CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
1. **Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area**	• exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcome for citizens and service users	• 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	LAA and Community Plan Strategic Plan Directorate Plans Local Code of Corporate Governance	
		• ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners	Partnership Agreement Local Code of Corporate Governance THP Framework and Structure	
		• publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance	Annual Report BVPP Annual Statement of Accounts Annual Council Tax Leaflet	
	• ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning	• 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	Tower Hamlets Index Strategic Plan Directorate Plans Performance Management Framework	
		• put in place effective arrangements to identify and deal with failure in service delivery	Complaints Procedure Performance Review Group LAA Performance Reports Member Performance Information Group	Bi-monthly Tower Hamlets Index/Strategic Plan Monitoring to CMT and Cabinet Six monthly national priorities monitoring to CMT and Cabinet **Stephanie Ford**

	• ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money	• 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	Tower Hamlets Index Benchmarking Guidance for Managers Efficiency Board EIA's Implications in cabinet/committee reports Efficiency Strategy	

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
2. **Members and officers working together to achieve a common purpose with clearly defined functions and roles**	• 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	• set out a clear statement of the respective roles and responsibilities of the executive and of the executive's members individually and the authority's approach towards putting this into practice • set out a clear statement of the respective roles and responsibilities of other authority members, members generally and of senior officers	Core Values Leadership & Management Framework Cabinet portfolio statements Member role/job descriptions Constitution Member role/job descriptiions	Annual review of the Constitution by cross party working group **Isabella Freeman/John Williams** Finalise arrangements for the introduction of Member role descriptions **John Williams** Review Member/Officer Protocol **Mark Norman**
	• 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	• 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,	Constitution – Part 3 Responsibility for Functions	

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
		taking account of relevant legislation, and ensure that it is monitored and updated when required		
		• make a chief executive or equivalent responsible and accountable to the authority for all aspects of operational management	Chief Executive designated Head of Paid Service	
		• develop protocols to ensure that the leader and chief executive (or equivalent) negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained	Member/Officer Protocol LAB terms of reference Member/Chief Officer performance review meetings	
CORE PRINCIPLE	**SUPPORTING PRINCIPLE**	**LOCAL CODE REQUIREMENTS**	**SOURCE DOCUMENTS**	**COMPLIANCE/ACTION REQUIRED**
2 Cont.		• make a senior officer (the S151 Officer) responsible to the authority for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control	Director of Resources designated as section 151 officer Financial comments required in all committee reports	
		• 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	Assistant Chief Executive (Legal Services) designated as Monitoring Officer Legal comments required in all committee reports	
	• ensuring relationships between the authority, its partners and the public are clear so that each knows what to expect of	• develop protocols to ensure effective communication between members and officers in their respective	Member/Officer Protocol Members Bulletin	

		LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	
the other		roles		
		• 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)	Members, Allowances Scheme London Councils' Independent Remuneration Panel Terms and conditions of service for officers	
		• ensure that effective mechanisms exist to monitor service delivery	Tower Hamlets Index EXCELSIS Performance Management Framework	

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
2 Cont.		• 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	Community Plan Strategic Plan THP Framework Consultation Calendar Consultation Toolkit	
		• when working in partnership, ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the authority	THP Framework Member role/job descriptions Guidance for Members on external bodies	
		• when working in partnership: – ensure that there is clarity about the legal status of the partnership – ensure that representatives of organisations both understand and make clear to	Third Sector Strategy Standard grant conditions and SLA requirements with voluntary sector organisations Ethical Governance Protocol for Council Contracts	

		LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	
		all other partners the extent of their authority to bind their organisation to partner decisions		

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
3. **Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour**	• ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance	• ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect • 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	Core Values Standards Committee Leadership & Management Framework Code of Conduct for Members Employees' Code of Conduct Member/Officer Protocol Anti Fraud Strategy (including Whistleblowing Procedure) Complaints Procedure Managers Briefing Members Briefing Corporate and Member Learning and Development Programmes	
		• 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	

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
3 Cont.	• ensuring that organisational values are put into practice and are effective	• develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations, and communicate these with members, staff, the community and partners	Constitution Part 5 - Codes and Protocols Core Values Leadership & Management Framework	
		• 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	Constitution Part 5 - Codes and Protocols Standards Committee CMT Audit Plan	Provide training on Code of Conduct for Members following local government elections in May 2010. **Isabella Freeman**
		• develop and maintain an effective standards committee	Annual work programme and report to Council Terms of reference	
		• 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	
		• 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	THP Framework Community Plan Themes – Key Priorities Partnership Priorities	

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
4. **Taking informed and transparent decisions which are subject to effective scrutiny and managing risk**	• being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny	• develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall and that of any organisation for which it is responsible	Constitution O&S Committee annual report to Council Scrutiny annual work programme Member role/job descriptions Ombudsman annual report	Tower Hamlets Index monitoring reports to be considered by O&S Committee **Stephanie Ford**
		• develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based	Constitution – Part 4 Procedure Rules Report writing templates Officer and Member Learning and Development Programmes	
		• 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	Constitution Part 5 - Codes and Protocols Annual review of the Constitution	
		• 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	
		• ensure that effective, transparent and accessible arrangements are in place for dealing with complaints	Complaints Procedure	

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
4. Cont.	• having good-quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs	• ensure that those making decisions whether for the authority or the partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications	Committee reports and pre agenda processes Member Learning and Development Programme Annual Residents' Survey Report writing templates and pro formas	
		• 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	Legal and financial comments are required in all committee reports	
	• ensuring that an effective risk management system is in place	• ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their jobs	Risk Registers Risk management implications required in all Committee reports Project Management Framework	
		• 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	Complete review of anti-fraud and corruption arrangements to ensure best practice requirements are met. **Tony Qayum**

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
4. Cont.	• using their legal powers to the full benefit of the citizens and communities in their area	• actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine but also strive to utilise their powers to the full benefit of their communities	Constitution Legal comments required in all committee reports	
		• 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 required in all committee reports	
		• 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	Constitution Legal comments required in all committee reports Legal officer in attendance at all Committee meetings	
5. **Developing the capacity and capability of members and officers to be effective**	• making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles	• provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis	Staff Induction Scheme Corporate Learning & Development Programme Core Values Leadership & Management Framework	
		• ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the authority	Job descriptions Person descriptions Member Learning & Development Programme Member Induction Programme	

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
5. Cont.	• developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group	• assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively	Member Learning and Development Programme Staff Performance Development Framework	
		• 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	
		• 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	Member Learning & Development Working Group Members' Timesheets - Reports to Standards Committee Scrutiny Focus Groups	
	• encouraging new talent for membership of the authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal	• ensure that effective arrangements are in place designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority	Recruitment and Selection Standards Women/People into Public Life Programmes/Initiatives Community Plan LAP's Capital Ambition/Councillor of the Future	
		• ensure that career structures are in place for members and officers to encourage participation and development	Staff Performance & Development Framework	

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
6. **Engaging with local people and other stakeholders to ensure robust public accountability**	• exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships	• make clear 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	Community Plan Directorate Service Plans Scrutiny Procedure Rules O&S annual report to Council	Refine proposals for webcasting at some Committee/Council meetings. **John Williams**
	• taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning	• ensure clear channels of communication are in place with all sections of the community and other stakeholders, and put in place monitoring arrangements and ensure that they operate effectively • 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 competing demands	Community Plan Consultation Calendar LAP's Constitution - Part 4 Procedure Rules LAP's Consultation Calendar Consultation Toolkit Interpretation & Translation Policy	

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
6. Cont.	Cont.	• 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	Forward Plan Consultation Toolkit	
		• 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	Tower Hamlets Index Strategic Plan monitoring Best Value Performance Plan Annual Report	
		• ensure that the authority as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so	Constitution – Part 4 Procedure Rules Ethical Governance Protocol for Council Contracts	
	• making best use of human resources by taking an active and planned approach to meet responsibility to staff	• develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making	Constitution Collective agreements with TU's Staff Forums HR Policies and Procedures	