AUDIT SERVICES REPORT ON CORPORATE GOVERNANCE ARRANGEMENTS 2008/09

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Summary: This report evaluates compliance in 2008/09 with the Delivering Good Governance in Local Government Framework, summarises progress with corporate governance arrangements since the previous year and details the outstanding issues.

Recommendation: That Members note the report and its contribution to the Annual Governance Statement.

1.   INTRODUCTION

1.1   The Council adopted the Code of Corporate Governance, based on the CIPFA/SOLACE Framework for Delivering Good Governance in Local Government, on 13 May 2008. Internal audit carries out an annual review, to provide assurance on the adequacy and effectiveness of corporate governance arrangements and the extent of compliance with the Good Governance Framework.

2.   INTERNAL AUDIT REPORT

2.1   The internal audit report is attached at Appendix 1, with detailed compliance against the Corporate Governance Framework shown at Appendix A.

3.   CONCLUSIONS

3.1   The Council's Code of Corporate Governance is in line with the best practice guidance.

3.2   The arrangements were generally effective and being complied with. A significant number of items have been progressed since the previous year and progress on the outstanding issues is being monitored. However, following the loss of key Finance staff, the Council's business continuity arrangements in relation to the finance function - and management of performance when these arrangements were put in place - proved to be inadequate, resulting in failure to meet a fundamental statutory deadline to produce an auditable Statement of Accounts for 2007/08 and the need to use financial reserves to rectify the situation. The Corporate Governance arrangements have, therefore, been evaluated as weak.

3.3   Actions have been identified to address the outstanding issues and most of these are already in place. An action plan, covering the remaining issues, is shown at Appendix B.

List of Appendices
Appendix 1 – Internal Audit report 2008/09 on Compliance with the Good Governance Framework
Appendix A – Internal Audit report Appendix A – Detailed Framework and Compliance
Appendix B – Internal Audit report Appendix B – Action Plan

List of Background Documents: None

Officers Consulted: Corporate Team

**COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT
FRAMEWORK IN 2008/09**   **Item 10 Appendix 1**

COPELAND BOROUGH COUNCIL - AUDIT SERVICES FINAL REPORT

1.0   INTRODUCTION

1.1   The Council adopted the Code of Corporate Governance, based on the CIPFA/SOLACE Framework for Delivering Good Governance in Local Government, on 13 May 2008. The CIPFA/SOLACE Framework provided a national standard for assessing good governance practice. Full Council, as the governing body, had overall responsibility for implementing the Code of Corporate Governance, whilst Corporate Team has monitored the operation of the Code, ensuring appropriate arrangements were in place.

1.2   The Audit Committee monitors the Council's arrangements to ensure internal control systems are effective, reviews the Council's Accounts, reviews the work of internal and external audit and monitors risk management arrangements.

1.3   The Standards Committee has responsibility for promoting high ethical standards across the Council, maintains an overview of the Member and Officer Codes of Conduct and other relevant protocols, together with the Council's complaints handling regime.

1.4   Internal audit carries out an independent review annually, to provide assurance on the adequacy and effectiveness of corporate governance arrangements and the extent of compliance with the CIPFA/SOLACE Framework. This report will contribute to Corporate Team's production of the Annual Governance Statement.

1.5   The scope of the audit covered monitoring compliance with the Framework and identifying any areas for improvement.

2.0   KEY FINDINGS

2.1   Detailed comments are given in Appendix A, which shows the full CIPFA/SOLACE framework and how this is being applied.

2.2   **A number of items had been progressed since the previous year**.
        These included: -
        * approving a refreshed Corporate Plan
        * progressing work on Ethical Governance, including appointment of Independent Chairs of Standards Committee and the Audit Committee, precluding Audit Committee Members from being on the Resource Planning Working Group (as well as from being on Executive or Scrutiny Committees), further developing the Member / Officer Protocol and the Planning Code of Conduct
        * reviewing the Constitution
        * progressing the new Joint Scrutiny across Cumbria arrangements. The Scrutiny Committees' work plan in 2008/09 also included more scrutiny of performance delivered by partnerships
        * consulting stakeholders on OSC work plans
        * reviewing the Scheme of Delegations for Officers and including in the Delegation Scheme that the Chief Executive is responsible and accountable to the authority for all aspects of operational management

COPELAND BOROUGH COUNCIL - AUDIT SERVICES FINAL REPORT

- appointing a permanent Head of Finance and Management Information Systems (S.151 Officer)
- approving revised Contract Standing Orders
- introducing regular legal updates, circulated to Management Group
- updating partnership agreements
- updating Audit Commission pro forma on Direction of Travel, Value for Money and the Use of Resources to evaluate performance
- publishing the audited Statement of Accounts for 2006/07 [previously uncertified] [Also publishing the audited 2007/08 Accounts which had missed the statutory deadline for external audit and publication in 2008]
- progressing work on the new Local Development Framework, using consultants' specialist expertise
- delivering further corporate training on Equality and Diversity
- progressing the programme of Equality and Diversity Impact Assessments
- providing Data Quality training for 50 employees (January – February 2009)
- conducting a survey to measure performance against the Customer Service Commitments and reporting the results to OSC Management
- reporting, in Copeland Matters, mid-year progress against priorities previously identified by stakeholders
- relaunching the Complaints Monitoring Procedure and introducing Corporate Complaints Monitoring software, with effect from 01/04/09
- organising the Place Survey [results still to be analysed]
- updating the Member Development Strategy
- continuing the personal development programmes for Members
- introduced a revised and more performance-focussed employee performance management scheme for all employees
- continuing a corporate management training programme
- investing more in staff training
- retaining the Investors in People certification
- progressed Job Evaluation
- holding a series of Employee Roadshows to feedback on a range of corporate employment and policy issues
- considering alternative delivery of services e.g. Shared Services
- revising the Strategic Risk Register in line with the updated Corporate Plan
- using the Council's insurers to facilitate a workshop on further revising the Strategic Risk Register
- documenting Business Continuity Plans for key services

2.3 **Outstanding actions from the previous year related to**:-

- Linking performance to budgets within Service Plans and Performance Monitoring reports [2008/09 Service Plans and 2009/10 budget planning included resource planning linked to the delivery of objectives but further work is needed in linking financial monitoring to service performance. A Task Group was set up to address this in 2008/09 but the extent of staff vacancies in the Accountancy section prevented progress being made on this issue]

- Further development of the Ethical Governance Framework was to be undertaken in 2008/09. However, the full programme of work was not completed. Outstanding items related to a newsletter, a member and employee survey, an in-house charter and a Standards Committee Annual Report. These have been added to the Standards Committee 2009/10 Work plan

- A phased programme of Equality and Diversity Impact Assessments (EIA's) were introduced in 2007/08.   Further work was to be undertaken in 2008/09. A number of EIA's were completed (detailed at 3.2 in Appendix A) but further work is needed to complete the programme in 2009/10

2.4   Progress on these outstanding issues is monitored.

2.5   **Areas for further improvement in 2009/10 related to**:-

- Ensuring the statutory deadline for the production of the Annual Accounts and supporting working papers is met [Key posts have been filled and an action plan is already in place, including performance monitoring reports / updates to Members]

- Ensuring that audit independence is maintained, following the 3 months in 2008/09 when the Audit & Fraud Prevention Manager was acting S.151 Officer [arrangements are already in place]

- Reviewing and relaunching the Anti-Fraud and Corruption Strategy [last review and relaunch was in 2007/08]

- Undertaking more work on identifying and mitigating the risks involved in key partnerships [action point is already in place]

- Regularly testing the Business Continuity arrangements for key services [action point is already in place]

- Implementing the Job Evaluation Scheme [Timetable is already in place]

- Providing reports on the Council's risk management arrangements, throughout the year, to the Audit Committee

- Implementing the new Cumbria-wide Joint Scrutiny arrangements

- Publishing an Annual Report to co-ordinate information on the Council's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the period.

The Audit Commission's Governance Reports, produced on completion of the audit of the 2006/07 and 2007/08 Statement of Accounts, had already highlighted some of the areas for improvement shown above. This resulted in a revised 2007/08 Annual

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Governance Statement, including an action plan, being presented to the Audit Committee on 27 March 2009. These actions are being progressed but, for completeness, these previously agreed actions are also included on the action plan at Appendix B.

3.0 **CONCLUSION**

3.1 The Council's Code of Corporate Governance is in line with the CIPFA/SOLACE Framework. Arrangements were largely in place and were being complied with. Particular emphasis is now being placed on partnership working and this is reflected in the governance requirements both for partnership working and for actively recognising the limits of lawful action. It also increases the level of risk arising from the Council's activities and the increasing need to manage those risks and provide monitoring reports to Members.

3.2 Significant progress has been made in developing and updating the arrangements. However, following the loss of key Finance staff, the Council's Business Continuity arrangements in relation to the finance function - and management of performance when these arrangements were put in place - proved to be inadequate, resulting in failure to meet a fundamental statutory deadline to produce an auditable Statement of Accounts for 2007/08 and the need to use financial reserves to rectify the situation. The Corporate Governance arrangements, therefore, have been evaluated as weak.

3.3 Actions have been identified to address the outstanding issues and most of these are already in place. An action plan, detailing these, is shown at Appendix B.

OVERALL AUDIT OPINION	WEAK

CONTROL DESIGN	GOOD
CONTROL EFFECTIVENESS	WEAK
RISK EXPOSURE PROBABILITY	MEDIUM
RISK EXPOSURE IMPACT	HIGH

Marilyn Robinson
Audit & Fraud Prevention Manager

12 May 2009

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

1. **Good governance means focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area.**

   The function of governance is to ensure that authorities, other local government organizations or connected partnerships fulfil their purpose and achieve their intended outcomes for citizens and service users and operate in an effective, efficient, economic and ethical manner. This concept should guide all governance activity. There are some general purposes that are fundamental to all public governance, including providing good quality services and achieving value for money. Public value refers to the things that public services produce, either directly or indirectly, using public money. Public value includes: outcomes (such as improved health and improved safety); services (such as waste collection); and trust in public governance.

   Local government bodies need to develop and articulate a clear vision of their purpose and intended outcomes for citizens and service users that is clearly communicated, both within the organization and to external stakeholders.

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
1.1 Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcome for citizens and service users. The Council should:- • Develop and promote the authority's purpose and vision • Review on a regular basis the authority's vision for the local area and its implications for the authority's governance arrangements • Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners	Updated Corporate Plan, with objectives linked to the new National Indicator set. Sits within wider regional plans: Cumbria Community Strategy / Sustainable Communities Strategy for West Cumbria / Cumbria Local Area Agreement / LDNPA Vision & Action Plan / Energy Coast Master plan. Service Plans developed to achieve Corporate Plan objectives. Partnership agreement in place for the West Cumbria Partnership. Format for Partnership Protocols has been in place since December 2006.	Corporate Plan 2008-12 [Exec. 17/6/08 & Full Council 24/6/08] Corporate Improvement Plan, based on Corporate Plan, focused on 2009/10, approved by Exec 21/4/09. 2008/09 Service Plans were in place. Exec 8/4/08 - Memorandum of Roles & Responsibilities and Accountable Body Agreement for WCP. 14/10/08 endorsed the aims & objectives of Cumbria Strategic Waste Partnership.	A & on web site. On the intranet. M & on web site M & on web site

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
		Exec 10/02/09 - Endorsed the refreshed W. Lakes District Tourism Partnership & its next 3 year development plan and SLA with key partners.	M & on web site
• Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance.	Annual Performance Report	Summary circulated with Council Tax Bills.	A
	Statement of Accounts.	Statement of Accounts 2006/07 & 2007/08 were signed off / published at the end of March 2009.	On the web site.

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
1.2 Ensuring that users receive a high quality of service, whether directly or in partnership or by commissioning. The Council should:- • decide how the quality of service for users is to be measured and make sure that it has the information it needs to review service quality effectively and regularly.	Customer Service Charter. Also service specific standards e.g. for Waste Management and Parks & Open Spaces. . Performance Indicators built into Corporate Plan & Service Plans. Quarterly Performance Monitoring reports to the Executive.	Customer Service Strategy and Commitments approved by Executive 21/2/06. Survey completed in April 2008 to measure performance against the Customer Service Commitments. Results reported to OSC Management 18/7/08. Results mostly good. Quarterly performance monitoring on Service Plans to Directors. Quarterly reports to Executive on corporate plan objectives and PI's. Quarterly performance management arrangements are in place, which include cascading performance information between managers and to Portfolio-holders.	B E B & on web site. C C

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
1.2 Continued		Examples of improvements to Customer Service in 2008/09: New telephony system, CRM development, new website and alternative payments arrangements.	
• Put in place effective arrangements to identify and deal with failure in service delivery.	Corporate Team focus on areas where PI' are significantly below target.	Detailed Performance Reports to the Corporate Improvement Board.	J
	The Process Improvement Team assists departments in making targeted service improvements and increased efficiency.	Quarterly reports to Head of Service, half yearly to OSC Management.	G

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
1.2 Continued	Reports to Scrutiny Committee, with action plans.	Scrutiny workplan included e.g. monitoring Enforcement performance & considering alternative provision of services e.g. Markets.	C
	Strategic Housing Panel was established on 13/5/08 to address the issues relating to Housing Strategy, following the Audit Commission Inspection Report.	Regular meetings held throughout 2008/09 to monitor performance against the Action Plan and to recommend remedial measures to the Executive where necessary.	H & T
	Regular updates to Audit Committee and Full Council following failure to produce an auditable set of the 2007/08 Accounts by the statutory deadline of 30 June 2008.	Additional resources brought in to restate the Accounts and working papers, pending new appointments taking up their posts. **Action plan already in place to ensure the statutory deadline is met in 2009.**	Agendas & Minutes

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CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
1.2 Continued	Annual Employee Performance Appraisal, with 6 monthly review.	Revised Performance Appraisal System introduced in May 2008. Increased investment in staff training. Retained Investors in People certification.	C I

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
1.2 Continued	Complaints procedure - Increased sharing of learning through formal and informal complaints.	Complaints Monitoring Procedure includes action to address the problem and central analysis of complaints and responses by Customer Services Officer. Reports to OSC Management meeting quarterly.	F
		Corporate Complaints database introduced 1/4/09 [Covalent].	F
	Improving Customer Satisfaction project – Customer First.	Customer First Task Group continued to meet in 2008/09. Feedback given to Managers Group to highlight performance improvement issues.	E
	Place Survey was undertaken.	Further work to be undertaken once the results are analysed.	

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
1.3 Ensuring that the authority makes best use of resources and that taxpayers and service users receive excellent value for money The Council should:- • Decide how value for money is to be measured and make sure that the authority or partnership has the information needed to review value for money and performance effectively.	Best Value and Local Performance Indicators. Procurement Strategy in place. Efficiency agenda – looking at alternative ways of delivery. All services reviewed as part of budget process. Process Improvement team. [PIT]	Quarterly performance monitoring arrangements in place. Alternative delivery considered e.g. Management of Markets and Shared Services for Revenues & Benefits. PIT workplan/ progress reports. Audit Commission pro formas used for Direction of Travel, Value for Money and the Use of Resources.	C G Resource Planning Working Group minutes. G Copies on Audit Committee agendas.
• Measure the environmental impact of policies, plans and decisions.	Impact considered in reports to the Executive.	Impact on sustainability and on rural proofing included in checklist in pro forma for all Executive reports.	C

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

2. **Good governance means Members and officers working together to achieve a common purpose with clearly defined functions and roles**

The governing body of an organization has overall responsibility for directing and controlling that organization. In local government, the governing body is the full council or authority. Good governance requires all concerned to be clear about the functions of governance and their own roles and responsibilities and those of others, and to behave in ways that are consistent with those roles. Being clear about one's own role, and how it relates to that of others, increases the chance of performing the role well. Clarity about roles also helps all stakeholders to understand how the governance system works and who is accountable for what.

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
2.1 *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.* **The Council needs to:-** • 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. • Set out a clear statement of the respective roles and responsibilities of other authority members, members generally and of senior officers.	The roles and responsibilities of Members are set out in the Constitution in relation to the individual roles of Committees, panels and the Executive and in relation to delegation of powers to portfolio holders and senior officers. The Constitution is continually kept under review. Councilor Role Descriptions were agreed at Full Council 27/2/07.	Further amendments approved by Council 15/4/08, 13/5/08, 9/9/08 & 31/3/09. Revised terms of reference & composition of Standards Committee to address the new duties under the 2007 Act. Introduced Independent Chair for the Audit Committee – appointed January 2009. Members of the Audit Committee precluded from being on Resource Planning Working Group to maintain independence.	H L

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
2.2 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. The Council should:- • Determine a scheme of delegation and reserve powers within the constitution, including a formal schedule of 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. • Make a chief executive responsible and accountable to the authority for all aspects of operational management. • 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. [The Leader's role is to lead the governing body, ensuring it makes an effective contribution to the governance of the organization; the Chief Executive's role is to lead the organization in implementing strategy and managing the delivery of services. A good working relationship between the two can make a significant contribution to effective governance.]	As 2.1 above Constitution includes Portfolio Holders' Responsibilities. Now included in Delegations to Officers. General Member/Officer Relations Protocol has been in place since 12/4/05. Job profiles approved for all Members by Full Council 27/2/07. Job profile for the Chief Executive was agreed in 2007. 10	The change to the Scheme of Delegations to Officers fulfilled the 2007/08 action point to ensure that the Constitution reflected the previously approved operational changes incorporated in Financial Regulations. The 2007/08 action point was addressed on 13/5/08 by adding … "To be responsible for and accountable to the Council for all aspects of operational management" to the Chief Executive's Delegated powers. Personnel Panel terms of reference were amended. Further developed Member/Officer Protocol 13/5/08.	H H L H

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
2.2 Continued • Make a senior officer (the S.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. • 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.	The Head of Finance & Management Information Systems is designated as the S.151 officer in the Scheme of Delegation. S.151 officer is a member of Corporate Team. Financial Regulations detail responsibilities and Executive reports include the requirement for consultation with the S.151 officer. The Head of Legal and Democratic Services is designated as the Monitoring Officer. He is a member of Corporate Team and Executive reports include the requirement for consultation with the Monitoring Officer.	Interim arrangements ended on 13/10/08, when the permanent Head of Finance & MIS took up her post. Corporate Team meet to review all reports prior to Executive reports being placed on the agenda. S.151 Officer & the Monitoring Officer (or the relevant deputy) attends all meetings of the Executive and of Full Council.	H

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
2.3 Ensuring relationships between the authority, its partners and the public are clear so that each knows what to expect of the other. The Council should:- • Develop protocols to ensure effective communication between members and officers in their respective roles.	General Member/Officer Relations Protocol has been in place since 12/4/05. Members Role descriptions were approved by Full Council 27/2/07. These included:- Generic Role (all 51 members) Leader Leader of Opposition Group Executive Member Regulatory Committee Chair Other Committee Chair Overview and Scrutiny Chair	Further developed Protocol 13/5/08. Portfolio holders' responsibilities are decided by the Leader of the Council.	H L
• 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 (if applicable).	Independent Remuneration Panel reviews Members' Allowances.	Last review undertaken March 2007. Recommendations approved by Full Council on 16/3/07.	L
• Ensure that effective mechanisms exist to monitor service delivery.	Quarterly performance monitoring reports.	As 1.2 above.	C
• Ensure that the organisation's vision, 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.	Consultation on priorities, aims and objectives in the Corporate Plan and as part of the annual budget consultation process.	Consultation with Neighborhood Forums on corporate priorities. Consultation with key stakeholders on the Corporate Plan.	

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
Continued • when working in partnership, ensure that members are clear about their roles and responsibilities both individually and collectively in relationship to the partnership and to the authority.	Guidance to Councilors on their Responsibilities as Members of Outside Bodies was approved 27/4/06.	Amended July 2006. Arrangements still in place.	N

• When working in partnership:
  - ensure there is clarity about the legal status of the partnership
  - ensure that representatives of organizations both understand and make clear to all other partners the extent of their authority to bind their organization to partner decisions.
	West Cumbria Strategic Partnership – Memorandum of Roles and Responsibilities and Accountable Body Agreement.		M

		Endorsement of role of the Cumbria Strategic Waste Partnership Enforcement Group (Exec. 14/10/08) and Inter-Authority Agreement on Waste Management (Exec. 11/11/08).	M
	SLA with the W. Lake District Tourism Partnership for 2006-09.	Approaching end of the SLA, the service delivery model / next 3 year development plan was reviewed. (Exec. 10/2/09).	M

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CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

3. **Good governance means promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.**

Good governance comes from a shared ethos or culture, as well as from systems and structures. It cannot be reduced to a set of rules or achieved fully by compliance with a set of requirements. This spirit or ethos of good governance can be expressed as values and demonstrated in behaviour. Good governance builds on the 7 principles for the conduct of people in public life that were established by the Committee on Standards in Public Life, known as the Nolan principles - selflessness, integrity, objectivity, accountability, openness, honesty and leadership. In England, the Local Government Act 2000 outlined 10 principles of conduct – an additional 3 to those identified by Nolan – respect for others, duty to uphold the law and stewardship.

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
3.1 Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance. • Ensure that the authority's leadership sets a tone for the organization by creating a climate of openness, support and respect.	Vision, aims and objectives incorporated in the Corporate Plan. Dignity at Work Policy. Quarterly meetings are now scheduled between the Independent Chair of the Standards Committee, the Executive Leader and the Chief Executive to discuss issues relating to conduct and good governance.	Vision and themes updated as part of revision of the Corporate Plan. Mission Statement and priorities are published in the Best Value Performance Summary, the Customer Service Strategy and Corporate Team's Commitments.	A B

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
3.1 Continued • Ensure that standards of conduct and personal behavior 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 Code of Conduct and Employees Code of Conduct are in place. Anti-Fraud & Corruption Strategy. Planning Code of Conduct.	No further updates in 2008/09. **Need to review and relaunch Anti-Fraud & Corruption Strategy in 2009/10. [Last review & relaunch was in 2007/08]** Planning Scheme of Delegation was revised 24/2/09	I & L I H
3.1 Continued • 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.	Members Code of Conduct and Employees Code of Conduct are in place. Compliance with Equality and Diversity Policy and Guidelines. Dignity at Work Policy. Workshops undertaken on Ethical Governance.	Corporate training on Equality and Diversity was undertaken by both Members and Employees.	Records held by Head of Legal & Demo-cratic Services

| 3.2 | **Ensuring that organizational values are put into practice and are effective.**

• Develop and maintain shared values, including leadership values for both the organization and staff reflecting public expectations, and communicate these with members, staff, the community and partners. | As 3.1

The Standards Committee considered an Ethical Governance Framework in 2007/08. | Independent Chair appointed.

New legislation on the local sift of complaints against Councillors came into force on 8th May 2008. Revised composition and terms of reference for the Standards Committee were approved 13/5/08, to reflect the new duties.

Further work on development of the Ethical Governance Framework was undertaken in 2008/09.

Outstanding items related to a newsletter, a member & employee survey, an in-house charter and a Standards Committee Annual Report. These have been added to the 2009/10 Workplan. | I |

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
3.2 Continued • 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.	Corporate Equality Scheme (Feb 2008). Phased programme of Equality & Diversity Impact Assessments introduced in 2007/08.	In 2008/09, EIA's were completed for:- Human Resources Cultural Services Customer Services Open Spaces Communications. Environmental Health, Development Control, Licensing and Committee Services EIA's are done but are currently being consulted upon. **Further work to be undertaken in 2009/10 to complete the programme.**	O I & O Also section on the intranet

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
3.2 Continued • Develop and maintain an effective Standards Committee.	Standards Committee's terms of reference are kept under review. See also the comments made at 3.1.	Amendments to the Constitution at the Annual Meeting in May 2008 approved changes to the terms of reference of the Standards Committee, arising from the requirement for a Local Sift and changes in the way appeals against determinations concerning politically restricted posts are dealt with.	H
• 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.	As 3.1 & 3.2 above. Arrangements in place for Freedom of Information Act. Also Publication Scheme in place in the public domain. Review of Part II reports to ensure that only the specific items defined by legislation are included in Part II reports.	Publication Scheme on the web site.	P
• 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.	As 2.3 Protocols / Agreements in place.	As 2.3 Protocols / Agreements in place.	M H

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

4.   **Good governance means taking informed and transparent decisions, which are subject to effective scrutiny and managing risk.**

Decision making within a good governance framework is complex and challenging. It must further the organisation's purpose and strategic direction and be robust in the medium and longer terms. To make such decisions, Members must be well informed.

Members making decisions need the support of appropriate systems, to help to ensure that decisions are implemented and that resources are used legally and efficiently.

Risk management is important to the successful delivery of public services. An effective risk management system identifies and assesses risks, decides on appropriate responses and then provides assurance that the chosen responses are effective.

A risk management system should consider the full range of the organisation's activities and responsibilities, and continuously check that various good management disciplines are in place, including:

- strategies and policies are put into practice in all relevant parts of the organisation
- strategies and policies are well designed and regularly reviewed
- high quality services are delivered efficiently and effectively
- performance is regularly and rigorously monitored and effective measures are put in place to tackle poor performance
- laws and regulations are complied with
- information used by the organisation is relevant, accurate, up-to-date, timely and reliable
- financial statements and other information published by the organization are accurate and reliable
- financial resources are managed efficiently and effectively and are safeguarded
- human and other resources are appropriately managed and safeguarded.

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
4.1 Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny. • 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.	Role of Scrutiny Committees defined in the Constitution.	Progressed Joint Scrutiny across Cumbria in 2008/09. Agreed workplan. Scrutiny workplan in 2008/09 included more scrutiny of performance delivered by partnerships – e.g. update reports from the West Cumbria Strategic Partnership and from the Cumbria Strategic Partnership / Local Area Agreement.	H C
• Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based.	The Statement of Executive Decisions has been revised to bring greater clarity to the decision-making process.	Format continued to be used in 2007/08.	SEDs on the website.
• 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.	Register of Members' and Officers' Interests in place. Also formal procedure for declaration of interests at each Committee / Panel meeting.	Practice continued in 2008/09. Head of Legal & Democratic Services periodically sends out a reminder. **Acting s151 officer for 3 months, then reverted to Audit & Fraud Prevention Manager post. Arrangements put in place to maintain audit independence.**	I

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
4.1 Continued			
• 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.	Audit Committee is a politically balanced, formally constituted committee. Members are not members of the Executive or Scrutiny committees. The role of the Audit Committee is based on CIPFA guidelines.	Further amendments to the Constitution 13/5/08. Introduced Independent Chair for the Audit Committee – appointed January 2009. Members of the Audit Committee also precluded from being on Resource Planning Working Group to maintain independence. Training undertaken by Members. Complied with the CIPFA requirements for an effective Audit Committee. Review to be undertaken by Corporate Team and reported to the Audit Committee 27/5/09.	H
• Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints.	Formal Complaints Procedure in place. Designated officers to co-ordinate and monitor corporately all complaints received and to report quarterly to OSC Management.	Complaints Monitoring module on Covalent performance system introduced from 1/4/09.	F

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
4.2 Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs. • Ensure that those making decisions, whether for the authority or the partnership, are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications.	Reports must include an "argument" in support of the recommendation. There is a checklist as part of the report pro forma to ensure that implications are covered.	Practice evidenced in Committee reports for 2008/09.	Committee agendas
• 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.	All reports for Executive decisions include legal and financial implications. Reports are withdrawn if there has been no consultation with the Head of Legal and Democratic Services or the Head of Finance and Management Information Systems.	As above.	As above
	Monitoring officer or deputy and s151 officer or deputy always attend the Executive / full Council meetings.	Practice continued in 2008/09.	
	Seek external advice when appropriate e.g. Counsel, technical experts.	Consultants' advice sought on new Local Development Framework.	M
	Constitution requires members to listen to advice and record if not in agreement.	Recorded on Statement of Executive Decisions.	SED's on web site
	22		On web site

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
4.3 Ensuring that an effective risk management system is in place. • 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.	Risk Management Strategy has been in place since 25/4/06. Strategic and Operational Risk Registers are in place. Impact and probability are assessed.	Operational risks for each service - documented and managed on the corporate performance system (Covalent). Strategic Risk Register is kept under review by Corporate Team. It was considered by OSC Management (19/9/08) and by the Audit Committee (24/9/08). A workshop on the Strategic Risk Register was facilitated by the Council's insurers - 23/2/09. **More work needs to be undertaken on identifying and mitigating the risks involved in key partnerships.**	R & C R R
	Business Continuity Plans in place.	Problems arose with loss of key Finance staff in 2008. **Business Continuity Plans need to be regularly tested.**	R
	Individual Project Initiation Documents for major projects include an analysis of risk and the risks are monitored as part of the project board meetings.	PID and risk log for Web Site Development Project in 2008/09.	J & R
	Improvement Board monitor progress of major improvement projects and on the corporate plan objectives.	Improvement Board continued to meet in 2008/09, its role having been reviewed on 15/4/08 at Full Council.	H

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
4.3 Continued	Individual internal audit reports give an opinion on the risk position. These are summarized in an annual report to the Audit Committee.	Annual Statement on Internal Control to be considered by the Audit Committee 27/5/09.	S
	Risk management is in the terms of reference of the Audit Committee.	Considered the review of the Strategic Risk Register and Quarterly Audit Services Monitoring Reports. Annual Governance Statement, including assessment of risk management arrangements, coordinated by the Head of Policy & Performance, to be approved by the Audit Committee. **Overall risk management arrangements should be considered at least quarterly by the Audit Committee.**	
• Ensure that effective arrangements for whistle-blowing are in place to which officers, staff and all those contracting with or appointed by the authority have access.	Confidential Reporting Code (Whistleblowing Policy) in place.\n\nCode reviewed by both Audit and Standards Committees in 2007/8.\n\nRelaunched internally and via press release in 2007/08.	Notices placed on notice boards throughout the Council's offices, publicising the Code. Code is also on the intranet & website. All contractors notified as part of the contract.	Q

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
4.4 Using their legal powers to the full benefit of the citizens and communities in their area. • Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine but also strive to utilise their powers to the full benefit of their communities.	Constitution defines delegated powers. Individual departments act within statutory provision e.g. licensing. Monitoring Officer maintains an overview of the Council's decisions and will advise if he considers any proposed actions are ultra vires and, if so, the alternatives.	Constitution is regularly reviewed in the light of new legislation e.g. the Local Government and Public Involvement in Health Act 2007. Changes to the Constitution required by this Act were approved at the Council's Annual Meeting in May 2008. Further changes will be recommended when Statutory Instruments bring relevant parts of the Act into operation. Continued to lobby with other agencies on behalf of the community on nuclear issues and on the provision of hospital services.	H
• Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on authorities by public law.	As above. Training sessions on the Data Protection Act are regularly held - for example, 9 sessions in 2007/8. Members undertook training on the Member Code of Conduct in 2007/8.	The Legal Services Manager introduced regular legal updates, circulated to Management Group, in 2008/9 to advise staff of changes in legislation. Further training sessions on Data Protection Act held in 2008/09.	R Details held by Head of Legal & Democratic Services

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
4.4 Continued • 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.	As above.		

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

5.   **Good governance means developing the capacity and capability of members and officers to be effective**

Effective local government relies on public confidence in authority members and in officers. Good governance strengthens credibility and confidence in our public services.

Authorities need people with the right skills to direct and control them effectively. Authority members need the right skills for their roles. In addition, governance is strengthened by the participation of people with many different types of knowledge and experience. Good governance means drawing on the largest possible pool of potential members to recruit people with the necessary skills. Encouraging a wide range of people to stand for election will develop a membership that has a greater range of experience and knowledge. It will also help to increase the diversity of authority members in terms of age, ethnic background, social class, life experiences, gender and disability. This concept should also be borne in mind when members are appointed to the boards of other public service organisations.

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
5.1 Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles. • Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis.	There is an approved Members Training & Development Plan. The Leader and three other members have attended the Leadership Academy Programme. • ACE Programme • LSP Improvement Plan – Community Leadership Officers have an induction programme and annual employee performance management interviews, which identify training and development needs.	Member training programme continued in 2008/09. Individual training records are now maintained for each Member. Employee Performance Management records kept by managers. Corporate Training Plan. Individual action plans. Fraud awareness training carried out for Customer Service Officers in 2008/09.	L I

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
5.1 Continued • 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.	Statutory officers, as other managers, identify resource needs as part of the service planning and budget process.	Service planning and budget process followed in 2008/09. **However, Acting S.151 Officer in the last quarter of 2007/08 and first quarter of 2008/09 failed to identify that there were insufficient resources to meet the statutory deadline for production of the Accounts. Key posts were filled in the third quarter of 2008/09 and a recovery action plan is in place.**	Resource Planning Working Group papers.
5.2 Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group. • Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively.	Induction training takes place for all new Members. This is followed by a Member Training Programme. Democratic Services formulated Personal Development Plans for Members, identifying individual training needs and developed a corporate Member training programme.	Detailed Member Training and Development Programme for 2008/09. Member Development Strategy was revised and approved by the Executive 9/9/08.	L L

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
5.2 Continued • develop skills on a continuing basis to improve performance, including the ability to scrutinize and challenge and to recognize when outside expert advice is needed.	As above. Support from Scrutiny Officer and other Democratic Services Officers.	Personal Development Programme for Members continued in 2008/09.	
• 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.	As above.	Scrutiny Officer and Democratic Services Officers in place in 2008/09.	L

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
5.3 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. • 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.	.	This action point was raised in 2007/08. It was considered and the conclusion was that this was a matter for the political parties themselves, rather than a policy. However, times and locations of meetings have been varied to allow people of different work patterns and from all areas of the Borough to attend. The reviews of the roles of OSC members aims to provide a more satisfying and developmental set of activities for front-line members, leading to more demanding roles.	Committee meetings on web site H

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
5.3 Continued • ensure that career structures are in place for members and officers to encourage participation and development.	The Constitution gives the flexibility to change Portfolio Holders' areas of responsibilities at regular intervals	The appointment of the Executive and the allocation of portfolios is the responsibility of the Leader. Membership of Committees / portfolio holders reviewed annually.	H
	Officers have annual employee performance management interviews. All vacancies are advertised internally in the first instance.	Arrangements in place in 2008/09. The Council invests in members and officers to create resources for the future both leadership and management and, as far as possible in a small organization, to offer a career structure.	I

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

6. **Good governance means engaging with local people and other stakeholders to ensure robust public accountability.**
Elected local authority members are democratically accountable to their local area and this gives a clear leadership role in building sustainable communities. All members must account to their communities for the decisions they have taken and the rationale behind those decisions. All authorities are subject to external review through the external audit of their financial statements. They are required to publish their financial statements and are encouraged to prepare an annual report. Many are subject to national standards and targets. Their budgets are effectively subject to significant influence and overview by government, which has powers to intervene. Both members and officers are subject to codes of conduct. Additionally, where maladministration may have occurred, an aggrieved person may appeal either through their local councilor or directly to the ombudsman.

Real accountability requires a relationship and a dialogue. It involves an agreed process for both giving an account of your actions and being held to account; a systematic approach to put that process into operation; and a focus on explicit results or outcomes. Real accountability is concerned not only with reporting on or discussing actions already completed, but also with engaging with stakeholders to understand and respond to their views as the organisation plans and carries out its activities.

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
6.1 Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships. • Make clear themselves, all staff and the community to whom they are accountable and for what.	Constitution sets out the role of Overview and Scrutiny Committees. Corporate Plan sets out priorities, objectives and targets. Revisions to the Constitution 17/4/07 allowed OSC powers to summons representatives of partner organizations to appear before them or to provide information within specified timescales.	Scrutiny workplan in 2008/09 included more scrutiny of performance delivered by partnerships – e.g. update reports from the West Cumbria Strategic Partnership and from the Cumbria Strategic Partnership / Local Area Agreement. **Also a way forward had been agreed re Cumbria-wide joint Scrutiny and this would be further progressed in 2009/10.**	H

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
• Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required.	Progress against the Corporate Plan is considered regularly by OSC.	Continued in 2008/09.	C
	All Executive decisions are subject to review by OSC, including partnership protocols and agreements approved.	As 2.3	M
	Consultation with stakeholders as part of developing the Scrutiny workplan.	Letter circulated to all Cumbrian Councils, Cumbria Strategic Partnership, the Police, Fire Service, Primary Care Trust, Lake District National Park, etc. in April 2008 to consult on drawing up the 2008/09 OSC Workplan.	E
• Produce an annual report on the activity of the scrutiny function.	Regular OSC reports to Full Council.	OSC reports to Full Council continued throughout the year.	Council agendas

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
6.2 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. • 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 that they operate effectively.	Communication Strategy was approved by the Executive on 23/5/06. Includes need for consultation. Further review is in progress, which includes a revision of the Council's position on consultation.	Communication section was strengthened in 2008/09. National Place Survey was undertaken in 2008/09. Customer Services also undertook a Customer Satisfaction Survey. Consultation with stakeholders in April 2008 as part of Scrutiny work.	D E E E
• Hold meetings in public unless there are good reasons for confidentiality.	Meetings held in public. Split reports, if necessary, so that minimal content is in Part II of the agenda. There is a general presumption against discussing items in private session.	Practice continued in 2008/09.	Agendas on web site.
• 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.	Community-based activities. Consultation with Neighbourhood Forums and Parish Councils.	Neighbourhood Manager in South Whitehaven and Community Engagement Officers. Various Arts and Sports outreach projects.	

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
6.2 (Continued) • 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 changed as a result.	Communication Strategy, coordinated by the Senior Communications Officer, makes clear how consultation is managed.	Communication Strategy includes consultation. "Have your Say" forums on the website	D Web site
	Partnership agreements.	See Partnership Agreements above.	M
• 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 in the previous period.	Corporate Plan includes vision, key objectives and key achievements.	Corporate Plan updated in 2008/09..	A.
	Performance Leaflet circulated annually with the Council Tax Bills, details key achievements and the coming year's budget.	Performance Leaflet circulated March 2009.	A
	Feedback from satisfaction surveys is published in Copeland Matters.	Autumn 08 Copeland Matters - Mid year progress report on progress against the previously identified customer priorities. 2006/07 & 2007/08.	E
	Financial Accounts detail the financial position.	Accounts signed off / published in March 2009.	Web site

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
6.2 (Continued)		**Consider publishing an Annual Report to co-ordinate information on the vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period.**	
• 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.	Constitution. Committee meetings and agenda published on the web site.	All arrangements in place for 2008/09.	Web site
	Complaints procedure.	Relaunched. Corporate Complaints recording software introduced for 1/4/09.	
	Renewed web site. Partnership protocol / agreements.	As above.	
	Copeland Matters published to inform and seek feedback.	Copeland Matters published 3 times a year. Feedback as above.	
	Corporate Team Minutes published on the intranet.	Continued in 2008/09.	Intranet

CORPORATE GOVERNANCE 2008/09- COMPLIANCE WITH THE DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT FRAMEWORK

Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
6.3 Making best use of human resources by taking an active and planned approach to meet responsibility to staff. • Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making.	Joint Consultative & Safety Panel is the regular forum for discussion with union representatives and management.	Arrangements continued in 2008/09.	Meeting agendas & minutes
	Ad hoc task groups on major issues.	Working group on Job Evaluation process continued in 2008/09 – included union representatives. **Need to implement the Job Evaluation Scheme in 2009/10**	Meeting reports & minutes
	Employee Roadshows	Employee "Roadshows" held in 2008/09 for feedback undertaken in previous survey.	Intranet.
	Monthly Team Talk for corporate briefing and local team briefing.	Arrangements continued in 2008/09. Team Talk briefings are posted on the intranet.	

CORPORATE GOVERNANCE 2008/09 REPORT
ACTION PLAN

Priority Key: P1 s.151 issue or statutory requirement
P2   Key control
P3   Desirable but not essential

Issue No. / Priority	Appendix A Ref.	Issues	Action Agreed	Responsible Officer	Target Date
1 P2	**3.1**	The Anti-Fraud and Corruption Strategy should be reviewed and relaunched in 2009/10.	The Strategy will be reviewed and relaunched to Members, Management Group and in the core Team Brief (TeamTalk). The copy on the intranet will be updated.	M Robinson Audit & Fraud Prevention Manager	October 2009
2 P1	**4.1**	Arrangements should be put in place to maintain audit independence.	Letter has been circulated to the Audit Committee and to the Audit Commission, detailing arrangements. Position will be monitored and reported quarterly to the Audit Committee. Audit Charter will be expanded to include arrangements to maintain audit independence.	M Robinson Audit & Fraud Prevention Manager	Ongoing in 2009/10 End date 31/3/10
3 P2	**4.3**	Overall risk management arrangements should be considered at least quarterly by the Audit Committee.	Risks are monitored and recorded on Covalent as part of quarterly monitoring procedures. A quarterly report on risk management to be submitted to the Audit Committee.	Corporate Team	Ongoing in 2009/10 End date 31/3/10

CORPORATE GOVERNANCE 2008/09 REPORT
ACTION PLAN

Issue No. / Priority	Appendix A Ref.	Issues	Action Agreed	Responsible Officer	Target Date
4 P2	**6.1**	The new Cumbria-wide Joint Scrutiny arrangements should be implemented in 2009/10.	Terms of Reference of the new Joint Scrutiny Committee for Cumbria have been agreed and a joint Support Officer for the new Committee has been appointed in April 2009.	M Jepson Head of Legal & Democratic Services	Ongoing in 2009/10 End date 31/3/10
5 P3	**6.2**	The Council should consider publishing an Annual Report to co-ordinate information on the vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period.	Propose an Annual Report, based on progress against the Corporate Improvement Plan.	Corporate Team - Lead Officer: K Parker	31/7/10
6 P1	**6.3**	The Job Evaluation Scheme must be implemented in 2009/10.	Provisional timetable agreed.	Corporate Team - Lead Officer: F McMorrow	31/3/10
7 P1	Arising from Revised 2007/08 AGS 27/3/09	Ensure an early monitoring report on the preparation of the 2008/09 Accounts is submitted to the Audit Committee.	Closure Timetable circulated to all Audit Committee Members. Verbal update given to the Audit Committee 22/4/09	J Crellin Head of Finance & MIS	Implemented
8 P1	Arising from Revised 2007/08 AGS 27/3/09	Submit the Accounting Policies and Principles for formal approval by the Audit Committee, prior to submission of the Statement of Accounts.	Submitted to Audit Committee 22/4/09	J Crellin Head of Finance & MIS	Implemented
9 P1	Arising from Revised 2007/08 AGS 27/3/09	Ensure that the Council has in place proper arrangements to review and revise the Council's practices in financial reporting to meet the requirements of the latest guidance	SORP has been reviewed and any new requirements have been identified. Detailed timetable, including staff	J Crellin Head of Finance & MIS	June 2009

CORPORATE GOVERNANCE 2008/09 REPORT
ACTION PLAN

Issue No. / Priority	Appendix A Ref.	Issues	Action Agreed	Responsible Officer	Target Date
		in accordance with statute. This will include resourcing the Accountancy section to ensure sufficient time is available to carry out quality checks, ensure consistency of accounting treatment and to produce working papers which include an analytical review, whilst still meeting the statutory deadlines. [Interim staffing arrangements and the buying- in of private sector resources have been superseded by the appointment of permanent post holders.]	resource allocation, has been drawn up and progress is regularly monitored. Sufficient time has been incorporated to produce the working papers and to carry out quality checks, whilst still meeting the statutory deadline.		
10 P2	Arising from Revised 2007/08 AGS 27/3/09	Improve budgetary control by ensuring the reconciliation of control accounts is up-to-date and by implementing robust close-down procedures, thus ensuring the revenue outturn is accurate and the reserves position can be relied upon. Improve capital monitoring by quality checks on the project management data.	Control Accounts process has been reviewed by the Financial Accountant and new arrangements put in place to monitor progress. Guidance issued to Managers on close down procedures and evidence required to support transactions. Training also given. Evidence reviewed by Accountancy officers before transactions are input to the financial ledger. Full review undertaken of the Earmarked Reserves to ensure transactions are accurate and that expenditure is fully reflected in the Income and Expenditure Account. Capital Control Group has been set up in April 2009.	J Crellin Head of Finance & MIS	June 2009

CORPORATE GOVERNANCE 2008/09 REPORT
ACTION PLAN

Issue No. / Priority	Appendix A Ref.	Issues	Action Agreed	Responsible Officer	Target Date
11 P2	Arising from Revised 2007/08 AGS 27/3/09	Improve arrangements to identify and mitigate potential risks associated with partnership working. This will include setting up a register of partnerships, including accountable body status, and financial governance procedures – including risk management.	Partnership Group established, Chaired by J Betteridge. Framework for analysing Partnership Register has been developed to identify key partnerships in terms of risk and impact. Outcome will be reported in 2009/10.	Corporate Team – Lead Officer: J Betteridge	July 2009
12 P2	Arising from Revised 2007/08 AGS 27/3/09	Ensure audit recommendations are implemented promptly. The backlog of outstanding recommendations, and progress on implementation, will continue to be reviewed quarterly by Corporate Team and the Audit Committee. Aim to clear the backlog of 2007/08 recommendations.	All audit recommendations to be re-evaluated for continued relevance.	Corporate Team	September 2009
13 P2	Arising from Revised 2007/08 AGS 27/3/09	Keep under review the Council's arrangements for Business Continuity Planning, including regular testing of these arrangements.	Review will be undertaken. Business Continuity arrangements will be tested as part of the Emergency Planning exercise in July.	Corporate Team – Lead Officer: F McMorrow	May 2009 July 2009
14 P1	Arising from Revised 2007/08 AGS 27/3/09	Following an adverse inspection report on the statutory Housing function, an Improvement Plan was drawn up. Need to monitor progress against the Housing Strategy Improvement Plan. [A special Panel has been established for this purpose].	The Strategic Housing Panel meets monthly and monitors progress closely. Corporate Team have also maintained a monitoring role.	J Betteridge Head of Development Strategy	September 2009
15 P1	Arising from Revised	Ensure procedures are followed to keep the Fixed Asset Register up-to-date.	New procedures were put in place in January 2009.	J Crellin Head of Finance	Ongoing in 2009/10

CORPORATE GOVERNANCE 2008/09 REPORT
ACTION PLAN

Issue No. / Priority	Appendix A Ref.	Issues	Action Agreed	Responsible Officer	Target Date
	2007/08 AGS 27/3/09		Compliance with these procedures needs to be monitored.	& MIS / P Graham Head of Development Operations	End date 31/3/10
16 P2	Arising from Revised 2007/08 AGS 27/3/09	Keep under review the Council's Constitution and take any further reviews to council for approval as required.	Will review at least annually.	M Jepson Head of Legal & Democratic Services	March 2010