

# ANNEXE 1

## **Waverley Borough Council**

### **Annual Governance Statement 2007/08**

#### **Scope of Responsibility**

1. Waverley is responsible for ensuring that its business is conducted in accordance with the law and the proper standards, and that public money is safeguarded and properly accounted for, and is used economically, efficiently and effectively. Waverley also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.
2. In discharging this overall responsibility, Waverley is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, and which includes arrangements for the management of risk. During 2007/08, Waverley approved and adopted a Code of Corporate Governance, which accords with the CIPFA/SOLACE Framework "Delivering Good Governance in Local Government". A copy of the Code is available on the Council's website.
3. The purpose of this Statement is to explain how Waverley has complied with the principles of the Code. It also meets the requirements of Regulation 4[2] of the Accounts and Audit Regulations 2003 as amended by the Accounts and Audit [Amendment] [England] Regulations 2006 in relation to the publication of a statement in internal control. It has been prepared in accordance with the guidance set out in the Code. Where there is scope to improve current arrangements when compared with the Code, the actions have been identified and are contained in the attached Annexe.
4. The Annual Governance underpins the other key corporate strategies, the main ones being the medium term financial strategy, the workforce plan, social inclusion strategy and the Council's environmental policies. It also sits alongside the other governance codes and policies. It has been prepared with the assistance of the Council's Corporate Management Team and heads of service.

#### **The purpose of the governance framework**

5. The governance framework comprises the systems, processes and controls, and the culture and values by which Waverley is directed and controlled and its activities through which it accounts to, engages with, and leads, the community. It enables Waverley to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost-effective services.
6. The system of internal control is a significant part of that framework and is designed to manage, not eliminate, risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of its effectiveness. The system of internal control is based on a continuing process designed to identify and prioritise the risks to the achievement of Waverley's policies, aims and objectives, to evaluate the likelihood of those risks actually occurring and their impact they would have, and to manage them efficiently, effectively and economically.

## **The governance framework**

### **Identifying and communicating the authority's vision of its purpose and intended outcomes for its citizens and service users**

7. The Council agreed its new vision and corporate plan in 2008. This sets the direction of the Council for the 4-year period until the next elections in 2011. It contains details of the Council's medium-term financial strategy, which covers the period of the Plan.
8. The Corporate Plan has been printed and made available to the public. It is also available from the Council's website.
9. Service heads are responsible for ensuring the priorities are addressed through their service plans. Where the achievement of priorities and targets involves working with partner organisations, this will be noted in the service plans and Waverley's Code of Partnership working will be applied. Members and service heads will apply this Code to all key partnerships.

### **Reviewing Waverley's vision and its implications for the Council's governance arrangements**

10. The Corporate Plan covers the period of the current administration to 2011. The Council has agreed which will be the key performance indicators and has set targets for performance. The annual budget is set to accord with the Corporate Plan and the Council's financial strategy. Operational performance is scrutinised by the Council's Overview and Scrutiny committees, and the Audit Committee reviews financial performance and organisational controls. Regular budget monitoring takes place throughout the year, and reports are taken to the Executive that highlight variations and provide information on changes in trends and circumstances.
11. To manage and monitor achievement of the Council's Corporate Plan, appropriate systems of information gathering and processing will be required. The Council adopted a data quality code and is currently undertaking internal reviews of data quality arrangements following the Audit Commission's 2006/07 report which identified some shortcomings in a number of key performance indicator and on some grant claims.
12. Roles and responsibilities are defined and laid down in a number of Council documents, the key ones being:
  - The Constitution
  - Scheme of Delegation
  - Financial Regulations
  - Contract Procedure Rules
  - Codes of Conduct (for both members and staff)
  - Member/officer protocol
  - Planning Code of Conduct.

Many of these have been reviewed and, where necessary, updated during 2007/08. Those items that are outstanding will be reviewed in the year 2008/09.

13. The Council restructured its departments during 2007/08 in order to re-align services and achieve a more streamlined approach to service delivery. Each service was considered afresh and synergies established which were translated into the new structure. The restructuring was reflected in the revisions to the Scheme of Delegation.

**Established, clear channels of communication with all sections of our community and other stakeholders, ensuring accountability and encouraging open consultation**

14. The Council re-launched its newspaper in 2007/08 as "Making Waves". It is a quarterly newspaper, which is distributed to all domestic households in its area. There are four versions of the paper with useful local information for each of the main population areas. It sets out Council policies and initiatives, and provides contact details should residents wish to contact the Council.
15. A Citizens' Panel is consulted on major projects and policy initiatives. A Tenants' Panel has been established and its representatives are members of the panel charged with the development and implementation of an action plan to improve the housing and related services. Businesses are consulted annually regarding the Council's budget at the annual ratepayers' meeting.
16. 2007 was a year when all seats of the Council were subject to election. All political parties undertook canvassing, and the current administration has based the Corporate Plan on its election manifesto, thus demonstrating a clear commitment to enacting the promises and proposals on which it was elected. Other specific consultation undertaken includes the local Development Framework, the planning tariff and the Council's major regeneration project at East Street in Farnham.

**Defining and documenting the roles and responsibilities of the Executive, non-executive, scrutiny and officer functions, with clear delegation arrangements and protocols for effective communication**

17. The Council's Constitution contains many of the documents that guide and regulate the way in which Council business is conducted. It contains definitions of the roles and functions of the various postholders and the committee roles and terms of reference. Committees regularly review their terms of reference and make appropriate recommendations to the Council for amendments thereto.
18. As part of the Council's preparatory work towards achieving the South East Employers' Charter for Member Development, in January 2007 the Council approved role descriptions for the Leader, Mayor, Executive Members, Overview and Scrutiny Committee Chairmen and Regulatory Committee Chairmen. These are in the process of being re-launched through the member Development Special Interest Group and issued to all councillors in their Members' Handbook.
19. Officers of the Council all have a job description. Following the reorganisation of Council structures and officer responsibilities, these are in the process of amendment to reflect the changes.
20. There are also procedure rules and protocols that govern the way in which meetings are conducted and the interaction between officers and members. The latter is also under revision. A new protocol concerning the role of the Monitoring Officer is also being considered.

21. A forward programme is published that lists forthcoming items of business for the Executive. Meetings are open to the public, and only a very small amount of business is excluded from the press and public for a limited number of prescribed reasons. All key meetings are webcast. A “call-in” procedure is open to members of Overview and Scrutiny Committees, giving the opportunity to examine decisions of the Executive before they are implemented.

#### **Developing, communicating and embedding codes of conduct and defining the standards of behaviour for members and staff**

22. Waverley members have signed the national Code of Conduct, thereby undertaking to act in accordance with the standards of behaviour that it extols. The Council also has a Code of Conduct for members of staff, which it intends to review; it is anticipated that this will be completed in 2008/09.

23. Waverley is currently implementing the revised national framework for receiving and dealing with complaints about member conduct. The Council’s Standards Committee will receive any complaints and will consider each complaint received. A separate sub-committee will oversee each stage of the process (initial assessment, investigation and hearing) in order to ensure that there is adequate independence at each stage. To enhance independence, the Committee has three independent members who have no political connections with other members of the Council.

24. Briefing and training sessions are held for all members of staff when any major change to policies, codes or protocols are made. Where relevant, full copies of new documents are issued to all members of staff and are made readily available on the Council’s intranet. New members of staff attend a full induction course, which contains a session on governance and conduct.

25. It is expected that the Council’s partners, such as other public authorities and contractors, ensure that they conduct their business according to the same standards with requirements specified in contracts. This is an area of work that heads of service will be required to enhance in 2008/09.

26. A staff appraisal scheme is operated on an annual basis. This is an opportunity for managers to ensure that the Council’s priorities, standards and ethics are reflected in the work and performance of their members of staff.

#### **Whistleblowing and receiving and investigating complaints from the public**

27. The Council has recently revised its whistleblowing policy. The previous version was aimed at members of staff; the revision extends this to encompass members of the Council and members of the public alike. It guarantees that confidentiality will be maintained and that reports of suspicions of wrongdoing can be made without fear of recrimination or reprisals.

28. A revised system for dealing with formal complaints is in the process of implementation. Waverley seeks to ensure a fair outcome for all its stakeholders and customers, and wishes to learn from its mistakes. Management information is collated and considered by senior management in order to identify specific issues and to identify changes to procedures that will improve decision-making.

**Reviewing and updating standing orders, financial regulations, scheme of delegation and procedure notes/manuals that define how decisions are taken and the processes and controls required to manage risks**

29. There is an annual review in March/April (the most recent being April 2008) of the Council's Contract Procedure Rules and Financial Regulations, with interim changes also being made as and when the need arises. The first of these sets out the way in which the Council tenders for its contracts, and the second sets out the responsibilities for managing the Council's finances. Other documents are amended also as and when necessary (see paragraph 12). Significant changes were made following the restructuring of Council departments in 2007/08.
30. Waverley recognises that the sound management of risk is critical. The Council acknowledges that it will be judged against its achievement of its stated priorities. Risk management is a key element in the achievement of priorities, and the Council has identified its strategic risks that, if they came to fruition, would hinder achievement.
31. A member of both the Executive and the Audit Committee have been nominated as champions for risk management. The Head of Finance and Performance has been charged with operational responsibility for it.
32. Strategic risks have been allocated to the most appropriate strategic director to manage and ensure that the necessary controls and action plans are in place to mitigate against them. There is also a register of operational risks. These are being aligned with the Council's priorities, and the work is in hand to identify the appropriate service heads responsible for mitigating actions.
33. An inter-departmental group of Council officers meets three to four times a year to review the risk register. It is updated with details of recent developments, and the comparative likelihood of a risk occurring and its consequences are re-assessed at the same time. The Group also discusses such matters as training needs for officers and members alike and makes arrangements to deliver training.
34. Internal audit reviews have found that some departments have sound and up-to-date procedure notes that are available for staff to refer to when delivering their services. Some departments are less well equipped, and this is an area that service heads will be addressing in 2008/09.

**Compliance with relevant laws and regulations, internal policies and procedures, and that expenditure is lawful**

35. The Corporate Management Team considers all key reports that are taken to the Council, the Executive or any other of its committees. This Team consists of the Chief Executive and the strategic directors. Senior managers are invited to attend the meetings to discuss their reports. There is a requirement placed upon the authors of reports to ensure that the necessary legal and financial expertise is obtained before a report is signed-off as ready for publication, and the appropriate officers make such guidance available to the authors of reports.
36. The Council has appointed the three statutory officers who are jointly and severally responsible for ensuring that business is transacted in accordance with the law. These are the Head of Paid Service (a responsibility for overseeing the Council's staffing structure and making recommendations for changes, which is a position filled by the Chief Executive), the S.151 Officer (the responsibility for the

financial administration of the Council, which is the Deputy Chief Executive) and the Monitoring Officer (who has a duty to draw to members' attention any proposal that does not comply with the law, the position being held by the Head of Internal Audit).

37. When a significant change in law, that affects the Council's statutory duties, is made (briefing and/or training sessions are held for all staff). Depending on the need, some items are instead subject to a cascade briefing on a fortnightly basis. There is also a monthly briefing session for senior members of staff that covers current issues, and the attendees are expected to report back to their colleagues with the key messages.

**Measuring the quality of services for users, for ensuring they are delivered in accordance with the Council's objectives and for ensuring that they represent the best use of resources**

38. The Council has acknowledged that it needs to set high standards for delivery of its services. Therefore its overview and scrutiny committees have set up a sub committee to regularly review performance. Central to this are the results of the performance indicators that the Council has adopted as its key indicators, which include some new national indicators. The Council has mapped its performance management framework to its corporate objectives and has included key indicators and milestones as the means to measure success and demonstrate, and account for, its performance.
39. Achievement of value for money requires a number of actions. One is to have high performing services, and this is measured through the performance indicator results and comparison with other similar authorities. Benchmarking is undertaken in a number of the Council's services on a regular basis, and the Council has also adopted a programme of reviews that focus on specific services. These reviews examine the need for, method of delivery of and performance of the services in question. The Council's score for value-for-money arrangements improved in the most recent Use of Resources assessment undertaken by the Audit Commission.
40. Budgets were examined in detail through the "Star Chamber" process, which was introduced as part of the budget-setting process in 2007/08. This enabled members to identify any changes in financial allocations, which helped to ensure the approved budget was adequate to meet priorities. This process will be continued in future years as work continues with the Finance Portfolio Holder, the Executive and Council.
41. The Council maintains an internal audit service, which is responsible for reviewing Council operations and procedures. In their work, the Council's internal auditors are responsible for identifying any instances or risks whereby the Council could suffer loss, through waste, theft or fraud, and to make recommendations to reduce the level of risk.
42. In addition, the Audit Committee operates in accordance with best practice, and its terms of reference reflect this. Amongst other things it monitors internal audit arrangements and the work performed and receives the annual report on the effectiveness of internal audit arrangements which submitted in accordance with the Accounts and Audit Regulations.

43. Budgets are monitored regularly and significant under- and over-spends are reported to the Executive. Appropriate decisions can therefore be made on a timely basis. It also affords the Council the opportunity to note changes when setting the budget for the following year.
44. Management and investment of funds is governed by the Council Treasury Management Policy, which is reviewed annually in accordance with best practice. The Council has an approved efficiency strategy and has successfully exceeded its target for achieving efficiency gains.

### **Council Committee Structure**

45. Special Interest Groups are a fundamental part of policy and decision-making at Waverley. They are small groups of councillors who look in detail at a specific subject area and inform the relevant Executive portfolio holder. There are currently Special Interest Groups looking at the Constitution, Leisure and Culture, New Subsidised Affordable Housing, Healthcare, Planning Policy, Human Resources and Member Development. There is also a Landlord Services Partnership SIG which is a joint meeting between Waverley councillors and tenants.
46. During 2007/08 the planning committees were re-organised in response to public and member opinion and area-based committees were re-introduced. The planning committees determine the planning applications that are not delegated to officers. The Development Control Consultative Forum process has been in place since 2005 and has been assisting applicants in providing them with councillor and community feedback before finalising their proposals. They are due to be reviewed in 2008/09.
47. Waverley's committees are structured and populated in such a way as to ensure objectivity in scrutiny, audit and standards matters. The overview and scrutiny (O&S) committees' membership excludes members of the Executive, as does the Audit Committee's. The O&S committees have a role to challenge policy and examine/review implementation of policies and the effectiveness and development of policies.
48. The Standards Committee is responsible for setting the standards of conduct and behaviour of Council members, including an overseeing role in respect of town and parish councils. It has three independent members, one of whom chairs the Committee, and two representatives of town and parish councils.
49. The Audit Committee acts as the body "charged with governance". It receives and approves the annual Statement of Accounts and has opportunity to challenge the Council's accounting policies and practices. It also receives reports from the Council's external auditor, and is responsible for ensuring actions agreed in response to recommendations are enacted. It plays a similar role in respect of recommendations made by Internal Audit.
50. There are regulatory functions that are determined by the Licensing and Regulatory Committee and Sub-Committees. These make decisions on applications from members of the public for various licences including gaming, entertainment and sale of liquor.

### **Specific improvements**

51. There is a range of actions that remain to be enacted in order to fully implement the Council's Code of Corporate Governance. Officers will work with councillors, making reports to committees as appropriate, to achieve this. This Governance Statement has itemised a number of such actions.
52. During the financial year 2007/08 there has been a variety of issues that indicate that officers require further training on Contract Procedure Rules. This will take place in 2008.
53. A major initiative, in response to internal audit reports, will be the gradual implementation of standards relating to the governance of Information Technology. The standard to be followed is the Information Technology Infrastructure Library (ITIL). This is being overseen by the Audit Committee.
54. Data quality has been an issue for Waverley, and has affected the external auditor's opinion on performance indicators and subsidy claims. Work is underway to address the shortcomings.

### **Level of assurance**

55. This Annual Governance Statement demonstrates that the systems and processes that comprise Waverley's governance arrangements provide a good level of assurance to the Council. The improvements contained in the attached annex will enhance arrangements.

### **Certification**

56. This Governance Statement has been prepared by officers with knowledge of the key governance issues. They have compiled a list of items of evidence to support an assessment against the Council's Code of Corporate Governance and to support the action plan mentioned above. That assessment has been referred to in the preparation of this Governance Statement, which also draws upon the knowledge and understanding of those officers.
57. We therefore commend the Governance Statement to the Council.

Signed

Leader of the Council

Chief Executive

## ANNEXE 2

### CODE OF CORPORATE GOVERNANCE

#### Annexe to Annual Governance Statement 2007/08: ACTION PLAN

#### Key to Responsible Officers:-

LA = Lyndsay Austin – Head of Legal Services

GC = Graeme Clark – Head of Finance and Performance

MH = Mark Hill – Head of Internal Audit

AO = Alex Overington – Head of Human Resources

RP = Robin Pellow – Head of Democratic Services

HoS = Heads of Service

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date
<b>Focussing on the purpose of the authority and on outcomes for the community, and creating and implementing a vision for the local area</b>				
GC	Develop and promote the authority's purpose and vision	Should form a basis for: <ul style="list-style-type: none"> <li>Corporate and service planning</li> <li>Community Strategy inputs</li> <li>Local Area Agreements/ Performance Plan</li> </ul>	Refresh Community Strategy – Local Strategic Partnership  Monitor Local Area Agreements targets	Sept '08  Ongoing
GC	Regularly review the authority's vision for the area and its impact on governance arrangements	Governance Code Local Development Framework consultation work Local Strategic Partnership review of Community Strategy	Annual review by Executive of Corporate Plan targets	Feb '09
GC	Ensure that partnerships are underpinned by a common vision of their work that is	Partnership Protocol Governance Code Local Area Agreements Governance	Joint Local Development Framework/Local Strategic Partnership visioning event	July '08

<b>Responsible Officer</b>	<b>Requirement</b>	<b>Core Evidence</b>	<b>Key Actions Identified</b>	<b>Target Date</b>
	understood and agreed by all parties	report		
GC/MH	Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance.	Annual Financial Statements Annual Business Plan Annual report Performance Plan outturn	Adequate arrangements in place	Done
GC	Decide how quality of service for users is to be measured and make sure the information needed to review service quality effectively and regularly is available	Reflected in: Corporate Plan Service Plans Financial Strategy New satisfaction Local Performance Indicators Performance Management Framework maps Corporate Plan to performance measures	Adequate arrangements in place	Done
RP	Put in place effective arrangements to identify and deal with failure in service delivery	Complaints procedure Audit Commission Risk Management Process	Reviewed - implementation June '08	June '08
GC	Decide how value for money is to be measured and make sure that the authority or partnership has the information to review value for money and performance effectively	Performance Plan GC report to Exec or Value for Money Strategy Star Chambers Value For Money reviews Corporate Plan priority defined	Star Chamber performance indicator targets to be disseminated and performance monitored	Nov '08
RP	Measure the environmental impacts of policies, plans and		Measurement processes to be developed by Climate	Dec '08

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date
	decisions		Change Group	
<b>Members and officers working together to achieve a common purpose with clearly defined functions and roles</b>				
RP	Set out a clear statement of the respective roles and responsibilities of the Executive and of the Executive's Members individually, and the authority's approach towards putting this into practice.	Constitution Record of decision making Website Committee reports	Adequate arrangements in place	N/A
RP	Set out a clear statement of the respective roles and responsibilities of other authority Members, Members generally, and senior officers	Constitution	Adequate arrangements in place	N/A
RP	Determine a scheme of delegation and reserve powers within the constitution, including a formal schedule of those matters specifically reserved for collective decision taking by the authority, taking account of relevant legislation, and ensure that it is monitored and updated when required	Constitution September Review Evidence updated Sept 07 and Jan 08	Adequate arrangements in place	N/A
AO	Make a Chief Executive or equivalent responsible and accountable to the authority for	Conditions of Employment Chief Executive job description Appraisal with Leader	Adequate arrangements in place	N/A

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date
	all aspects of operational management	Scheme of Delegation Statutory Provision Job Description/Specification Performance Management Annual appraisals identify performance issues		
AO/MH	Develop protocols to ensure that the Leader and Chief Executive (or equivalent) negotiate their respective roles early in the relationship and that a shared understanding of those roles and objectives is maintained	1:1 between new Leader/Chief Executive have taken place each week since the Chief Executive took up her post	Adequate arrangements in place	N/A
GC	Make a senior officer (the s151 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	Section 151 responsibilities  Statutory provision Statutory reports Budget documentation Job Description/Spec Financial Regulations	Adequate arrangements in place	N/A
MH	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	Monitoring Officer appointed as separate appointment to substantive position as Head of Internal Audit.  Statutory provision Job Description/Specification	Develop a Monitoring Officer protocol for approval by the Standards Committee and ratification by Council. Assimilate Monitoring Officer duties into job description for	Dec '08

<b>Responsible Officer</b>	<b>Requirement</b>	<b>Core Evidence</b>	<b>Key Actions Identified</b>	<b>Target Date</b>
	regulations are complied with		Head of Internal Audit.	
MH	Develop protocols to ensure effective communication between Members and officers in their respective roles	Monitoring Officer responsible for developing and maintaining the Member/Officer protocol.	Revise Member/Officer protocol	Dec '08
AO/RP	Set out the terms and conditions for remuneration of Members and officers and an effective structure for managing the process, including an effective remuneration panel where applicable	Pay and Conditions Policies and Practices  Job Evaluation Panel Defined scheme of allowances for members Joint Negotiating Committee	Equal pay audit underway and resulting action plan needs to be implemented.  Reconvene panel to review members' allowances	July '08
GC	Ensure that effective mechanisms exist to monitor service delivery	O & S Performance Sub Committees  Monitoring reports on Leisure/Hsg New Performance Management Framework Monthly reports to Corporate Management Team Quarterly report to members Risk monitoring	Revise service planning process and link to corporate plan	Aug '08
GC	Ensure that the organisation's vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local	Contracts Monitoring  Vision Strategy Corporate Plan	Adequate arrangements in place	N/A

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date
	community and other stakeholders, and that they are clearly articulated and disseminated	Budgets Performance Plan/Regime Statutory Surrey Election		
GC & HoS	When working in partnership, ensure that Members are clear about their roles and responsibilities – both individually and collectively – in relation to both the partnership and the authority	For each partnership:  Clear statement of partnership principles and objectives Clarity of each partner's role within the partnership Definition of roles of partnership board members Line management responsibilities for staff who support the partnership A statement of funding sources for joint projects, including clear accountability for financial administration A protocol for dispute resolution within the partnership	Review existing partnerships against new code	Dec '08
GC	When working in partnership:  Ensure there is clarity about the legal status of the partnership Ensure that representatives of organisations both understand and make clear to all other partners the extent of their	New partnerships code requires these tests to be applied	Adequate arrangements in place	N/A

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date
	authority to bind their organisations to partner decisions			
<b>Promoting values for the authority and demonstrating the values of good governance through upholding of high standards of conduct and behaviour</b>				
RP/MH	Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect	"Ask Mary" facility on Notes Corporate values Whistleblowing policy to Executive May 2008 Court Papers Council Constitution contains relevant protocols	Staff training on new Whistleblowing policy	Nov '08
MH	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	Members/officers Code of Conduct  Performance appraisal Complaints procedures Anti-fraud and anti-corruption policies Member/Officer Protocol Partnership Governance framework	Training sessions for relevant staff and for members to be arranged	Nov '08
MH/AO	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	Standing orders  Codes of Conduct for staff Financial regulations Code of Conduct for members based on national model Standards Committee Register of Interests	Code of conduct under review (for staff)	July 2008

<b>Responsible Officer</b>	<b>Requirement</b>	<b>Core Evidence</b>	<b>Key Actions Identified</b>	<b>Target Date</b>
	processes to ensure that they continue to operate in practice	Register of gifts and hospitality Council Constitution		
RP	Develop and maintain shared values, including leadership values for both the organisation and the staff reflecting public expectations and communicate these with Members, staff, the community and partners	Codes of Conduct  Core values Corporate priorities	Adequate arrangements in place	N/A
MH/LA	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	Codes of Conduct  Members' Handbook Members' induction training Members' training programme Written guidance on specific topics e.g East Street planning application Advice available from Legal Services and other professional officers Internal Audit consulted on new systems and procedures, tendering matters and other governance-related matters	Adequate arrangements in place	N/A
MH	Develop and maintain an effective standards committee	Terms of reference  Regular reports to Council Independent chairman Business agenda concerns complaints and conduct issues	Adequate arrangements in place	N/A

<b>Responsible Officer</b>	<b>Requirement</b>	<b>Core Evidence</b>	<b>Key Actions Identified</b>	<b>Target Date</b>
RP	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	Decision-making practices	Adequate arrangements in place	N/A
GC	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	Protocol for Partnership working	Adequate arrangements in place	N/A
<b>Taking informed and transparent decisions that are subject to effective scrutiny and managing risk</b>				
RP	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	Scrutiny always supported by robust evidence and data analysis	Adequate arrangements in place	N/A
RP	Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which	Decision-making protocols record of decisions and supporting materials	Adequate arrangements in place	N/A

<b>Responsible Officer</b>	<b>Requirement</b>	<b>Core Evidence</b>	<b>Key Actions Identified</b>	<b>Target Date</b>
	decisions are based			
MH	Put in place arrangements to safeguard Members and employees against conflicts of interest and put in place appropriate processes to ensure they continue to operate in practice	Members' Code of Conduct Access to Monitoring Officer for all members	Adequate arrangements in place	N/A
MH	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	Terms of reference Membership Training for Committee members	Adequate arrangements in place	N/A
RP	Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints	Complaints procedure	Adequate arrangements in place	N/A
RP	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 a clear explanation of	Members' Induction Scheme Training for Committee chairs Report writing guidelines	Adequate arrangements in place	N/A

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date
	technical issues and their implications			
LA/GC	Ensure that proper professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately	<p>Record of decision making and supporting materials</p> <p>Record kept of advice obtained</p> <p>Head of Legal reviews reports</p> <p>Corporate Management Team reviews reports</p> <p>Legal and financial reps on large groups</p> <p>Comprehensive legal/financial service available to Council members and officers alike</p> <p>Committee report guidance</p>	Adequate arrangements in place	N/A
GC	Ensure that risk management is embedded into the culture of the authority, with Members and managers at all levels realising that risk management is a part of their jobs	<p>Risk management protocol</p> <p>Financial standards and regulations</p> <p>Heads of Service job descriptions</p>	<p>Complete new Heads of Service job descriptions based on generic Job Descriptions</p> <p>Regular updates and reports to Corporate Management Team and members</p>	ongoing
MH	Ensure that effective arrangements for whistle blowing are in place to which officers, staff, and all those contracting with or appointed to the authority	Whistle-Blowing Policy revised May '08	Adequate arrangements in place	N/A

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date
	have access			
LA	Actively recognise the limits of lawful activity placed on the Council by, for example, the ultra vires doctrine, but also strive to utilise Council powers to the full benefit of the community	<p>Constitution</p> <p>Monitoring Officer provisions</p> <p>Availability of comprehensive legal service to members and officers</p> <p>Committee reporting system – legal implications section of reports and blue sheet system</p> <p>Obtaining expert legal advice and support as required</p>	<p>Continue to maintain a comprehensive internal/external legal service and keep provision under review to ensure availability of specialist expertise</p> <p>Ensure consistency of reporting systems (don not overlook the legal contribution required)</p> <p>Service providers to obtain legal advice at a sufficiently early stage</p> <p>Periodic review of Constitution and scheme of delegation</p>	Ongoing
LA	Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on authorities by public law	Standard committee report template includes legal comment	Adequate arrangements in place	N/A
LA	Observe all specific legislative requirements placed on the Council, as well as the requirements of general law, and	<p>Monitoring Officer role and advice to members</p> <p>Job Description/specification</p>	Adequate arrangements in place	N/A

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date
	in particular integrating the principles of good administrative law – rationality, legality and natural justice – into their procedures and decision-making processes	Member Handbook Constitution/Contract Procedure Rules and Procedure Rules Scheme of Delegation Integration of Legal Services with Democratic Services Section 151 Officer role fulfilled by named officer at director level Head of Democratic Services' role in maintaining and advising on committee and member services Training of members and officers Adoption of Member Code of Conduct		
<b>Developing the capacity and capability of members and officers to be effective</b>				
RP	Provide induction programmes tailored to individual needs and opportunities for Members and officers to update their knowledge on a regular basis	Training and development plans  Induction programme Update courses/information Officers' annual appraisals	Monitoring Officer Charter Development	Dec 2008
AO	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	Job Descriptions and Person Specs  Membership of the Corporate Management Team Induction booklet Annual appraisals Action learning sets	Adequate arrangements in place	N/A
AO/RP	Assess the skills required by Members and officers and make	Training and development plan for members	Adequate arrangements in place	N/A

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date
	a commitment to develop those skills to enable roles to be carried out effectively	members		
GC	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	<p>Training and development plan reflects the needs of the modern councillor, including:</p> <ul style="list-style-type: none"> <li>• Ability to scrutinise and challenge</li> <li>• Ability to recognise when outside advice is required</li> <li>• Advice on how to act as an ambassador for the community</li> <li>• Leadership and influencing skills</li> </ul> <p>Overview and Scrutiny performance sub committees Staff appraisals</p>	Adequate arrangements in place	N/A
GC	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 and development needs	<p>Performance management system</p> <p>Member training programme</p>	Establish specific Executive briefing to focus on programme	Aug '08

<b>Responsible Officer</b>	<b>Requirement</b>	<b>Core Evidence</b>	<b>Key Actions Identified</b>	<b>Target Date</b>
GC	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	Strategic partnership framework Stakeholders forums and terms of reference Area forums' roles and responsibilities Residents' panel structure Tenants' Panel Citizens' Panel Roles meeting – Waverley Business Forum	Use "Big Debate" as a kick off to relaunch the Citizens Panel	July '08
AO/RP	Ensure that career structures are in place for Members and officers to encourage participation and development	Succession planning – associated actions on risk register  Annual revision to member appointments and roles e.g. appointment to Executive, chair of committee etc Reintroduction of career grades in areas where staff shortages exist	Workforce plan to be revised	Sept '08
<b>Engaging with local people and other stakeholders to ensure robust public accountability</b>				
RP	Make clear amongst Members, officers and the communities they serve to whom the Council is accountable and for what	Community Strategy	Adequate arrangements in place	N/A
GC	Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of relationships and any changes	Involvement event for social inclusion  Crime and Disorder Reduction Partnership Local Strategic Partnership	Local Development Framework/Local Strategic Partnership joint visioning event Big Debate on housing issues	July '08

<b>Responsible Officer</b>	<b>Requirement</b>	<b>Core Evidence</b>	<b>Key Actions Identified</b>	<b>Target Date</b>
	required	Local Development Framework		
RP	Produce an annual report on the activity of the scrutiny function	Annual Report	Adequate arrangements in place	N/A
GC	Ensure clear channels of communication are in place with all sections of the community and other stakeholders, and put in place monitoring arrangements and ensure they operate effectively	Community Strategy Processes for dealing with competing demands in the community Youth Forum Business Forum Better Government for Older People	Adequate arrangements in place	N/A
RP	Hold meetings in public unless there is a good reason for confidentiality	All meetings publicised and key ones are webcast Access to archived meetings webcasts Agendas and minutes publicised on website	Adequate arrangements in place	N/A
GC	Ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands	Citizens' Panel	Adequate arrangements in place	N/A

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date
GC	Establish a clear policy on the types of issues where the Council will consult meaningfully or engage with the public and service users, including a feedback mechanism for those consultees to demonstrate what has changed as a result	Partnerships framework Communication strategy	Adequate arrangements in place	N/A
GC	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 the satisfaction of service users during the previous period	Annual Report Annual Financial Statements Corporate Plan Annual Business Plan Corporate Plan mapping document on website	Performance against Corporate Plan targets to be published each spring	N/A

<b>Responsible Officer</b>	<b>Requirement</b>	<b>Core Evidence</b>	<b>Key Actions Identified</b>	<b>Target Date</b>
RP	Ensure that the authority as a whole is open and accessible to the community, service users and its staff, making sure 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 appropriate and proper to do so	Constitution	Adequate arrangements in place	N/A
AO	Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making	Constitution Terms and conditions of employment paras 2.2, 2.3 and 2.4	Adequate arrangements in place	N/A