

Appendix A - The Principles of Good Governance – Review Checklist 2013

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED 2012	PROGRESS TO DATE AND FURTHER ACTION
<p>1. Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area</p>	<ul style="list-style-type: none"> exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcome for citizens and service users 	<ul style="list-style-type: none"> develop and promote the authority's purpose and review on a regular basis the authority's vision for the local area and its implications for the authority's governance arrangements 	<p>Community Plan Strategic Plan Service and Team Plan</p> <p>Local Code of Corporate Governance</p>	<ul style="list-style-type: none"> Review of Community Plan and Strategic Plan 	<p>Local Code of Corporate Governance Review in September 2013 John Williams</p>
		<ul style="list-style-type: none"> ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners 	<p>Partnership Agreement Local Code of Corporate Governance THP Framework and Structure</p>	<p>Review and refresh the terms of reference for the Local Strategic Partnership Shazia Hussain</p>	<ul style="list-style-type: none"> February 2012 the L February 2012 the LSP was successfully reviewed and refreshed. The new partnership structures are now in line with local and national priorities and government legislation through the Localism Act 2011.

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1. Cont		<ul style="list-style-type: none"> • Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance 	Year end performance and budget report Annual Statement of Accounts Annual Council Tax Leaflet	The Council adopted a new Code of Conduct for Members effective from 1 July 2012 to comply with the requirements of the Localism Act 2011	The Planning and Licensing Codes of Conduct are also now subject to revision and the Local Code of Corporate Governance will be updated once this work is complete. Future action: John Williams/Jill Bell.
		<ul style="list-style-type: none"> • Code of Recommended Practice on Local Authority Publicity 	Council publications including website and East End Life communicate the authority's purpose and vision		

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1. Cont	<ul style="list-style-type: none"> Ensuring that users receive a high quality of service whether directly or in partnership or by commissioning 	<ul style="list-style-type: none"> Decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available 	Strategic Performance Measures Strategic Plan Directorate Performance Measures Service and Team Plans Corporate Performance and Budget Reports Performance Management and Accountability Framework Complaints Procedure Performance Review Group Member Performance Information Group	Refine strategic measures for reporting to CMT and Cabinet Kevin Kewin	The Council's strategic performance measures have been reviewed and a new set of strategic measures agreed for 2012/13, as part of the strategic planning process. Performance against these measures is being reported to CMT, Overview and Scrutiny Committee and Cabinet on a quarterly basis in line with the Council's Performance Management and Accountability Framework

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	<ul style="list-style-type: none"> Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money 	<ul style="list-style-type: none"> 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. Measure the environmental impact of policies, plans and decisions 	<p>Strategic performance measures Directorate Performance Measures Equality Analyses Benchmarking Guidance for Managers Implications in cabinet/committee reports Medium Term Financial Strategy Capital Programme Revenue Budget process Performance Review Group Asset management Board</p> <p>Competition Board (Procurement)</p> <p>Review of Financial Regulations and Scheme of Delegation for Financial Management</p>	<p>Review of Procurement Strategy 2013</p> <p>Review of Financial Reg/Virements April 2013</p>	<p>Set up new sub group of Competition Board to monitor new Health Function Commissioning and Social Care Commissioning May 2013</p> <p>Review of major contracts (top 20 spend 2013/14)[Competition Board]</p>

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<p>2. Members and Officers working together to achieve a common purposes with clearly defined functions and roles</p>	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> 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 	<p>Core Values Leadership & Management Framework Cabinet Portfolio statements Member role/Job descriptions</p>	<p>Annual update Cabinet Portfolio following induction of the Mayoral system John Williams</p>	<p>Cabinet portfolios have been agreed by the Mayor but portfolio statements have yet to be agreed. Future action: John Williams.</p>
		<ul style="list-style-type: none"> Set out a clear statement or the respective roles and responsibilities of other authority members, members generally and of senior officers 	<p>Constitution Member role/job descriptions</p>	<p>Review member job descriptions following induction of the Mayoral system John Williams</p>	<p>There has been no agreement on member job descriptions. However, the independent remuneration panel for London Boroughs will be circulating a template JD following the next review of members' allowances after the 2014 local government elections. It is therefore proposed to bring forward proposals based on the template at that time. Future action John Williams.</p>

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2. Cont	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> 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 	Constitution – Part 3 Responsibility for Functions	Review of the Member/Officer Protocol following implementation of Mayoral governance arrangements	
		<ul style="list-style-type: none"> make a chief executive or equivalent responsible and accountable to the authority for all aspects of operational management 	There is no Chief Executive Officer. We have a Head of Paid Service who holds the statutory role until 2014	Update Part 7, structure chart of the Council. John Williams	Further revisions to the structure chart are now required in light of recent changes to senior management. Future action: John Williams.

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2. Cont		<ul style="list-style-type: none"> • Develop protocols to ensure that the Mayor and CE (or equivalent) negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained 	Member/Officer Protocol Mayoral Advisory Board terms of reference Member/Chief Officer performance review meetings Management structures		A preliminary review of the Protocol has been completed but a more detailed review is now required to take account of recent changes to access to information legislation. Future action: Isabella Freeman/John Williams
		<ul style="list-style-type: none"> • Make a senior officer (S151 Officer) responsible to the authority for ensuring appropriate advice is given on all financial matters for keeping proper financial records and accounts and for maintaining an effective system of internal financial control 	Interim Section 151 Officer Financial comments to be included in all committee reports		

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2. Cont		<ul style="list-style-type: none"> • Make a senior (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 	Assistant Chief Executive (Legal Services) designated as Monitoring Officer. Legal comments to be included in all committee reports		
	<ul style="list-style-type: none"> • Ensuring relationships between the authority, its partners and the public are clear so that each knows what to expect of the other 	<ul style="list-style-type: none"> • Develop protocols to ensure effective communications between members and officers in their respective roles 	Member/Officer Protocol Members Bulletin		
		<ul style="list-style-type: none"> • Set out terms and conditions for remuneration of members and officers and an effective structure for managing the process, including an effective remuneration panel (if applicable) 	Members' Allowances Scheme London Councils' Independent Remuneration Panel Terms and conditions of service for officers		

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2. Cont		<ul style="list-style-type: none"> Ensure that effective mechanism exists to monitor service delivery 	Strategic Performance Measures Strategic Plan monitoring Performance Review Group Competition Board Directorate Management Teams Excelsis Performance Management and Accountability Framework Risk Management framework Community Plan Strategic Plan THP Framework		
		<ul style="list-style-type: none"> Ensure that the organisation's vision, strategic 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 	THP Framework Guidance for Members on external bodies	Improve the consultation functionality on the website Takki Sulaiman	New local structures framework agreed – introducing community champions and 17 local community ward forums

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2. Cont		<ul style="list-style-type: none"> • When working in partnership: <ul style="list-style-type: none"> ○ Ensure that there is clarity about the legal status of the partnership ○ Ensure that rep of organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions 	Third Sector Strategy Standard grant conditions and SLA requirements with voluntary sector organisations Ethical Governance Protocol for Council Contracts Members provide a signed declaration of interest and representations on outside bodies.		Work on website progressing to include consultation tools 2014 Takki Sulaiman

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3. Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour	<ul style="list-style-type: none"> Ensuring the authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance 	<ul style="list-style-type: none"> Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect 	Core Values Standards Committee Leadership & Management Framework		
	<ul style="list-style-type: none"> Ensuring that organisational values are put into practice and are effective 	<ul style="list-style-type: none"> ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols 	Code of Conduct for Members Employees' Code of Conduct Member/Officer Protocol Anti Fraud Strategy (including Whistle blowing Procedure) Complaints Procedure Managers Briefing Members Briefing Corporate and Member Learning and Development Programmes		

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3. Cont		<ul style="list-style-type: none"> • 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 	Constitution Part 5 - Codes and Protocols Financial Procedure Rules Managers Briefing Members Bulletin Corporate and Member Learning and Development Programmes		
		<ul style="list-style-type: none"> • Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations and communicate these with members, staff and the community and partners 	Constitution Part 5 - Codes and Protocols Core Values Leadership & Management Framework		

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3. Cont		<ul style="list-style-type: none"> • 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 		Appointment of New Independent Person June 2013	
		<ul style="list-style-type: none"> • Develop and maintain an effective standards committee 	Annual work programme		<p>Training for Standards (Advisory) Committee Members completed in October 2012</p> <p>Advert for Independent Person placed. Interviews in June 2013.</p>
		<ul style="list-style-type: none"> • 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 	Core Values Leadership and Management Framework		

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3. Cont		<ul style="list-style-type: none"> • 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' behaviours both individually and collectively 	THP Framework Community Plan		<p>THP Local governance framework agreed, with written roles and responsibility for the residents and their involvement in the LCWFs. Written Participatory Budgeting process so residents and service providers are clear about roles and responsibilities. Training programme identified for all Community Champion co-ordinators and toolkit provided to ensure they have the capacity to act as local community organisers</p>

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<p>4. Taking informed and transparent decisions which are subject to effective scrutiny and managing risk</p>	<ul style="list-style-type: none"> Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny 	<ul style="list-style-type: none"> 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 	<p>O&S Committee annual report to Council Scrutiny annual work programme Ombudsman annual report</p>	<p>Training new Committee May 2013</p>	<p>Additional training to be carried out on half day work programme June/July 2013</p>
		<ul style="list-style-type: none"> Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based 	<p>Constitution – Part 4 Procedure Rules Report writing templates Officer and Member Learning and Development Programmes</p>		
		<ul style="list-style-type: none"> 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 	<p>Constitution Part 5 – Codes and Protocols Annual review of the Constitution</p>		

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4. Cont		<ul style="list-style-type: none"> • Develop and maintain an effective audit committee (or equivalent) which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the functions of such a committee 	Audit Committee		
		<ul style="list-style-type: none"> • Ensure that effective transparent and accessible arrangements are in place for dealing with complaints 	Complaints Procedure		
	<ul style="list-style-type: none"> • Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/need 	<ul style="list-style-type: none"> • Ensure that those making decisions whether for the authority or the partnership are provided with info that is fit for purpose relevant, timely and gives clear explanations of technical issues and their implications 	Mayoral, Cabinet and Committee reports and pre agenda processes Member Learning and Development Programme Annual Residents' Survey Report writing templates and pro formas		

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4. Cont		<ul style="list-style-type: none"> Ensure that proper professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and use appropriately 	Legal and financial comments are required in all reports.		
	<ul style="list-style-type: none"> Ensuring that an effective risk management system is in place 	<ul style="list-style-type: none"> Ensure risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their jobs 	Risk Registers Risk management implications required in all Committee reports Project Management Framework	Develop risk reporting to the Mayor's Advisory Board Minesh Jani Roll out risk management training for members following change to the Mayoral system. Minesh Jani	
		<ul style="list-style-type: none"> 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 	Anti Fraud Strategy	Publicise whistle blowing arrangements across the Council and its partners Minesh Jani Put in place arrangements to ensure compliance with the Bribery Act 2010 Minesh Jani	

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4. Cont	<ul style="list-style-type: none"> • Ensuring that organisational values are put into practice and are effective 	<ul style="list-style-type: none"> • Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine but also strive to utilise their powers to the full benefit of their communities 	Constitution Legal comments requires in all committee reports		
		<ul style="list-style-type: none"> • Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on authorities by public law 	Constitution Legal comments requires in all committee reports		

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5. Developing the capacity and capability of members and officers to be effective	<ul style="list-style-type: none"> Making sure that members and officers have the skills knowledge, experience and resources they need to perform well in their roles 	<ul style="list-style-type: none"> Provide induction programme tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis 	Staff Induction Scheme Corporate Learning & Development Programme Core Values Leadership & Management Framework Job descriptions Person descriptions	Proposals on job description 2013	Job description to be actioned later in 2013/14.
	<ul style="list-style-type: none"> Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group 	<ul style="list-style-type: none"> 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 	Member Learning & Development Programme Member Induction		
		<ul style="list-style-type: none"> Assess the skills required by members and officers and make a commitment to develop those skills to enable the role to be carried out effectively 	Member Learning and Development Programme Staff Performance Development Framework		

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5. Cont		<ul style="list-style-type: none"> • Develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed 	Member Learning and Development Programme Staff Performance Development Framework		
		<ul style="list-style-type: none"> • 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 	Members' Timesheets Reports to Standards Committee Scrutiny Focus Groups		

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5. Cont	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> Ensure that career structures are in place for members and officers to encourage participation and development Ensure that effective arrangements are in place designated to encourage individual from all sections of the community to engage with, contribute to and participate in the work of the authority 	<p>Staff Performance & Development Framework</p> <p>Recruitment and Selection Standards Women/People into Public Life Programmes/Initiatives Community Plan Annual young Mayor election Equality Schemes Community Champions</p>	<p>Young Mayor elected 2013. Next Annual Election Young Mayor 2014</p>	
	<ul style="list-style-type: none"> Developing the capability of people with governance responsibilities and evaluating their performance as individuals and as a group 	<ul style="list-style-type: none"> Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively 	<p>Member Learning and Development Programme Staff Performance Development Framework</p>		<p>Training and mentoring package provided for all Community Champion co-ordinators. A clear recruitment process with priority given to those reflecting the residents of each ward area.</p>

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5. Cont		<ul style="list-style-type: none"> • Develop skills on a continuing basis to improve performance in the ability to scrutinise and challenge and to recognise when outside expert advice is needed • 	Member Learning and Development Programme Staff Performance Development Framework	New HR Performance Framework	Implementation new HR PDR from November 2013
	<ul style="list-style-type: none"> • 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 		Recruitment and Selection Standards Women/People into Public Life Programmes/Initiatives Community Plan Annual young Mayor election Equality Schemes Community Champions		Training and mentoring package provided for all Community Champion co-ordinators. A clear recruitment process with priority given to those reflecting the residents of each ward area

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5. Cont		<ul style="list-style-type: none"> • 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 			
		<ul style="list-style-type: none"> • Ensure that career structures are in place for members and officers to encourage participation and development 	Staff Performance & Development Framework	New navigate proposals for staff skills	New intake 2013 Navigate Review and Improve

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<p>6. Engaging with local people and other stakeholders to ensure robust public accountability</p>	<ul style="list-style-type: none"> • Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships 	<ul style="list-style-type: none"> • Make clear to themselves, all staff and the community to whom they are accountable and for what • Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required • Produce an annual report on the activity of the scrutiny function 	<p>Community Plan Service and Team Plans</p> <p>Scrutiny Procedure Rules</p> <p>Overview and Scrutiny Annual Report to Council</p>	<p>Staff Survey 2013</p>	<p>Governance Review Panel and Reporting Autumn 2013</p>

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6. Cont	<ul style="list-style-type: none"> • Taking an active and planned approach to dialogue with an accountability to the public to ensure effective and appropriate service delivery whether directly by the authority in partnership or by commissioning 	<ul style="list-style-type: none"> • Ensure that 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 	Community Plan		3 LCWF public meetings for every ward per year. Neighbourhood Agreements offered to 10 areas per year to ensure the most localised citizen engagement.

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		<ul style="list-style-type: none"> • Hold meetings in public unless there are good reasons for confidentiality • Ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these completing demands 	<p>Constitution – Part 4 Procedure Rules</p> <p>Interpretation & Translation Policy</p>	<p>Various consultation methods under review Takki Sulaiman</p>	