

**AUDIT SERVICES REPORT ON CORPORATE GOVERNANCE ARRANGEMENTS 2009/10**

**LEAD OFFICER:** Keith Parker, Acting Corporate Director (Quality of Life)  
**REPORT AUTHOR:** Marilyn Robinson, Audit & Fraud Prevention Manager

**Summary:** This report evaluates compliance in 2009/10 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. There are, however, a number of areas for future improvement. The Corporate Governance arrangements have, therefore, been evaluated as "Satisfactory".
- 3.3 Actions have been identified to address the outstanding issues and most of these are already in place. To give a comprehensive picture of actions needed to deliver good governance arrangements, the action plan - shown at Appendix B – incorporates the existing outstanding actions, alongside any new actions identified.

**List of Appendices**

Appendix 1 – Internal Audit report 2009/10 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 2009/10**

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**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. A summary of progress is shown below. In relation to outcomes, as at 11<sup>th</sup> May 2010, the Covalent Performance system showed that 91% of the Corporate Improvement Plan for 2009/10 had been delivered. This demonstrates that the governance arrangements were effective in ensuring that key objectives were delivered.

**2.2 Many items had been progressed since the previous year.**

These included: -

**Strategic Leadership / Purpose / Vision / Outcomes / Best Use of Resources**

- approving an annual Corporate Improvement Plan for 2009/10, in April 2009, based on the refreshed Corporate Plan; and, in February 2010, preparing the 2010/11 Corporate Implementation Plan taking into account the results of the Place Survey;
- considering Recession Reports, to ensure policy and key decisions were sensitive to the economic climate;

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- responding to the Place Survey results by agreeing a Choosing to Change Programme, which would include constitutional reform and a fundamental review of all services in 2010/11;
- approving the Copeland Regeneration Framework and Delivery Plan and considering how this linked to the Energy Coast Plan;
- progressing work on the new Local Development Framework, approving the draft for public consultation during 2010/11;
- improving service delivery by departments working with the Performance Improvement Team e.g. Cleansing Services;
- approving the unaudited Statement of Accounts for 2008/09 by the statutory deadline of 30 June 2009 [the 2007/08 Accounts had missed the statutory deadline for external audit and publication in 2008];
- implementing the performance-focused employee performance management scheme for all employees;
- conducting a survey to measure performance against the Customer Service Commitments and reporting the results to OSC Management and to Managers Group for corrective action;
- agreeing a Shared Services Strategy and the business cases for Shared Services in respect of Revenues and Benefits and for Internal Audit Services, to be implemented in 2010/11;
- approving a Remote Working Policy to provide flexibility of employment and opportunities for improved efficiency e.g. mobile working;
- approving an Asset Management Framework. [Further work on the Asset Management Plan to be undertaken in 2010/11];
- improving use of assets e.g. shared office space with Cumbria County Council at Cleator Moor and with HMRC at the Copeland Centre;
- reviewing and updating partnership agreements [Cumbria Strategic Partnership, / West Cumbria Strategic Partnership / Managing Radioactive Waste Safely Partnership] ;
- monitoring of the Strategic Housing action plan at monthly meetings of the Strategic Housing Panel;
- approving the Private Sector Housing Strategy, revised in response to the Audit Commission Housing Inspection, and a Cumbria Choice Based Lettings Policy to improve choice for prospective tenants;
- appointing a Sustainability Officer to progress the environmental action plan and subsequently agreeing the priorities for a Copeland Climate Change Action Plan 2010-13, adopting an Environmental Policy Statement and committing to participating in the Cumbria Environment Network Award Scheme, to improve the environmental performance of the Council;
- approving an updated Procurement Strategy, with an action plan for further improvements, raising Procurement issues at Managers Group and providing Procurement training and an improved intranet Procurement Toolkit for staff;
- reviewing services for 2010/11 and achieving £500k cash/efficiency savings (3.5% of the net base revenue budget for 2009/10); and
- updating Audit Commission pro forma on Value for Money and the Use of Resources to demonstrate performance improvement.

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**Members & Officers Have Clearly Defined Functions, Roles & Standards**

- reviewing the Constitution, particularly in respect of a fundamental review of the Overview and Scrutiny function, effective from 22 June 2010. Minor amendments to the delegation scheme for determination of Planning Applications and to the terms of reference of the Audit Committee, which now includes scrutiny of Treasury Management Policy and Strategies. [The Choosing to Change Programme includes a workstream on the Constitution. This will be progressed in 2010/11];
- ensuring that the CIPFA Statement on the Role of the Chief Financial Officer was considered by the Audit Committee, as a public document, and noting that this had been complied with in 2009/10;
- ensuring that internal audit independence was maintained and was reported on quarterly to the Audit Committee;
- progressing work on Ethical Governance, including an Annual Report from the Standards Committee and further developing the Member / Officer Protocol;
- reviewing and relaunching the Anti-Fraud and Corruption Strategy;
- including guidance on declaration of interests on all Committee agendas from April 2010;
- delivering further corporate training on Equality and Diversity;
- approving a Gender Equality Scheme; and
- progressing the programme of Equality and Diversity Impact Assessments and delivering actions towards achieving level 3 of the Equality Standard.

**Risk Management**

- revising the Strategic Risk Register half-yearly, following a risk workshop facilitated by the Council's insurers, and in line with the updated annual Corporate Implementation Plan;
- recording and monitoring operational risks on the Covalent performance management system;
- presenting Managers Group with Risk Management Guidance, particularly in respect of partnerships;
- ensuring major projects had a Project Initiation Document, including a risk log;
- approving and rolling out an updated Information Security Policy and Disaster Recovery Plan;
- reviewing and updating Business Continuity Plans;
- testing restoration of IT systems and ensuring arrangements were in place following unavailability of key staff due to adverse weather conditions; and
- confirming that the Audit Committee complied with the CIPFA guidance for an effective Audit Committee.

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**Capacity & Capability of Members and Officers to be Effective**

- making interim arrangements pending the appointment of the Chief Executive (20/4/10), until he could take up the post in July 2010;
- keeping key Finance posts under review and bringing in temporary support where needed;
- continuing the personal development programmes for Members, monitored by the Member Development Panel. [Note: The Member Development Panel will be superseded in 2010/11 by designating a Councillor as Member Development Champion, to work on ensuring continued accreditation to the NWEO Member Development Charter];
- actively promoting a corporate training programme and planning a fresh approach to Customer Care training (implementation from April 2010);
- investing more in staff training;
- providing further Data Quality and Data Protection training for employees;
- holding a Workforce Planning training / awareness session for Management Group and issuing guidance for workforce planning as part of 2010/11 Service Plans;
- approving a draft Workforce Strategy and action plan for 2010/11;
- holding a series of Employee Roadshows to feedback on a range of corporate employment and policy issues;
- circulating press releases to Members and Management Group to inform them of current issues;
- building up a database of community data, arising from the census and data from a credit reference agency, to provide management information enabling optimal service provision to a diverse community. [The use of Mosaic will be further developed in 2010/11]; and
- launching the Choosing to Change Programme with a training / awareness event for both Members and employees, on 26/4/10, in preparation for implementation in 2010/11.

**Engagement with the Community and other Stakeholders / Accountability**

- consulting with key stakeholders on the annual Corporate Implementation Plan and asking the Community (via Copeland Matters) to reaffirm the 6 priorities previously identified and the key messages from the Place Survey;
- developing the Locality Working framework and piloting this in N.E. Copeland [1 of the 4 fast track areas in the North West for the Government's Connected Communities Intensive Local Engagement Initiative] ;
- signing up to the Cumbria Compact, which sets out the principles and commitments for working with the voluntary sector;
- participating in the Cumbria-wide Joint Scrutiny Committee, supported by a jointly-funded Scrutiny Officer. The Council's own Scrutiny Committees' work plan in 2009/10 also included more scrutiny of performance delivered by partnerships;

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- agreeing the Pay and Grading Review with the Unions [implemented December 2009];
- undertaking the SIMALTO exercise, as part of budget consultation and reaffirming the public priorities for the financing of Council services;
- undertaking an annual Customer Satisfaction Survey and reporting to Members and Management Group on the findings;
- using Copeland Matters and the Council's website to generate comment / feedback;
- working jointly with partners, e.g. NHS Cumbria, to promote some of their campaigns to internal and external stakeholders; and
- continuing to lobby other agencies on behalf of the Community on nuclear issues and on the provision of hospital services.

**2.3 Outstanding actions related to:-**

- linking performance to budgets within Service Plans and Performance Monitoring reports and carrying out risk assessments of material items. [2008/09 Service Plans and both 2009/10 and 2010/11 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, and the priorities of producing the Accounts, preparation for the introduction of International Financial Reporting Standards and then the budget in 2009/10, prevented progress being made on this issue];
- focusing on reducing its costs for service delivery, where these are above average, and improving the quality of service provided, where this is below average. Ensure monitoring of cost information / benchmarking;
- evaluating the use of interim, agency and temporary staff;
- evaluating the cost effectiveness of recovery actions;
- evaluating the effectiveness of major partnerships;
- undertaking more work on identifying and mitigating the risks involved in key partnerships. [This should include relaunching the Checklist for Partnership Protocols];
- evaluating the impact and outcomes of its investments to improve service quality;
- auditing the new Fixed Asset Module [Live implementation delayed, as at 11/5/10];
- ensuring that key controls operating within financial systems are operating as expected and throughout the year, to minimise the risk to the Council and to maximise the ability of the external auditor to adopt a controls based approach to the Accounts audit;
- implementing a check list for the process of land sales, particularly aspects of public involvement;
- improving performance with regards to staff sickness absence and the

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diversity of the workforce;

- ensuring there is a clear link between the procurement strategy and practice and the outcome from the Council's ongoing assessment of local needs;
- regularly testing the Business Continuity arrangements for key services – restoration of IT and unavailability of key staff has been tested in practice. however, loss of premises has not been tested;
- providing reports on the Council's risk management arrangements, throughout the year, to the Audit Committee. [Only one update received on the Strategic Risk Register in 2009/10. Given the extent of change, overall risk management arrangements should be considered at least quarterly];

2.4 Action points are already in place to address the above and progress on these outstanding issues is monitored and reported quarterly to Corporate Team and the Audit Committee.

2.5 **Areas for further improvement in 2010/11 related to:-**

- regularly test business continuity arrangements, particularly loss of premises;
- ensuring that the 2009/10 financial statements are fully SORP compliant [agreed target date of 30/6/10];
- evaluating the impact of the new arrangements for monitoring the delivery of the capital programme [agreed target date of 30/6/10];
- ensuring that the Data Quality Improvement Plan is implemented consistently across the Council. Specific action is required on improving the quality of data on affordable homes and the accuracy of housing benefit payments [agreed target date of 30/6/10];
- 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. [agreed target date of 31/7/10];
- the draft Workforce Strategy has been approved but the related action plan will be implemented in 2010/11;
- ensuring that the CIPFA Statement on the Role of the Chief Financial Officer is taken into consideration during any organisational restructure / appointment in 2010/11;
- increasing awareness of ethical governance, by acting upon the Standards Committee request that a series of single learning point broadsheets be devised and distributed to all Councillors at Council meetings and to provide to Parish and Town Clerks;
- rolling out the Locality Working framework pilot to other areas of the Borough; and
- updating the Communications Strategy [additional resources secured for 2010/11 to do this].

The Audit Commission's Governance Report, produced on completion of the audit of



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the 2008/09 Statement of Accounts in September 2009, and the Use Of Resources Report (December 2009) had already highlighted some of the areas for improvement shown above. These actions are being progressed but, for completeness, these previously agreed actions are also included on the action plan at Appendix B. They have been identified by the Covalent Audit Recommendation reference.

**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 and we note that the governance arrangements have been effective in delivering 91% the 2009/10 Corporate Improvement Plan. However, with the increasing pressure on financial resources, it is essential that the outstanding recommendations in relation to the use of resources are implemented in order to maintain service delivery.
- 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.

<b>OVERALL AUDIT OPINION</b>	<b>SATISFACTORY</b>
CONTROL DESIGN	GOOD
CONTROL EFFECTIVENESS	SATISFACTORY
RISK EXPOSURE PROBABILITY	MEDIUM
RISK EXPOSURE IMPACT	HIGH

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18 May 2010

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**APPENDIX A**

**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.

<b>Principle and Application</b>	<b>How Copeland Borough Council demonstrates compliance</b>	<b>Comments</b>	<b>Working Paper</b>
<p><b>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.</b></p> <p>The Council should:-</p> <ul style="list-style-type: none"> <li>Develop and promote the authority's purpose and vision</li> </ul>	<p>Updated Corporate Plan, with objectives linked to the new National Indicator set.</p> <p>Sits within wider regional plans: Cumbria Community Strategy / Sustainable Communities Strategy for West Cumbria / Cumbria Local Area Agreement / LDNPA Vision &amp; Action Plan / Energy Coast Master plan.</p>	<p>Corporate Improvement Plan, based on Corporate Plan, focused on 2009/10, approved by Exec 21/4/09.</p> <p>Exec also approved the Copeland Regeneration Framework and Delivery Plan and received update on Energy Coast Plan.</p> <p>Approved Private Sector Housing Strategy and a Cumbria Choice Based Lettings Policy.</p> <p>Joint working with partners e.g. NHS Cumbria to promote some of their campaigns to internal &amp; external stakeholders.</p>	<p>A &amp; on web site – Committee agendas.</p> <p>Exec 30/6/09 Exec 22/9/09</p> <p>Exec 9/3/10</p> <p><b>D</b></p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
		<p>Priorities for a Copeland Climate Change Action Plan 2010-2013 agreed.</p> <p>Adoption of Environmental Policy Statement and committed to participating in the Cumbria Business Environment Network Award Scheme, to improve the environmental performance of the Council.</p>	<p>Exec 9/3/10</p> <p>Exec 9/3/10</p>
	<p>Service Plans developed to achieve Corporate Plan objectives.</p>	<p>2009/10 Service Plans in place. Key objectives &amp; performance indicators recorded, monitored and reported on quarterly to Heads of Service / Strategic Directors.</p>	<p>Covalent performance system.</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<ul style="list-style-type: none"> <li>Review on a regular basis the authority's vision for the local area and its implications for the authority's governance arrangements</li> </ul>	<p>Work on a Choosing to Change Programme began in September 2009, in response to the results of the Place Survey.</p>	<p>Received Place Survey results and proposed Choosing to Change Programme.</p> <p>Agreed terms of reference. Choosing to Change Board set up, with regular updates to Members and employees.</p> <p>19/1/10 appointed Members to the Constitution Review Group.</p> <p>Regular progress reports to Full Council.</p> <p>Board approved a new corporate planning framework (31/3/10 ) and will recommend changes to the Constitution.</p> <p>Improvement Board to be replaced by Choosing to Change Board.</p>	<p>Council 27/10/09</p> <p>Council 8/12/09</p> <p>Council 19/1/10</p> <p>2/3/10</p> <p>13/4/10</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
		<p>Updated Corporate Implementation Plan for 2010/11.</p> <p>Recession reports considered – will influence policy &amp; decisions, sensitive to current economic climate.</p>	<p>Exec 10/2/10</p> <p>Exec 28/7/09</p> <p>Exec 23/3/10</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<ul style="list-style-type: none"> <li>Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners</li> </ul>	<p>Checklist for drawing up Partnership Protocols has been in place since December 2006.</p> <p>Partnership agreement was in place for the West Cumbria Partnership. [Exec 8/4/08]</p> <p>Exec 10/02/09 -Endorsed the refreshed W. Lakes District Tourism Partnership &amp; its next 3 year development plan and SLA with key partners.</p>	<p>The Cumbria Strategic Partnership has been reviewed. This will now be a forum, rather than a delivery partnership, so the risk will be reduced.</p> <p>New governance arrangements were also being developed for the West Cumbria Strategic Partnership.</p> <p>Managing Radioactive Waste Safely Partnership, written governance arrangements and a risk log in place.</p> <p>Locality Working – framework developed in 2009/10.</p> <p>Agreements established re expected service delivery and monitoring arrangements for the Revenues &amp; Benefits Shared Service.</p>	<p>Exec 18/1/10 Council 19/1/10</p> <p>Exec 30/6/09</p> <p>Exec 21/10/09</p> <p>Exec 23/3/10</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<ul style="list-style-type: none"> <li data-bbox="320 1330 448 1877">Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance.</li> </ul>	<p data-bbox="320 920 344 1294">Annual Performance Report</p> <p data-bbox="655 958 683 1294"><u>Statement of Accounts.</u></p>	<p data-bbox="320 443 549 792">Council Tax Leaflet summarises achievements and priorities. Preparations in place to produce an Annual Report by 31/7/10. [2008/09 Action Plan]</p> <p data-bbox="620 421 715 792">Statement of Accounts 2008/09 were signed off in line with statutory deadlines.</p>	<p data-bbox="320 360 341 389">A</p> <p data-bbox="652 271 676 389">Web site</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<p><b>1.2 Ensuring that users receive a high quality of service, whether directly or in partnership or by commissioning.</b></p> <p>The Council should:-</p> <ul style="list-style-type: none"> <li>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.</li> </ul>	<p>Customer Service Charter. Also service specific standards e.g. for Waste Management and Parks &amp; Open Spaces.</p> <p>Customer Service Strategy and Commitments approved by Executive 21/2/06.</p> <p>Annual Survey undertaken by external company to measure performance against the Customer Service Commitments. Results reported to OSC Management.</p> <p>Performance Indicators built into Corporate Plan &amp; Service Plans. Quarterly Performance Monitoring reports to the Executive.</p>	<p>Corporate performance monitoring system – Covalent – as well as Corporate Improvement Plan and Service Plan key objectives and PI's, now also records comments / compliments and complaints about service delivery. Survey completed June 2009.</p> <p>Quarterly performance monitoring on Service Plans to Directors. Quarterly reports to Executive on Corporate Implementation Plan objectives and PI's. Also Revenue and Capital Monitoring reports and Treasury Management reports.</p>	<p><b>B re Standards</b></p> <p><b>C re performance monitoring</b></p> <p>OSC 3/8/09</p> <p>Exec: 26/5/09 25/8/09 17/11/09 14/12/09 10/2/10 16/2/10</p>



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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
1.2 Continued		<p>Performance reports on South Whitehaven Neighbourhood funded activities.</p> <p>The Copeland Regeneration Framework and Delivery Plan sets out objectives and performance measures</p> <p>Approved 1 year Service Level Agreements with the Citizens Advice Bureau and the Community Law Centres, option to extend for further 2 years.</p> <p>Performance reviewed and future options considered.</p> <p>Signed up to Cumbria Compact – setting out principles &amp; commitments for working together.</p>	<p>Exec 30/6/09</p> <p><b>A</b> Exec 30/6/09</p> <p><b>C</b> Exec 21/4/09</p> <p>Exec 23/3/10</p> <p><b>M</b> Exec 28/7/09</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<p><b>1.2 Continued</b></p> <ul style="list-style-type: none"> <li>Put in place effective arrangements to identify and deal with failure in service delivery.</li> </ul>	<p>Corporate Team focus on areas where PI' are significantly below target.</p> <p>The Performance Improvement Team assists departments in making targeted service improvements and increased efficiency.</p> <p>Monitoring of Service Level Agreements with outside bodies.</p>	<p>Detailed Performance Reports to the Corporate Improvement Board.</p> <p>Monthly discussions with Head of Service, ad hoc reports on specific projects to Corporate Improvement Board.</p> <p>Withdrawal of grant aid, if SLA's not complied with, is specified in SLA's.</p>	<p><b>J</b></p> <p>CIP 19/5/09, 18/8/09 &amp; 2/2/10</p> <p>CIP as above</p> <p><b>C</b></p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<p><b>1.2 Continued</b></p>	<p>Reports to Scrutiny Committee, with action plans.</p> <p>Strategic Housing Panel was established on 13/5/08 to address the issues relating to Housing Strategy, following the Audit Commission Inspection Report.</p> <p>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.</p>	<p>Scrutiny workplan included receiving the annual report from the Performance Improvement Team, including an outline of current projects. Also updates on significant projects e.g. Improvements to Cleansing service delivery.</p> <p>Monthly meetings held throughout 2009/10 to monitor performance against the Action Plan and to recommend improved policies to the Executive where necessary.</p> <p>Earlier progress / monitoring reports in 2009/10 re 2008/09 Accounts and in preparation for 2009/10 Accounts. Statutory deadline met in June 2009.</p>	<p><b>C &amp; G</b></p> <p><b>H &amp; T</b></p> <p>Audit Committee Agendas</p>

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<b>Principle and Application</b>	<b>How Copeland Borough Council demonstrates compliance</b>	<b>Comments</b>	<b>Working Paper</b>
1.2 Continued	<p>Annual Employee Performance Appraisal, with 6 monthly review.</p> <p>Retained Investors in People certification in 2008/09.</p>	<p>Performance Appraisal System reviewed in 2009 and management training carried out to deliver performance appraisals. Co-ordinated by HR.</p> <p>Increased investment in staff training, including HR support to develop and promote training programme. Information provided on intranet and regular e-mails to staff. Learning at Work page on intranet, detailing upcoming training events. Learning at Work day to promote opportunities.</p>	<p>C</p> <p>I</p> <p>I</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
1.2 Continued	<p>Complaints procedure - Increased sharing of learning through formal and informal complaints.</p> <p>Corporate Complaints database introduced 1/4/09 [Covalent].</p> <p>Customer First Group consider Place Survey results and identify areas for improvement. Report on progress to OSC Management.</p>	<p>Complaints Monitoring Procedure includes action to address the problem and central analysis of complaints and responses by Customer Services Officer. Reports to OSC Management meetings.</p> <p>Customer First Task Group continued to meet in 2009/10. Feedback given to Managers Group and OSC Management to highlight performance improvement issues. Identified "refresher" Customer Care training as a priority.</p> <p><b>An updated Customer Care training programme began in April 2010.</b></p>	<p><b>F</b></p> <p>OSC April &amp; August 2009, January 2010.</p> <p><b>E</b></p> <p><b>I</b></p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<p><b>1.3 Ensuring that the authority makes best use of resources and that taxpayers and service users receive excellent value for money</b></p> <p>The Council should:-</p> <ul style="list-style-type: none"> <li>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.</li> </ul>	<p>National Indicators and Local Performance Indicators.</p> <p>Procurement Strategy in place.</p> <p>Efficiency agenda – looking at alternative ways of delivery.</p>	<p>Quarterly performance monitoring arrangements in place.</p> <p>Updated Procurement Strategy was approved, with action plan for further improvements.</p> <p>Alternative delivery considered.</p> <p>Exec agreed Shared Services Strategy 26/5/09 to be recommended to full Council. Shared Services for Revenues &amp; Benefits and for Internal Audit Services approved during 2009/10, to be implemented 2010/11. Business Case / Agreements include performance standards.</p> <p>Remote working policy agreed by Exec.</p> <p>Improvement Board considered reports on “Searching for Best Value”.</p>	<p><b>C</b></p> <p><b>G</b> Exec 10/2/10</p> <p>Exec 25/8/09 20/10/09</p> <p>10/2/10 23/3/10</p> <p>Exec 22/9/09</p> <p>Agendas 2009/10</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
1.3 Continued	<p>Performance Improvement Team assists Managers in efficiency reviews.</p> <p>Use of assets kept under review.</p>	<p>e.g. Cleansing project -- review of rounds / organization of employees &amp; tasks.</p> <p>Shared office space with Cumbria County Council implemented at Cleator Moor and with HMRC in Copeland Centre. Approved HMRC lease for part of the Copeland Centre.</p>	<p>OSC 15/2/10</p>
		<p>M</p>	
	<p>All services reviewed as part of budget process.</p>	<p>Services reviewed as part of 2010/11 budget build. Revised staff support arrangements for W.Cumbria LSP, to increase efficiency.</p>	<p>Resource Planning Working Group minutes. Council 19/1/10</p>
		<p>Further work on service reviews planned for 2010/11, as part of Choosing to Change Programme and Workforce Strategy.</p>	<p>A &amp; G</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
1.3 Continued	Use of Assets and improvements in service delivery are continuously under review.	<p>Asset Management Framework approved.</p> <p>Asset Management includes an Asset Transfer Policy, to transfer underused assets to community bodies or not for profit bodies, where there is a benefit.</p> <p><b>Further work on the Asset Management Plan to be undertaken in 2010/11.</b></p>	<p>Exec 23/3/10</p> <p>Exec 20/10/09</p>
		<p>Funding and the Project Initiation Document approved by Exec., to enable development of "self-service" from the Council's website. <b>To be implemented in 2010/11.</b></p> <p>Audit Commission pro formas used for Value for Money and the Use of Resources self-assessment.</p>	Exec 18/1/10



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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<p><b>1.3 Continued</b></p> <ul style="list-style-type: none"> <li>• Measure the environmental impact of policies, plans and decisions.</li> </ul>	<p>Impact on sustainability and on rural proofing included in checklist in pro forma for all Executive reports.</p>	<p>Arrangement in place for 2009/10.</p> <p>In March 2009, the Council signed up to the Cumbria Strategic Partnership's Climate Change Commitment (62 actions applying to Local Authorities).</p> <p>Sustainability Officer appointed November 2009 to progress this initiative.</p> <p>Undertook a series of workshops with Members &amp; Officers to develop a detailed action plan.</p> <p>Priorities for a Copeland Climate Change Action Plan 2010-2013 agreed.</p> <p>Adoption of Environmental Policy Statement and committed to participating in the Cumbria Business Environment Network Award Scheme, to improve the environmental performance of the Council.</p>	<p>Exec 9/3/10</p> <p>Exec 9/3/10</p>

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**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
<p><b>2.1</b> <i>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.</i></p> <p><b>The Council needs to:-</b></p> <ul style="list-style-type: none"> <li>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.</li> <li>Set out a clear statement of the respective roles and responsibilities of other authority members, members generally and of senior officers.</li> </ul>	<p>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.</p> <p>The Constitution is continually kept under review.</p> <p>Councilor Role Descriptions were agreed at Full Council 27/2/07.</p> <p>Scheme of Delegation in place for senior officers.</p> <p>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.</p>	<p>Further amendments approved by Council:-</p> <p>Revised delegation scheme for determination of Planning Applications.</p> <p>Approved Audit Committee to be responsible for scrutiny of Treasury Management Strategy and Policies.</p> <p><b>Revised OSC's for 2010/11.</b></p>	<p><b>H</b></p> <p>27/10/09</p> <p>2/3/10</p> <p>13/4/10</p> <p><b>L</b></p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<p><b>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.</b></p> <p>The Council should:-</p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• Make a chief executive responsible and accountable to the authority for all aspects of operational management.</li> <li>• 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.</li> </ul> <p>[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.]</p>	<p>As 2.1 above</p> <p>Constitution includes Portfolio Holders' Responsibilities.</p> <p>Now included in Delegations to Officers.</p> <p>General Member/Officer Relations Protocol has been in place since 12/4/05. Further developed Member/Officer Protocol 13/5/08.</p> <p>Job profiles approved for all Members by Full Council 27/2/07.</p> <p>Job profile for the Chief Executive was agreed.</p>	<p>Delegations and Protocols remained in operation throughout 2009/10.</p> <p><b>Choosing to Change Programme includes a work stream on the Constitution. This will be progressed in 2010/11.</b></p>	<p>H</p> <p>L</p> <p>H</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<p><b>2.2 Continued</b></p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• 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.</li> </ul>	<p>The Head of Finance &amp; 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.</p> <p>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.</p>	<p>Report on CIPFA Statement on role of the Chief Financial Officer was considered by the Audit Committee. Noted compliance in 2009/10. <b>Statement to be kept under consideration during any reorganization /recruitment for post in 2010/11.</b></p> <p>Corporate Team meet to review all reports prior to Executive reports being placed on the agenda.</p> <p>S.151 Officer &amp; the Monitoring Officer (or the relevant deputy) attends all meetings of the Executive and of Full Council.</p>	<p>H</p> <p>17/3/10</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<p>2.3 Ensuring relationships between the authority, its partners and the public are clear so that each knows what to expect of the other.</p> <p>The Council should:-</p> <ul style="list-style-type: none"> <li>Develop protocols to ensure effective communication between members and officers in their respective roles.</li> </ul> <ul style="list-style-type: none"> <li>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).</li> </ul>	<p>General Member/Officer Relations Protocol has been in place since 12/4/05, updated 13/5/08.</p> <p>Members Role descriptions were approved by Full Council 27/2/07. These included:-</p> <p>Generic Role (all 51 members)</p> <p>Leader</p> <p>Leader of Opposition Group</p> <p>Executive Member</p> <p>Regulatory Committee Chair</p> <p>Other Committee Chair</p> <p>Overview and Scrutiny Chair</p> <p>Independent Remuneration Panel reviews Members' Allowances.</p> <p>Pay and Grading Review process in place for officers. Job Evaluation Scheme approved.</p>	<p>Portfolio holders' responsibilities are decided by the Leader of the Council.</p> <p>Last review undertaken March 2007, with provision for RPI increases for 2009/10. Recommendations approved by Full Council on 16/3/07.</p> <p>Pay and Grading Review was agreed and implemented by December 2009. New contracts issued April 2010.</p>	<p>H</p> <p>L</p> <p>L</p> <p>HR files. Council 26/5/09</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<p><b>2.3 Continued</b></p> <ul style="list-style-type: none"> <li>• Ensure that effective mechanisms exist to monitor service delivery.</li> <li>• 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.</li> </ul>	<p>Quarterly performance monitoring reports. Annual Customer Survey [Commitments Survey]</p> <p>Consultation on priorities, aims and objectives in the Corporate Plan and as part of the annual budget consultation process.</p> <p>Feedback from the Place Survey is incorporated into the Corporate Implementation Plan for 2010/11 (previously the Corporate Improvement Plan) revised on an annual basis.</p>	<p>As 1.2 above.</p> <p>SIMALTO exercise undertaken as part of the budget process in 2009/10.</p> <p>Consultation with key stakeholders on the Corporate Plan.</p> <p>The Council was successful in being 1 of the 4 fast track areas in the North West for the Government's Connected Communities Intensive Local Engagement Initiative. It has now been invited to apply for additional targeted engagement resources, to extend the work to other areas of the Borough.</p>	<p>C E</p> <p>A &amp; E</p> <p>Exec 9/3/10</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
	<p>Copeland Matters is used to give feedback on Surveys and to engender more feedback.</p> <p>Website also invites public comments.</p>	<p>October edition fed back Place Survey results published in September 2009 and to invite comment. <b>New format April 2010, as a newspaper.</b> Corporate Implementation Plan 2010/11 has been drafted in response to priorities arising from the Place Survey published in September 2009.</p> <ul style="list-style-type: none"> <li>- Demonstrate VFM</li> <li>- Community wish to influence decisions</li> <li>- Customers to be treated with respect.</li> </ul> <p>Place Survey results presented to Managers Group December 2009 and discussion on use of data to understand customers / improve service delivery. Further work on Mosaic data presented to Managers Group April 2010.</p>	<p><b>D</b></p> <p><b>A</b></p> <p><b>E</b></p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<p><b>2.3 Continued</b></p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• When working in partnership:               <ul style="list-style-type: none"> <li>- ensure there is clarity about the legal status of the partnership</li> <li>- 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.</li> </ul> </li> </ul>	<p>Guidance to Councilors on their Responsibilities as Members of Outside Bodies was approved 27/4/06 and amended July 2006.</p> <p>West Cumbria Strategic Partnership – Memorandum of Roles and Responsibilities and Accountable Body Agreement.</p> <p>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).</p> <p>SLA with the W. Lake District Tourism Partnership.</p>	<p>Arrangements still in place.</p> <p><b>Checklist for Partnership Protocols is in place (Exec 19 12 06) but needs to be relaunched to Managers and made available on the intranet.</b> Waste Partnership continued in 2009/10.</p> <p>Approaching end of the 2006/09 SLA, the service delivery model / next 3 year development plan was reviewed.</p> <p>Signed up to Cumbria Compact for working with voluntary organizations – a framework of principles and commitments.</p>	<p><b>N</b></p> <p><b>M</b></p> <p><b>M</b> Exec 10/2/09</p> <p><b>M</b> Exec 28/7/09</p>



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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<ul style="list-style-type: none"> <li>2.3 Continued</li> </ul>		Locality Working Task Group developed a framework of objectives and a set of principles for locality working in Copeland. <b>Further work to be undertaken in rolling this out across the Borough in 2010/11.</b>	M Exec 21/10/09

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**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
<p><b>3.1 Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance.</b></p> <ul style="list-style-type: none"> <li>• Ensure that the authority's leadership sets a tone for the organization by creating a climate of openness, support and respect.</li> </ul>	<p>Vision, aims and objectives incorporated in the Corporate Plan.</p> <p>Dignity at Work Policy in place.</p> <p>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.</p>	<p>Priorities and Promises are updated as part of the annual Corporate Implementation Plan. Communicated to all employees.</p> <p>Priorities published in the Performance Summary, circulated with Council Tax Bills.</p> <p>Priorities, as determined by public consultation, reiterated in Copeland Matters 2010, inviting comment.</p> <p>Standards Committee met throughout 2009/10. Annual Report to Full Council.</p>	<p><b>A</b></p> <p><b>L</b> 13/4/10</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<p><b>3.1 Continued</b></p> <ul style="list-style-type: none"> <li>• 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.</li> </ul>	<p>Members Code of Conduct and Employees Code of Conduct are in place.</p> <p>Guidance to Members on Outside Bodies in place.</p> <p>Anti-Fraud &amp; Corruption Strategy.</p> <p>Planning Code of Conduct. Planning Scheme of Delegation was revised 24/2/09.</p>	<p>No further updates in 2009/10.</p> <p>Updated and relaunched Anti-Fraud &amp; Corruption Strategy in 2009/10. Presentation to Managers Group (Feb 2010) &amp; to Members (March 2010)</p> <p>Addendum to Planning Scheme of Delegation approved.</p>	<p>L &amp; I</p> <p>L</p> <p>Exec 14/12/09</p> <p>I</p> <p>L</p> <p>H</p>

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<p><b>3.1 Continued</b></p> <ul style="list-style-type: none"> <li>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.</li> </ul>	<p>Members Code of Conduct and Employees Code of Conduct are in place.</p> <p>Compliance with Equality and Diversity Policy and Guidelines. Dignity at Work Policy.</p> <p>Workshops undertaken on Ethical Governance.</p> <p>Corporate training on Equality and Diversity was undertaken by both Members and Employees.</p>	<p>Equality &amp; Diversity Task Group continued to meet in 2009/10. Work on Equality Impact Assessments continued. EIA action plans were recorded and progress monitored on Covalent.</p> <p>Progress against the Equality Standard was also monitored on the Covalent System. The Council was aiming to gain Level 3. As at 1/4/10, the score was 2.74.</p> <p><b>Work will continue in 2010/11 to gain the Level 3.</b></p>	<p>Records held by Head of Legal &amp; Democratic Services</p> <p>Covalent system</p> <p>Covalent system</p>
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<p><b>3.2 Ensuring that organizational values are put into practice and are effective.</b></p> <ul style="list-style-type: none"> <li>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.</li> </ul>	<p>As 3.1</p> <p>The Standards Committee considered an Ethical Governance Framework in 2007/08.</p> <p>Independent Chair appointed in 2008/09.</p> <p>New legislation on the local sift of complaints against Councillors came into force on 8<sup>th</sup> May 2008. Revised composition and terms of reference for the Standards Committee were approved 13/5/08, to reflect the new duties.</p> <p>Further work on development of the Ethical Governance Framework was undertaken in 2008/09.</p> <p><b>Outstanding items at the end of 2008/09 related to a newsletter, a member &amp; employee survey, an in-house charter and a Standards Committee Annual Report. These were added to the 2009/10 Workplan and completed in 2009/10, except for the charter -- now superseded by the protocols agreed by Council 13/4/10.</b></p>	<p><b>L</b></p> <p>Council 13/4/10</p> <p>First Annual Report of the Standards Committee. Summary of complaints considered, feedback and actions taken. It also included the Committee's workplan for 2010/11. Copies were distributed to all Parish &amp; Town Councils. Training on ethics and governance issues was offered as part of the Member Training. <b>In order to increase awareness of such issues for all Members, the Standards Committee has asked that a series of single learning point broadsheets be devised and distributed to all Councillors at Council meetings and to provide to Parish and Town Clerks.</b></p>
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<p><b>3.2 Continued</b></p> <ul style="list-style-type: none"> <li>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.</li> </ul>	<p>As 3.1 Corporate Equality Scheme (Feb 2008).</p> <p>Phased programme of Equality &amp; Diversity Impact Assessments introduced in 2007/08.</p> <p>In 2008/09, EIA's were completed for:-                      Human Resources                      Cultural Services                      Customer Services                      Open Spaces                      Communications.</p> <p>Environmental Health, Development Control, Licensing and Committee Services EIA's were also done but were being consulted upon in 2009/10.</p>	<p>As 3.1 Further EIA's on existing policies / procedures undertaken in 2009/10 – including Housing, Audit &amp; Fraud, IT Security Policy, Civic and Mayoral functions.</p> <p>Awareness raised at Managers Group by an external trainer.</p> <p>All new policies / procedures to be subject to an Equality Impact Assessment.</p> <p>Approved Gender Equality Scheme.</p>	<p><b>O</b></p> <p><b>I &amp; O</b></p> <p>Also section on the intranet</p> <p>Council 2/3/10</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<p><b>3.2 Continued</b></p> <ul style="list-style-type: none"> <li>Develop and maintain an effective Standards Committee.</li> <li>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.</li> <li>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.</li> </ul>	<p>Terms of reference are kept under review.</p> <p>Amendments to the Constitution (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. See also the comments made at 3.1.</p> <p>As 3.1 &amp; 3.2 above.</p> <p>Arrangements in place for Freedom of Information Act.</p> <p>Also Publication Scheme in place in the public domain.</p> <p>Review of Part II reports to ensure that only the specific items defined by legislation are included in Part II reports.</p> <p>As 2.3</p> <p>Protocols / Agreements in place.</p>	<p>As 3.1 &amp; 3.2 above.</p> <p>Publication Scheme on the web site.</p> <p>As 2.3</p> <p><b>Protocols / Agreements in place but awareness to be raised in 2010/11.</b></p>	<p>H</p> <p>P website</p> <p>M H</p>

**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.



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<p>4.1 Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny.</p> <ul style="list-style-type: none"> <li>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.</li> <li>Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based.</li> </ul>	<p>Role of Scrutiny Committees defined in the Constitution.</p> <p>Progressed Joint Scrutiny across Cumbria in 2009/10.</p> <p>Agreed workplan at beginning of the year. Progress reported against plan. Scrutiny workplan includes 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.</p> <p>The Statement of Executive Decisions has been revised to bring greater clarity to the decision-making process.</p>	<p>Council amended terms of reference for the OSC for Safer &amp; Stronger Communities.</p> <p>From November 2009, OSC Management have led a fundamental review of the Scrutiny function.</p> <p><b>Council agreed to reduce from 4 OSCs to 2 (after 22/6/10) and agreed a range of new protocols to support the way OSC operates (with immediate effect).</b></p> <p>Format continued to be used in 2009/10.</p>	<p>H &amp; C 15/5/09</p> <p>13/4/10</p> <p>SEDs on the website.</p> <p>1</p>

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<p><b>4.1 Continued</b></p> <ul style="list-style-type: none"> <li>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.</li> </ul>	<p>Register of Members' and Officers' Interests in place. Also formal procedure for declaration of interests at each Committee / Panel meeting.</p>	<p>Practice continued in 2009/10. Head of Legal &amp; Democratic Services periodically sends out a reminder.</p> <p>Each agenda now includes guidance on declaration of interest at Committees (from April 2010).</p>	<p>Agendas from April 2010</p>

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<p><b>4.1 Continued</b></p> <ul style="list-style-type: none"> <li>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.</li> </ul>	<p>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.</p> <p>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.</p> <p>Training undertaken by Members.</p> <p>Annual review of the effectiveness of the Audit Committee.</p>	<p>Council approved, as part of the Treasury Management Strategy, that the Audit Committee should be responsible for scrutiny of the Treasury Management Policy and Strategies.</p> <p>Complied with the CIPFA requirements for an effective Audit Committee. Review to be undertaken by Corporate Team and reported to the Audit Committee 27/5/10.</p>	<p>H 2/3/10</p>

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<p><b>4.1 Continued</b></p> <ul style="list-style-type: none"> <li>• Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints.</li> </ul>	<p>Formal Complaints Procedure in place. Designated officers to co-ordinate and monitor corporately all complaints received and to report to OSC Management.</p>	<p>Complaints Monitoring module on Covalent performance system introduced from 1/4/09.</p> <p>Website also offers facility to report Complaints on Home page.</p> <p>Copeland Matters invites comments / feedback.</p>	<p><b>F</b></p>

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<p><b>4.2 Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs.</b></p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• 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.</li> </ul>	<p>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.</p> <p>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.</p> <p>Monitoring officer or deputy and s151 officer or deputy always attend the Executive / full Council meetings.</p> <p>Seek external advice when appropriate e.g. Counsel, technical experts.</p> <p>Constitution requires members to listen to advice and record if not in agreement.</p>	<p>Practice evidenced in Committee reports for 2009/10. From April 2010, checklist is separate from the Committee report but is reviewed by Corporate Team and filed by the Member Services team.</p> <p>As above.</p> <p>Practice continued in 2009/10.</p> <p>Consultants’ advice sought on new Local Development Framework.</p> <p>Recorded on Statement of Executive Decisions.</p>	<p>Committee agendas</p> <p>As above</p> <p>M</p> <p>SED’s on web site</p> <p>On web site</p>

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<p>4.3 Ensuring that an effective risk management system is in place.</p> <ul style="list-style-type: none"> <li>• 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.</li> </ul>	<p>Risk Management Strategy has been in place since 25/4/06.</p> <p>Strategic and Operational Risk Registers are in place. Impact and probability are assessed.</p> <p>Corporate Team keep the Strategic Risk Register under Review.</p> <p>Monitoring Officer reports to Corporate Team on any key risks he has identified.</p> <p>Operational risks for each service - documented and managed on the corporate performance system (Covalent).</p> <p>A workshop on the Strategic Risk Register was facilitated by the Council's insurers - 23/2/09.</p> <p>Business Continuity Plans in place.</p>	<p>Monitoring Officer report on risks to Corporate Team (11/5/09).</p> <p>Strategic Risk Register reviewed by Corporate Team and was updated following the workshop with the Council's insurers. It was considered by the Audit Committee (23/9/09) and by OSC Management (26/10/09).</p> <p>Reviewed again February 2010.</p> <p>The internal audit manager gave a presentation to Managers Group (17/11/09) on Risk Management to Improve Performance and e.mailed guidance, including risk management in partnerships.</p> <p><b>More work needs to be undertaken on identifying and mitigating the risks involved in key partnerships.</b></p> <p>Restoration of IT systems and unavailability of staff due to poor weather conditions have been tested in practice. However, loss of premises has just been tested as a desk exercise.</p> <p><b>Business Continuity Plans need to be regularly tested in practice.</b></p> <p>Improvement Board continued to meet in 2008/09, its role having been reviewed on 15/4/08 at Full Council</p>	

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<p><b>4.3 Continued</b></p>	<p>Individual Project Initiation Documents for major projects include an analysis of risk and the risks are monitored, on an exception basis, as part of the project board meetings.</p> <p>Improvement Board monitor progress of major improvement projects and on the corporate plan objectives.</p> <p><b>[In 2010/11, the Improvement Board will be superseded by the Choosing to Change Board].</b></p> <p>Information Security Policy and Acceptable Use Policy in place.</p>	<p>Project Briefs, progress reports and end of project reports were considered by the Improvement Board in 2009/10.</p> <p>Major Projects submitted to the Executive include the PID.</p> <p>An updated Information Security Policy and Acceptable Use Policy were approved, to minimize risk of loss or corruption of data (particularly sensitive data).</p>	<p>J</p> <p>Council 4/8/09</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<p>4.3 Continued</p> <ul style="list-style-type: none"> <li>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.</li> </ul>	<p>Individual internal audit reports give an opinion on the risk position. These are summarized in the quarterly monitoring reports and in the annual report on internal control to the Audit Committee.</p> <p>Risk management is in the terms of reference of the Audit Committee.</p> <p>Confidential Reporting Code (Whistleblowing Policy) in place.</p> <p>Code reviewed by both Audit and Standards Committees in 2007/8.</p> <p>Relaunched internally and via press release in 2007/08.</p>	<p>Audit Committee received quarterly reports in 2009/10 and will receive the annual report on 27/5/10.</p> <p>Considered the review of the Strategic Risk Register and Quarterly Audit Services Monitoring Reports.</p> <p>Annual Governance Statement, including assessment of risk management arrangements, coordinated by the Head of Policy &amp; Performance, to be approved by the Audit Committee.</p> <p>Given the extent of change, <b>overall risk management arrangements should be considered at least quarterly by the Audit Committee.</b></p> <p>Notices placed on notice boards throughout the Council's offices, publicising the Code. Code is also on the intranet &amp; website.</p> <p>All contractors notified as part of the contract documentation.</p>	<p>Agendas</p>



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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<p><b>4.4 Using their legal powers to the full benefit of the citizens and communities in their area.</b></p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on authorities by public law.</li> </ul>	<p>Constitution defines delegated powers. Individual departments act within statutory provision e.g. licensing.</p> <p>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.</p> <p>As above.</p> <p>Training sessions on the Data Protection Act are regularly held. New Members undertake inductions training and all Members continue to undertake a training &amp; development programme.</p>	<p>Constitution is regularly reviewed in the light of new legislation.</p> <p>Continued to lobby with other agencies on behalf of the community on nuclear issues and on the provision of hospital services.</p> <p>The Legal Services Manager continued to circulate regular legal updates to Management Group.</p> <p>Further training sessions on Data Protection Act held in 2009/10.</p>	<p>H</p> <p>Details held by Head of Legal &amp; Democratic Services</p>

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<p><b>4.4 Continued</b></p> <ul style="list-style-type: none"> <li>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.</li> </ul>	<p>As above.</p>	<p>As above</p>	

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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
<p><b>5.1 Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles.</b></p> <ul style="list-style-type: none"> <li>• Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis.</li> </ul>	<p>There is an approved Members Training &amp; Development Plan. The Leader and three other members have attended the Leadership Academy Programme.</p> <ul style="list-style-type: none"> <li>• ACE Programme</li> <li>• LSP Improvement Plan – Community Leadership</li> </ul>	<p>Member training programme continued in 2009/10. Individual training records are now maintained for each Member.</p> <p>Executive, on 21/4/09, recommended to Full Council that the Member Development Panel be replaced by a designated Member as Councillor Development Champion, to work on ensuring continued accreditation to the NWEO Member Development Charter.</p>	<p>L</p>

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<p>5.1 Continued</p> <ul style="list-style-type: none"> <li>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.</li> </ul>	<p>Officers have an induction programme and annual employee performance management interviews, which identify training and development needs.</p> <p>Statutory officers, identify resource needs as part of the service planning and budget process. [as do other managers].</p>	<p>Employee Performance Management records kept by managers. Individual action plans. Corporate Training Plan coordinated and promoted by HR. Fraud awareness training carried out for Managers and Customer Service Officers in 2009/10.</p> <p>Service planning and budget process followed in 2009/10.</p> <p>Key Finance positions kept under review and temporary support brought in where needed in 2009/10.</p>	<p>I</p> <p>Resource Planning Working Group papers.</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<p>5.2 Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group.</p> <ul style="list-style-type: none"> <li>Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively.</li> <li>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.</li> <li>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.</li> </ul>	<p>Induction training takes place for all new Members. This is followed by a Member Training Programme.</p> <p>Democratic Services formulated Personal Development Plans for Members, identifying individual training needs and developed a corporate Member training programme.</p> <p>As above. Support from Scrutiny Officer and other Democratic Services Officers.</p>	<p>One to One interviews with Members to identify development needs took place in May / June 2009. Detailed Member Training and Development Programme for 2009/10. Monitored by Member Development Panel. <b>[Member Development Panel to be superseded by Member Development Champion in 2010/11]</b></p> <p>Scrutiny Officer and Democratic Services Officers in place in 2009/10.</p>	<p>L</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<p><b>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.</b></p> <ul style="list-style-type: none"> <li>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.</li> </ul>		<p>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.</p> <p>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.</p> <p>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.</p>	<p>Committee meetings on web site</p> <p>H</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<p>5.3 Continued</p> <ul style="list-style-type: none"> <li>ensure that career structures are in place for members and officers to encourage participation and development.</li> </ul>	<p>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.</p> <p>The Constitution gives the flexibility to change Portfolio Holders' areas of responsibilities at regular intervals</p> <p>The appointment of the Executive and the allocation of portfolios is the responsibility of the Leader.</p> <p>Officers have annual employee performance management interviews / identification of training &amp; development needs.</p> <p>All vacancies are advertised internally in the first instance.</p> <p>Opportunities for secondments.</p>	<p>Arrangements in place in 2009/10 - Members and Staff Training needs assessments and training / development programmes.</p> <p>Membership of Committees / portfolio holders reviewed annually.</p> <p>Remote Working Policy &amp; Guidance approved.</p> <p>A Workforce Planning training / awareness session held for Management Group, included staff retention / succession planning.</p> <p><b>Workforce Planning now included in Service Plans for 2010/11.</b></p> <p><b>Draft Workforce Strategy and action plan for 2010/11 approved.</b></p>	<p>H &amp; I</p> <p>Exec Sept. 09</p> <p>Exec 23/3/10</p>

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**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 councillor 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
<p><b>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.</b></p> <ul style="list-style-type: none"> <li>• Make clear themselves, all staff and the community to whom they are accountable and for what.</li> </ul>	<p>Constitution sets out the role of Overview and Scrutiny Committees. Corporate Plan and annual Corporate Improvement Plan (Corporate Implementation Plan from 2010/11) sets out priorities, objectives and targets.</p> <p>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.</p>	<p>2009/10 workplan included scrutiny of partnerships' performance. Fundamental review of the Scrutiny function undertaken from Nov 09. <b>Council agreed to reduce from 4 OSCs to 2 (after 22/6/10) and agreed a range of new protocols to support the way OSC operates (with immediate effect).</b> Cumbria-wide joint scrutiny committee in place.</p>	H



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<b>Principle and Application</b>	<b>How Copeland Borough Council demonstrates compliance</b>	<b>Comments</b>	<b>Working Paper</b>
<ul style="list-style-type: none"> <li>Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required.</li> <li>Produce an annual report on the activity of the scrutiny function.</li> </ul>	<p>Progress against the Corporate Plan is considered regularly by OSC.</p> <p>All Executive decisions are subject to review by OSC, including partnership protocols and agreements approved.</p> <p>Consultation with stakeholders as part of developing the Scrutiny workplan.</p> <p>Regular OSC reports to Full Council.</p>	<p>Continued in 2009/10.</p> <p>Consideration of Executive Decisions is a standing item on OSC Management agenda.</p> <p>The Democratic Services Manager has confirmed that stakeholders were consulted on the 2009/10 Scrutiny workplan.</p> <p>OSC reports to Full Council continued throughout the year.</p>	<p>C</p> <p>Council agendas</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<p><b>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.</b></p> <ul style="list-style-type: none"> <li>• 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.</li> </ul>	<p>Communication Strategy was approved by the Executive on 23/5/06 and revised in April 2007. It includes the need for consultation. Communication section was strengthened in 2008/09.</p>	<p><b>Strategy to be updated in 2010/11 [additional resources secured]</b>            Communications Team present at Committee meetings and proactively prepare press releases. “Round-up” of recent press releases is e-mailed to employees and content sought for future press releases.</p>	<p><b>D &amp; E</b></p>
	<p>National Place Survey.</p>	<p>National Place Survey was undertaken, results reported in October 2009. Findings reported to both Members and Management. Feedback incorporated into annual Corporate Implementation Plan.</p>	
	<p>Annual Customer Satisfaction Survey, carried out by independent firm.</p>	<p>CN Research undertook the annual Customer Satisfaction Survey, reported to Members &amp; Management for action. SIMALTO exercise reconfirmed service priorities.</p>	
	<p>Budget consultation.</p>		

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<p><b>6.2 Continued</b></p> <ul style="list-style-type: none"> <li>• Hold meetings in public unless there are good reasons for confidentiality.</li> <li>• 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.</li> </ul>	<p>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.</p> <p>Community-based activities. Consultation with Neighbourhood Forums and Parish Councils.</p> <p>Locality working introduced.</p>	<p>Practice continued in 2009/10. Copeland Matters now advises of upcoming Committee meetings and where agendas/reports can be found on the website.</p> <p>Neighbourhood Manager in South Whitehaven and Community Engagement Officers.</p> <p>Locality pilot in N.E. Copeland in 2009/10. The Council was successful in being 1 of the 4 fast track areas in the North West for the Government's Connected Communities Intensive Local Engagement Initiative. It has now been invited to apply for additional targeted engagement resources, to extend the work to other areas of the Borough. Various Arts and Sports outreach projects.</p> <p>See 6.2 above</p>	<p>D</p> <p>Exec 9/3/10</p>

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<p><b>6.2 Continued</b></p> <ul style="list-style-type: none"> <li>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.</li> <li>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.</li> </ul>	<p>Communication Strategy, coordinated by the Senior Communications Officer, makes clear how consultation is managed.</p> <p>Corporate Plan includes vision, key objectives and key achievements. Feeds into annual Corporate Improvement Plan (Corporate Implementation Plan in 2010/11)</p> <p>Leaflet circulated annually with the Council Tax Bills, details key priorities and the coming year's budget.</p> <p>Feedback from satisfaction surveys is published in Copeland Matters.</p> <p>Financial Accounts detail the financial position.</p>	<p>Communication Strategy includes consultation. "Have your Say" forums on the website. Feedback through Copeland Matters and on the website / Council Tax Leaflet.</p> <p>Corporate Plan and annual Plan in place.</p> <p>Leaflet circulated March 2010.</p> <p>Feedback &amp; progress given, further comments sought.</p> <p>Accounts signed off / published.</p>	<p><b>D</b> Web site</p> <p><b>A</b></p> <p><b>A</b></p> <p><b>D</b></p> <p>Web site</p>

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<p>6.2 Continued</p> <ul style="list-style-type: none"> <li>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.</li> </ul>	<p>Constitution. Committee meetings and agenda published on the web site. Complaints procedure. Renewed web site. Partnership protocol / agreements. Copeland Matters published to inform and seek feedback. Corporate Team Minutes published on the intranet.</p>	<p>Agreed in May 2009 to publish an Annual Report for 2009/10, to be complete by 31/7/10.</p> <p>This would 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.</p> <p>All arrangements in place for 2009/10.</p> <p>Corporate Complaints recording software in place.</p> <p>Copeland Matters published 3 times a year. Feedback as above.</p> <p>Continued in 2009/10.</p>	<p>Web site</p> <p>Covalent</p> <p>Intranet</p>

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Principle and Application	How Copeland Borough Council demonstrates compliance	Comments	Working Paper
<p>6.3 Making best use of human resources by taking an active and planned approach to meet responsibility to staff.</p> <ul style="list-style-type: none"> <li>Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making.</li> </ul>	<p>Joint Consultative &amp; Safety Panel is the regular forum for discussion with union representatives and management.</p> <p>Ad hoc task groups on major issues.</p> <p>Employee Roadshows</p> <p>Monthly Team Talk for corporate briefing and local team briefing. Ad hoc e.mail briefings.</p>	<p>Arrangements continued in 2009/10.</p> <p>Working group on Job Evaluation continued in 2009/10 – included union representatives. New Pay &amp; Grading Structure was implemented in December 2009.</p> <p>Employee “Roadshows” held in 2009/10 for feedback on the Place Survey. <b>Choosing to Change Programme launched 26/4/10.</b></p> <p>Arrangements continued in 2009/10. Team Talk briefings are posted on the intranet.</p>	<p>Meeting agendas &amp; minutes</p> <p>Meeting reports &amp; minutes</p> <p>Intranet</p>

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

Issue No./ Priority	Appendix A Ref. / Existing Recommendation reference	Issues	Action Agreed	Responsible Officer	Target Date
1 P2	4.3	The Council should regularly test business continuity arrangements for key services. Specifically, loss of premises has not been tested to date.	A business continuity exercise is planned for summer 2010.	K Parker Acting Corporate Director (Quality of Life)	31/10/10
2 P2	5.3	Implementation of the Workforce Strategy Action Plan, agreed March 2010.	There will be an updated Workforce Strategy to support the delivery of a new Corporate Plan.	Corporate Team Lead Officer: H Mitchell Head of Policy & Performance	31/3/11
3 P1	2.2	Ensure that the CIPFA Statement on the Role of the Chief Financial Officer is taken into consideration during any organisational restructure / appointment in 2010/11.	As recommendation	Chief Executive	31/3/11
4 P2	3.2	Increase awareness of ethical governance, by devising a series of single learning point broadsheets to distribute to all Councillors at Council meetings and to provide to parish and town clerks.	As recommendation	M Jepson Head of Legal & Democratic Services	31/3/11

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5 P2	6.2	Roll out Locality Working (as piloted in N.E. Copeland) to the rest of the Borough.	Localities are underpinning the development of the Copeland LSP. Engagement will be through Localities and at a Borough-wide level for those Partners operating at this level e.g. Copeland Disability Forum.	J Betteridge Head of Development Strategy	31/3/11
6 P2	6.2	Update the Communications Strategy (dates from 2007/08).	Update of the Communications Strategy is included as part of the Choosing to Change Programme.	H Mitchell Head of Policy & Performance	31/1/11
7 P2	4.3 Corporate Governance 2008/09 AR-C_027	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.	Chief Executive	Original target date 31/3/10  Ongoing in 2010/11
8 P3	6.2 Corporate Governance 2008/09 AR-C_028	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



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Issue No. / Priority	Appendix A Ref. / Existing Recommendation reference	Issues	Action Agreed	Responsible Officer	Target Date
9 P2	<p>Arising from Revised 2007/08 AGS 27/3/09</p> <p><b>Now superseded by:</b> Use of Resources Dec 2009</p> <p>AR-C_031 &amp; AR-C_032</p>	<p>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.</p> <p><b>Now superseded by:</b></p>	<p>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.</p> <p><b>Now superseded by:</b></p>	<p>Corporate Team – Lead Officer: J Betteridge</p>	<p>Original target date July 2009</p> <p>Ongoing in 2010/11</p>
P1		<p>Ensure that risk management and governance arrangements weaknesses in partnerships are addressed.</p>	<p><u>Point 1:</u> Review of partnerships to be completed.</p> <p><u>Point 2:</u> Cumbria Strategic Partnership governance arrangements to be adopted.</p>	<p>Chief Executive</p>	<p>Original target date 31/3/10</p> <p>Ongoing in 2010/11</p>
P1					

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Issue No. / Priority	Appendix A Ref. / Existing Recommendation reference	Issues	Action Agreed	Responsible Officer	Target Date
10 P2	Arising from Annual Governance Report Sept. 2009 AR-F&MIS_202	Ensure that the 2009/10 financial statements are fully SORP compliant.	Practitioner guidance received December 2009. Will be reviewed as part of closure planning activity and changes to accounting policies, if required, will be proposed to Audit Committee. Disclosure checklist will be completed as part of close down programme.	Head of Finance /Accountancy Services Manager	30/6/10
11 P1	Arising from Annual Governance Report Sept. 2009 AR-F&MIS_203	Ensure that key controls operating within financial systems are operating as expected, and throughout the year, to minimise the risk to the Council and to maximise the ability of the external auditor to adopt a controls-based approach to the Accounts audit.	Action agreed. Head of Finance, Accountancy Services Manager, Head of Customer Services and Head of Policy & Performance all to ensure controls in place for their financial systems.	Head of Finance / Accountancy Services Manager	30/4/10  Ongoing in 2010/11
12 P1	Arising from Annual Governance Report Sept. 2009 AR-F&MIS_207	Progress in implementing the new asset register in 2009/10 should be monitored and work will be required by Internal Audit to document the system and to ensure that balances have been correctly and fully transferred.	As recommendation. However, Go Live date had been delayed as at 23 <sup>rd</sup> April 2010 and the intention is to close the 2009/10 Accounts using the existing Asset Register. The new module will be run in parallel. Audit work will be undertaken on completion of 2009/10 entries, in preparation for "switch over".	Head of Finance / Audit Manager	31/3/10  Ongoing in 2010/11

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13 P1	Arising from Use of Resources Dec 2009 AR-F&MIS_211	Evaluate the impact of the new arrangements for monitoring the delivery of the capital programme.	The quality of the monitoring will be fully appraised when the capital outturn is confirmed.	Head of Finance / Accountancy Services Manager	30/6/10
14 P1	Arising from Use of Resources Dec 2009 AR-PP_028 & AR-PP_029	Ensure that the data quality improvement plan is implemented consistently across the Council. Specific action is required on improving the quality of data on both affordable homes and on the accuracy of housing benefit payments.	<p>Point 1: Further training for Managers. [Data quality improvement plan has been implemented across all services. Ongoing need to improve some service data systems that will continue into 2010/11, where these cross service and organisational boundaries.]</p> <p>Point 3: Use of checklist for self-assessment. [Comment as for Point 1]</p>	Head of Policy & Performance  Head of Policy & Performance	30/6/10  22/6/10

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15 P1	Arising from Use of Resources Dec 2009 AR-PP_033 & AR-PP_034 & AR-PP_035	Improve performance with regards to staff sickness absence and the diversity of its workforce.	<p><u>Point 2:</u> Commission more Occupational Health sessions [based on analysis undertaken of long-term sickness figures and underlying causes].</p> <p><u>Point 3:</u> Provide further training in absence management for managers.</p> <p><u>Point 5:</u> Publish profile of workforce, including job applicants. [Baseline data has been prepared]</p>	Head of Policy & Performance  Head of Policy & Performance  Head of Policy & Performance	30/4/10  30/6/10  31/3/10
16 P1	Arising from Use of Resources Dec 2009 AR-R_092	Ensure that there is a clear link between the procurement strategy and practice and the outcome from the Council's ongoing assessment of local needs.	The action plan of the newly revised Procurement Strategy covers this issue. [Action 80% complete].  [Workshops with suppliers arranged for June 2010]	Head of Development Operations	28/2/10

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17 P2	Arising from Use of Resources March 2009 AR-C_021	The Council should continue to focus on reducing its costs for service delivery, where these are above average, and improve the quality of service provided, where this is below average.	All service costs / income generation potential were examined as part of the 2010/11 budget preparation. Shared Services Strategy agreed, along with business cases for shared services for Revenues & Benefits and for Internal Audit (to be implemented in 2010/11). [Full review of all services to be undertaken in 2010/11].	Head of Policy & Performance	31/3/10
18 P2	Arising from Use of Resources March 2009 AR-C_022	Ensure the monitoring and reporting of cost information includes trends over time and that any actions taken, as a result of comparisons and benchmarking, are routinely monitored and reviewed.	Baseline exercise to start in April 2009. [To continue in 2010/11].	Head of Policy & Performance	31/3/10
19 P2	Arising from Use of Resources March 2009 AR-C_025	Should evaluate the effectiveness of its major partnerships and demonstrate the benefits of this way of working in terms of improved customer service and quality and better value for money.	A Corporate Team Working Group was established in February 2009 to carry out this work. [To continue in 2010/11].	Head of Development Strategy / Head of Finance	31/3/10

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20 P2	Arising from Use of Resources March 2009 AR-C_026	Should evaluate the impact and outcomes of its investments to improve service quality and demonstrate any vfm benefits arising from this investment.	Capital Project Group established in 2009/10. Capital Programme now linked to the Corporate Plan, which is, in turn, linked to public priorities. This will provide the building blocks for future performance evaluation. [To continue in 2010/11].	Head of Development Operations / Head of Finance / Head of Policy & Performance	31/3/10
21 P2	Arising from Use of Resources March 2009 AR-CS_068	The Council should evaluate the cost effectiveness of recovery actions, associated costs and the cost of not recovering debt promptly and assess the impact on debt recovery arrangements.	Most effective method of recovery established and used wherever possible. [Action 90% complete].	Head of Customer Services	31/3/10
22 P2	Arising from Use of Resources March 2009 AR-F&MIS_158	Budgets should be linked to the MTFs, to business and activity plans, to operational activity indicators that lead indicators of material spend and to risk assessments of material items or revenue and capital income and expenditure.	Budget build has been based on service planning and linked to MTFs. Revenue & Capital budgets are closely monitored. However unit costs still to be developed consistently across the Council's activities. [Action 75% complete].	Head of Finance	31/12/09
23 P2	Arising from Annual Governance Statement May 2009 AR-C_030	Concern about the use of interim, agency and temporary staff.	A structured approach is taken to vacancy management. Corporate Team review all vacancies and evaluate the best options. [Action 90% complete].	Chief Executive	30/11/09

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24 P2	Arising from Annual Governance Statement May 2009 AR-LD_020	Concern about the process for land sales, particularly aspects of public involvement.	Recommendations and issues have been discussed with key officers involved. [Action 90% complete].  Contract Standing Orders to be updated in 2010/11, with cross-reference to Audit Commission recommendations and a checklist for officers to adhere to when dealing with land matters. [By 31/5/10]	Head of Legal & Democratic Services  Contracts & Projects Manager	31/3/10
25 P2	Arising from Annual Audit & Inspection Letter March 2008 AR-F&MIS_096	Ensure the Council's progress on having clear information on costs and comparative information is used in a comprehensive manner to review value for money, within services and corporately, especially in regards to experience of users and communities in relation to service effectiveness.	Recharge of support services and service management costs, and review of the financial ledger cost structure, will give a full picture of total cost of a service. [Action 90% complete].  [Links to AR-C021 & 022 above]	Accountancy Services Manager	30/9/08