations 2. Standing Orders 3. Scheme of Administration 4. Scheme of Delegation 5. Planning Scheme of Delegation 6. Legal Implications considered as part of Committee Report 		
4.2 Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on local authorities by public law.	<ol style="list-style-type: none"> 1. Elected Members Training Programme 2. Corporate FOI and DPA Training 3. Brightwave E-Learning Training on Information Security 4. Equality and Diversity Awareness Training 		
4.3 Observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justice – into their procedures and decision-making processes.	<ol style="list-style-type: none"> 1. Monitoring Officer Role 2. Financial Regulations 3. Standing Orders 4. Scheme of Administration 5. Scheme of Delegation 6. Planning Scheme of Delegation 7. Legal Implications considered as part of Committee Report 		

Evaluation Criteria:

1 Not compliant 2 Partially compliant 3 Fully compliant 4 Exceeds the requirements

Principle 5			
Developing the capacity and capabilities of members and officers to be effective			
Supporting Principle			
1. Making sure that members and officers have the skills, knowledge, experience and resources they need to perform their roles well.			
LA Requirement	Evidence	Evaluation (1-4)	Action Plan Ref
1.1 Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis.	1. Induction Programme for Members 2. E-Learning Corporate Induction for employees 3. Induction Guidelines for Managers 4. CHCP Induction Programme for employees 5. Member Induction Programme 6. Personal Development Plans for Members 7. Performance Appraisal Process and Personal Development Plans for employees 8. Corporate Training Calendar 9. Brightwave e-learning packages 10. CHCP Training Catalogue and database		
1.2 Ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the authority.	1. Job Descriptions and person specifications for statutory officer roles 2. Performance Appraisal Process for employees 3. Personal Development Plans for employees 4. Leadership Development Programme 5. Scheme of Delegation		

Evaluation Criteria:

1 Not compliant 2 Partially compliant 3 Fully compliant 4 Exceeds the requirements

Supporting Principle			
2. Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group.			
LA Requirement	Evidence	Evaluation (1-4)	Action Plan Ref
2.1 Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively.	<ol style="list-style-type: none"> 1. Personal Development Plans for Elected Members 2. Performance Appraisal Process for employees 3. Personal Development Plans for employees 		
2.2 Develop skills on a continuing basis to improve performance, including the ability to scrutinize and challenge and to recognise when outside expert advice is needed.	<ol style="list-style-type: none"> 1. Personal Development Plans for Elected Members 2. Performance Appraisal Process for employees 3. Personal Development Plans for employees 4. Leadership Development Programme for employees 5. Brightwave e-learning packages 6. Organisational Development Strategy 2013-2016 		
2.3 Ensure that effective arrangements are in place for reviewing the performance of the executive as a whole and of individual members and agreeing an action plan which might, for example, aim to address any training or development needs.	<ol style="list-style-type: none"> 1. Personal Development Plans for Elected Members 2. Performance Appraisal Process for employees 3. Personal Development Plans for employees 4. Complaints Procedures 		

Evaluation Criteria:

1 Not compliant 2 Partially compliant 3 Fully compliant 4 Exceeds the requirements

Supporting Principle			
3. Encouraging new talent for membership of the authority so that best use can be made of individuals skills and resources in balancing continuity and renewal.			
3.1 Ensure that effective arrangements are in place designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority.	<ul style="list-style-type: none"> 1. Community Plan 2. Corporate Statement 3. Corporate Directorate Improvement Plans 		
3.2 Ensure that career structures are in place for members and officers to encourage participation and development.	<ul style="list-style-type: none"> 1. Personal Development Plans for Elected Members 2. Performance Appraisal process for staff 3. Management/Leadership Development Programmes 4. Organisational Development Strategy includes succession planning as a key theme 		

Evaluation Criteria:

1 Not compliant 2 Partially compliant 3 Fully compliant 4 Exceeds the requirements

Principle 6			
Engaging with local people and other stakeholders to ensure robust public accountability			
Supporting Principle			
1. Exercise leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships.			
LA Requirement	Evidence	Evaluation (1-4)	Action Plan Ref
1.1 Make clear to themselves, all staff and the community to whom they are accountable and for what.	1. Community Engagement Strategy 2. Employee Surveys 3. Citizens' Panel 4. CECBN Action Plan 5. CDIP Guidance 6. Self Evaluation Guidance 7. SOA 2013-2017 8. Corporate Statement 9. Inverclyde Council Website		
1.2 Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required.	1. Citizens' Panel Database 2. Citizens' Panel Newsletters 3. CDIPs 4. Community Council Engagement 5. CHCP Stakeholders Database (Your Voice, Cares Centre and CVJ)		
1.3 Produce an annual report on the activity of the scrutiny function.	1. Annual Report and Accounts 2. SOA Annual Report 3. Annual Public Performance Report		

Evaluation Criteria:

1 Not compliant 2 Partially compliant 3 Fully compliant 4 Exceeds the requirements

Supporting Principle			
2. Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning.			
LA Requirement	Evidence	Evaluation (1-4)	Action Plan Ref
2.1 Ensure clear channels of communication are in place with all sections of the community and other stakeholders, and put in place monitoring arrangements to ensure that they operate effectively.	<ol style="list-style-type: none"> 1. Council Website 2. Complaints Policy 3. Citizens' Panel 4. InView Magazine 		
2.2 Hold meetings in public unless there are good reasons for confidentiality.	<ol style="list-style-type: none"> 1. Council Standing Orders ensure that all meetings of the Council and Committees are open to the public unless there are specific items exempt in terms of Local Government (Scotland) Act 1973 		
2.3 Ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognize that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands.	<ol style="list-style-type: none"> 1. CHCP Advisory Forum 2. Citizens' Panel 3. Community Council Engagement 4. InView Magazine 		
2.4 Establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users about including a feedback mechanism for those consultees to demonstrate what has been changed as a result.	<ol style="list-style-type: none"> 1. Citizens' Panel Newsletters 2. CHCP Advisory Forum 3. InView Magazine 		
2.5 On an annual basis, publish a performance plan giving information on the authority's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and satisfaction of service users in the previous period.	<ol style="list-style-type: none"> 1. Public Performance Report 2. SOA Annual Report 3. Annual Report and Accounts 		

Evaluation Criteria:

1 Not compliant 2 Partially compliant 3 Fully compliant 4 Exceeds the requirements

LA Requirement	Evidence	Evaluation (1-4)	Action Plan Ref
2.6 Ensure that the authority as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so.	1. Publication Scheme 2. Compliance with Freedom of Information (Scotland) Act 2005 3. Minutes and Agendas are on website and in public libraries 4. On-line E-Planning 5. InView Magazine		
Supporting Principle 3. Making best use of human resources by taking an active and planned approach to meet responsibility to staff.			
LA Requirement	Evidence	Evaluation (1-4)	Action Plan Ref
3.1 Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making.	1. Joint Budget Group with Trade Unions 2. Employee Surveys		

Evaluation Criteria:

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