Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law				
Local government organisations are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, they can demonstrate the appropriateness of all their actions and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.				
Behaving with integrity	Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation.	Council Constitution including the 'Role of a Councillor' Codes of conduct for Councillors and Staff Protocol on Councillor / Officer Relationships Declarations by Councillors to abide by code of conduct Disclosure of disclosable pecuniary interests forms completed by councillors and declared at meetings Hearings Panel together with appointment of an Independent Person to consider reports on alleged breaches of code of conduct by Councillors Employee handbook setting out requirements and standards expected Employee disciplinary procedure Induction for new members and staff on standard of behaviour expected		Review of Council Constitution and code of conduct for councillors to be undertaken following Election. Who: Corporate Director When: May 2020

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
		Performance appraisals including competency framework (new Performance Management Review documents currently being tested) Member Training		
	Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles).	Corporate values defined in and published as part of Council's Strategic Plan Plan published on-line and shared with wide range of stake-holders		
	Leading by example and using these standard operating principles or values as a framework for decision making and other actions.	Council Constitution sets out arrangements for the following and is reviewed annually: Decision making practices Declarations of interests made at meetings Conduct at meetings Effective procedure operated by Monitoring Officer to investigate complaints about councillor conduct Senior officers act as role models		Review of Council Constitution to be undertaken following Election. Who: Corporate Director When: May 2020
	Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively.	Anti-fraud and corruption policies developed and communicated to all staff and published to website Maintenance of register of interests – published on line for Councillors		Anti-fraud and corruption policies and procedures to be reviewed and communicated to staff. Who:

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
		Register of gifts and Hospitality Whistleblowing policies are in place and protect individuals raising concerns – policy published to council website Policies reviewed and agreed by Accounts and Audit Committee Regular reminders issued to staff on suite of Anti-fraud and Corruption policies Three stage Corporate Complaints Policy established and published on website Learning from complaints where changes in service / process identified Councillors and Officers codes of conduct refer to a requirement to declare interests Agendas for Council meetings include item on declarations of interest with details recorded in the Minutes		Chief Executive When: Sept. 2020
Demonstrating strong commitment to ethical values	Seeking to establish, monitor and maintain the organisation's ethical standards and performance.	Implicit in our corporate values is that staff will act with fairness and integrity at all times Consideration of equality and diversity and sustainability implications in all reports		

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
		Championing ethical compliance at all decision making body levels Fair Trade status for the Borough Sustainability issues are considered within all decision making reports	Green	
	Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation.	Provision of ethical awareness training Financial and Contract Procedure Rules Compliant Procurement processes	Green	
	Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values.	Appraisal processes take account of values and ethical behaviour Staff recruitment and selection policy Corporate values Procurement policy	Green	
	Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with high ethical standards expected by the organisation.	Agreed values in partnership working Information provided to business on 'Doing business with the Council' outlines the Council's commitment to environmental, equalities and sustainability considerations. Values feature in contracts with external service providers Protocols for partnership working	Amber	Review of contract procedures and processes to be undertaken. Who: Financial Services Manager When: Sept. 2020

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
Respecting the rule of law	Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations.	Council Constitution Statutory Officers (e.g. Monitoring Officer) charged with ensuring compliance Internal control framework and annual review of effectiveness Legal implications / considerations included in all reports Compliance obligations linked to membership of professional bodies	Green	Review of Council Constitution to be undertaken following Election. Who: Corporate Director When: May 2020
	Creating the conditions to ensure that the statutory officers, other key post holders and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements.	Job descriptions Person specifications Protocol on Councillor / Officer relationships Compliance with CIPFA's *Statement on the Role of the Chief Financial Officer in Local Government* and the *Financial Management Code* Provision of training Council Constitution Committee Terms of Reference Scheme of Delegation Committee Support and advice	Green	Review of Council Constitution for councillors to be undertaken following Election. Who: Corporate Director When: May 2020
	Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders.	Encouragement of a flexible and liberal interpretation of legal powers and processes	Green	

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
		Record of legal advice provided by officers Obtaining legal advice on new or 'innovative' proposals Learning from peer Councils and others such as the LGA, professional bodies		
	Dealing with breaches of legal and regulatory provisions effectively.	Monitoring officer provisions Record of legal advice provided by officers Statutory provisions – e.g. duties of Monitoring Officer and S151 Officer		
	Ensuring corruption and misuse of power are dealt with effectively.	Anti-fraud and corruption policies and procedures Regular review of effectiveness Work of Internal Audit Zero-tolerance of fraud Disciplinary procedures		Anti-fraud and corruption policies and procedures to be reviewed and communicated to staff. Who: Chief Executive When: Sept. 2020
B. Ensuring openness and comprehensive stakeholder engagement				
Local government is run for the public good; organisations therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.				
Openness	Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness.	Annual Report Statement of Accounts Rights of inspection / questions to the Auditor		

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
		Freedom of Information Act Council Publication Scheme Open Data compliance with transparency requirements Council's values Extensive information made available on council website Compliance with GDPR regulations		
	Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided.	Record of decision making and Minutes made publicly available Public participation section at meetings Council meetings are filmed and made available to the public via the website Very few decisions taken in private and only where legally required – default position is for decisions to be taken in public Key corporate policy / strategy documents made available on website		
	Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact	Decision making protocols Corporate report templates with defined sections on various implications (e.g. legal, financial, equalities)		

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
	and consequences of those decisions are clear.	Records of decisions taken (Minutes) and advice provided (Reports) Questions and discussion between Councillors and Officers presenting reports to ensure the information needs of members are met to help support their decision making Deferral of items where further information or clarification is required before making a decision Calendar of dates for submitting, publishing and distributing timely reports Calendar of meetings published on website Call in process is followed as required	Green	
	Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action.	Complaints and Feedback processes Life in Pendle Survey Subject specific consultations – e.g. Local Plan, Council Tax Support Use of press and social media – e.g. extensive information and advice during and post major incidents such as flooding Well established arrangements for Area Committees	Green	

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
Engaging comprehensively with institutional stakeholders	Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably.	Represented at Lancashire Leaders Membership of other key regional and sub-regional bodies PEARL Joint Ventures		
	Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively.	Multiple partnership arrangements in place e.g. with town and parish councils and PEARL		
	Ensuring that partnerships are based on: • trust • a shared commitment to change • a culture that promotes and accepts challenge among partners and that the added value of partnership working is explicit.	Approvals to key partnership arrangements Partnership governance arrangements Reviews of effectiveness Performance Management system Performance Management Corporate Reporting		
Engaging stakeholders effectively, including individual citizens and service users	Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes.	One of our corporate values Record of business and public consultations One of our values is LISTEN User groups and forums Regulatory compliance (e.g. changes to local scheme of Council Tax Support)		

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assess ment (Red, Amber Green)	Actions Required / Planned
	Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement.	Regular review of communications approaches and methods by Directors and Communications Team Fostering a culture for staff at all levels to deal directly with members of the public Information proactively provided to members about their wards and local issues Area Committees a valuable tool in promoting community engagement Close links developed with parish and town councils		
	Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs.	Subject specific consultation exercises Use of social media Life in Pendle Survey Friends' Groups Strategic needs assessment (e.g. Housing, Planning, Transport)		
	Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account.	Complaints Procedure Use of social media Reports on outcomes		

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
	Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity.	Consultation approach Consideration of hard to reach groups e.g. disabled and dementia groups	Green	
	Taking account of the interests of future generations of tax payers and service users.	Implications of decisions set out in reports Sustainability considerations form part of the Council's strategic objectives and core values	Green	
C. Defining outcomes in terms of sustainable economic, social, and environmental benefits				
The long-term nature and impact of many of local government's responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the authority's purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users, and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.				
Defining outcomes	Having a clear vision which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation's overall strategy, planning and other decisions.	Council Strategic Plan Service Plans Various other service related plans and strategies	Green	
	Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer.	Corporate and Service Plans Management Team Horizon Scanning	Green	

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
	Delivering defined outcomes on a sustainable basis within the resources that will be available.	Monitoring and reporting arrangements Action Plans		
	Identifying and managing risks to the achievement of outcomes.	Strategic Risk Register Established risk mgmt. arrangements		
	Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available.	Service Standards Budget process / resource allocation linked to corporate priorities Annual external audit and Value for Money		
Sustainable economic, social and environmental benefits	Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision.	Capital programme - resource allocation Capital investment strategy linked to corporate objectives Strategic Planning & Service Planning		
	Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints.	Local Plan Neighbourhood Plans Vision Board Policies and action plans developed covering defined period of time ahead Discussion between members and officers on the information needs of members to support decision making Record of decision making and supporting materials		

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
	Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs.	Record of decision making and supporting materials Arrangements for public consultation		
	Ensuring fair access to services.	Customer Access Strategy Equality Objectives Service Equality Impact Assessments Access to translation services Information formats - scope to vary provision		Review Customer Access Strategy Who: Corporate Director When: Sept. 2020
D. Determining the interventions necessary to optimise the achievement of the intended outcomes				
Local government achieves its intended outcomes by providing a mixture of legal, regulatory, and practical interventions. Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved They need robust decision-making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions made need to be reviewed continually to ensure that achievement of outcomes is optimised.				
Determining interventions	Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided.	Discussion between members and officers on the information needs of members to support decision making Decision making protocols (Council Constitution) Option appraisals – reports setting out information and		Review of Council Constitution to be undertaken following Election. Who: Corporate Director When: May 2020

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
		recommended course of action Agreement of information that will be provided and timescales	Green	
	Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts.	Financial strategy Medium-term financial plan Partnership working with local Town and Parish Councils Life in Pendle Survey Transfer of services and facilities	Amber	Consider how we can consult the public more on provision and quality of services Who: Financial Services Manager When: Dec. 2020
Planning interventions	Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets.	Established reporting cycles and timescales Corporate Performance and Financial monitoring framework Use of Pentana Performance Mgmt system to track progress on service plan actions Reports to Committees	Green	
	Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered.	Corporate and Service planning framework Consultation with service users Life in Pendle Survey Staff Team meetings and surveys Consultation with trade unions	Green	

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Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
	Considering and monitoring risks facing each partner when working collaboratively including shared risks.	Established monitoring arrangements Risk management framework		
	Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances.	Established monitoring arrangements Service Planning framework including regular reviews and reporting Decision-making protocols with parameters for delegated action		
	Establishing appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured.	Established basket of Key Performance Indicators Quarterly reporting to Committees Use of Pentana system for recording / monitoring		
	Ensuring capacity exists to generate the information required to review service quality regularly.	Performance Officer post established to coordinate corporate activity Established reporting framework with defined timescales Reports include detailed performance results and highlight areas where corrective action is necessary Reports to Management Team and Committees		
	Preparing budgets in accordance with organisational objectives, strategies and the medium term financial plan.	Corporate and Service planning framework Resource allocation linked to corporate objectives MTFP developed and maintained showing		

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
		position over 3 year rolling period		
	Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy.	Budget development framework and guidance MTFP Corporate plans		
Optimising achievement of intended outcomes	Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints.	MTFP arrangements well established Financial Strategy Subject to regular review Link to horizon scanning to understand future resource/ funding issues and opportunities		
	Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term.	Budget framework Community engagement on specific matters Area Committees		Consider how we can consult the public more on provision and quality of services Who: Financial Services Manager When: Dec. 2020
	Ensuring the medium term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage.	Financial Strategy and MTFP maintained under review in response to changing factors both internal and external (e.g. Local Govt Finance Settlement, 100% retention of business rates)		

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
	Ensuring the achievement of 'social value' through service planning and commissioning. The Public Services (Social Value) Act 2012 states that this is "the additional benefit to the community...over and above the direct purchasing of goods, services and outcomes".	Corporate Procurement arrangements Contract Procedure Rules	*(Amber)*	Review corporate procurement arrangements Who: Financial Services Manager When: March 2021
E. Developing the entity's capacity, including the capability of its leadership and the individuals within it				
Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mindset, to operate efficiently and effectively and achieve their intended outcomes within the specified periods. A local government organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Because both individuals and the environment in which an authority operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of the leadership of individual staff members. Leadership in local government entities is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.				
Developing the entity's capacity	Reviewing operations, performance, use of assets on a regular basis to ensure their continuing effectiveness.	Corporate & Service Planning framework Performance & Financial monitoring Capital Strategy Workforce Planning Service reviews	*(Green)*	
	Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority's resources are allocated so that outcomes are achieved effectively and efficiently.	Utilisation of PSAA Value for Money profiles Limited use of benchmarking	*(Amber)*	More consistent and corporate approach to benchmarking required – options to be considered Who: Chief Executive When: Sept. 2020

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
	Recognising the benefits of partnerships and collaborative working where added value can be achieved.	Significant use of partnerships and collaborative working e.g. Pearl Joint Ventures PLACE Growth Lancashire Parish and Town Councils		
	Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources.	Workforce Plan Organisational Development Strategy Learning and Development Strategy		
Developing the capability of the entity's leadership and other individuals	Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained.	Protocol on Councillor / Officer relationships Council Constitution The Role of a Councillor guidance Leadership Group		Review of Council Constitution to be undertaken following Election. Who: Corporate Director When: May 2020
	Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body.	Council Constitution Scheme of Delegation Financial and Contract Procedure Rules Budget Policy Framework		Review of Council Constitution and code of conduct for councillors to be undertaken following Election. Who: Corporate Director When: May 2020

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
	Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure whereby the chief executive leads the authority in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority.	Council Constitution Councillor / Officer protocol Role of Leader Role of CEO (as Head of Paid Service)	**[Green]**	Review of Council Constitution to be undertaken following Election. Who: Corporate Director When: May 2020
	Developing the capabilities of members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by: • ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged. • ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis. • ensuring personal, organisational and system-	Access to training and development Attendance at courses, seminars, conferences Access to LGA Briefings and other sources of information on new legislation etc. Induction programme Training and development plans for councillors and officers Support / access to LGA Councillor Development programme Training and Briefing sessions Peer reviews External Audit feedback Internal Audit reviews Accounts and Audit Committee	**[Amber]**	Review and update the training and development plan for councillors following the Election. Who: Corporate Director When: May-Sept.2020

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
	wide development through shared learning, including lessons learnt from governance weaknesses both internal and external.		🟧	
	Ensuring that there are structures in place to encourage public participation.	Public participation scheme Open access to meetings Council meetings are filmed and made available to the public via the website Published calendar of meetings Life in Pendle Survey	🟩	
	Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections.	LGA Peer review Training and development support	🟩	
	Holding staff to account through regular performance reviews which take account of training or development needs.	Training and development plan Staff development plans linked to appraisals Competency framework Suite of HR policies - subject to periodic review	🟩	
	Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing.	Annual Health and Well-being programme Work/Life balance policy Various other HR policies including management of stress and sickness	🟩	

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
F. Managing risks and performance through robust internal control and strong public financial management				
Local government needs to ensure that the organisations and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities. *A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery, and accountability.* *It is also essential that a culture and structure for scrutiny is in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.*				
Managing risk	Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making.	Risk management framework Risk implications section in reports Corporate Risk Management Working Group		
	Implementing robust and integrated risk management arrangements and ensuring that they are working effectively.	Corporate risk management strategy/ policy		
	Ensuring that responsibilities for managing individual risks are clearly allocated.	Corporate risk management strategy/ policy		
Managing performance	Monitoring service delivery effectively including planning, specification, execution and independent post implementation review.	Basket of KPIs established and formally reported on / published externally Service benchmarking information used Quarterly reporting on performance to Management Team and Policy and Resources		

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
	Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook.	Discussion between members and officers on the information needs of members to support decision making Publication of agendas and minutes of meetings Calendar of meetings published – timescales defined for publication of reports in advance of meetings Corporate report templates include consideration of financial, policy, risk implications amongst others		
	Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible.	Council Constitution Health and Social Care plan Each has approved terms of reference Call in procedures for P&R decisions Report to each Council meeting on work of P&R Committee		Review of Council Constitution and code of conduct for councillors to be undertaken following Election. Who: Corporate Director When: May 2020
	Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement.	Well established corporate and service monitoring framework Quarterly reports to Management Team and Committees		
	Ensuring there is consistency between specification stages (such as budgets) and post	Financial standards and guidance including monitoring / reporting arrangements		

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
	implementation reporting (e.g. financial statements).	Financial regulations and standing orders	Green	
Robust internal control	Aligning the risk management strategy and policies on internal control with achieving the objectives.	Risk management strategy Audit plan (Strategic and Annual) Audit reports	Green	
	Evaluating and monitoring the authority's risk management and internal control on a regular basis.	Risk management strategy/ policy Annual review of effectiveness of internal control Annual assurance statements prepared by service mgmt. Annual Governance Statement	Green	
	Ensuring effective counter fraud and anti-corruption arrangements are in place.	Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA, 2014) – suite of policies linked to this – all published on council website Policies subject to periodic monitoring, review and reporting to Accounts and Audit Committee for approval Effectiveness reviewed annually	Green	
	Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor.	Annual governance statement Effective internal audit service is resourced and maintained Review of effectiveness undertaken annually	Green	

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
	Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body: • provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment. • that its recommendations are listened to and acted upon.	Audit committee appointed by the Council Established with reference to requirements of CIPFA guidance: *Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA, 2013)* Membership includes 2 independent members appointed for their audit / financial management expertise Terms of reference defined in Constitution Effectiveness reviewed annually	Green	
Managing data	Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data.	Data management framework and procedures Designated data protection officer Data protection policies and procedures PCI/DSS compliance for processing payments data	Amber	GDPR Action Plan being delivered with regular monitoring via the Information Governance Working Group and Management Team
	Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies.	Data sharing agreement / protocols (e.g. DWP, VOA) Data processing agreements with Liberata	Amber	
	Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring.	Corporate Performance Management and Data Quality Strategy and procedures Data validation checks / procedures	Amber	

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
Strong public financial management	Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance.	Financial support linked to service structure Budget development and monitoring framework Capital spending plans / investment analysis Project support	🟩	
	Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls.	Budget development and monitoring framework Finance Manager on Management Team All reports must consider financial implications Good links between finance team and services Internal Audit	🟩	
G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability				
Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed, but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.				
Implementing good practice in transparency	Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate.	Emphasis on 'plain English' Report writing training for staff Reports, agendas and minutes are published on council website Publication of Annual Report Defined standards for council publications	🟩	

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
	Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand.	Report writing training

Feedback from councillors

Consider reducing use of technical jargon (unable to avoid sometimes)

Use of glossary or executive summary | | |
| **Implementing good practices in reporting** | Reporting at least annually on performance, value for money and the stewardship of its resources. | Publication of annual report

Publication of Annual Statement of Accounts including Annual Governance Statement

Publication of Audit Findings report from external auditor

All above documents publicly available on council website | | |
| | Ensuring members and senior management own the results. | Financial procedures and framework include accountability arrangements

Key decisions reported to Councillors for approval (e.g. budget outturns, use of reserves, budget development) | | |
| | Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including an action plan for | Process for producing the Annual Governance Statement (AGS)

Various forms of assurance involving Councillors and senior management | | |

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
	improvement and evidence to demonstrate good governance (annual governance statement).	AGS approved by senior mgmt. presented to the Policy and Resources Committee prior to formal submission for approval by the Accounts and Audit Committee each year		
	Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate.	Forms part of annual AGS process to determine the extent to which this is applicable		
	Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations.	Process for completion of the accounts is well-established and subject to annual review

Performance information features more now as part of the Narrative Report that forms part of the annual Statement of Accounts | | |
| **Assurance and effective accountability** | Ensuring that recommendations for corrective action made by external audit are acted upon. | Report and recommendations presented to Accounts and Audit Committee each year – follow up actions progressed in subsequent year | | |
| | Ensuring an effective internal audit service with direct access to members is in place which provides assurance with regard to governance arrangements and recommendations are acted upon. | Compliance with CIPFA's Statement on the Role of the Head of Internal Audit (2010)

Recommendations have informed positive improvement – status monitored &reported to the Accounts & Audit Committee

 Compliance with Public Sector Internal Audit Standards – compliance validated by Peer review in November 2016 | | |

Good Governance Matrix: Reviewed January 2020

Principles of good governance	Sub-principles and behaviours and actions that demonstrate good governance in practice	Examples of systems, processes, documentation and other evidence demonstrating compliance	Self-assessment (Red, Amber Green)	Actions Required / Planned
	Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations.	Council requested LGA led Peer Review in November 2015 Action plan developed post review and monitored thereafter Follow up visit by review team in Nov 2016 – good progress made	Green	
	Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement.	Framework for developing the AGS	Green	
	Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met.	Considerations form part of financial procedure rules and monitoring arrangements Approval required for Council to take on accountable body status	Green	