

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
<b>A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law</b>  <i>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.</i>				
<b>Behaving with integrity</b>	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.	<p>Council Constitution including the 'Role of a Councillor' – this is a live document which gets updated as required and is subject to Annual Review</p> <p>Codes of conduct for Councillors and Staff – this is a live document which gets updated as required and is subject to Annual Review</p> <p>Protocol on Councillor / Officer Relationships</p> <p>Declarations by Councillors to abide by code of conduct</p> <p>Disclosure of disclosable pecuniary interests forms completed by councillors and declared at meetings</p> <p>Hearings Panel together with appointment of an Independent Person to consider reports on alleged breaches of code of conduct by Councillors</p> <p>Employee handbook setting out requirements and standards expected</p> <p>Employee disciplinary procedure</p>		<p>Scheme of Delegation being reviewed by Management Team</p> <p>Who: Corporate Director</p> <p>When: Sept 2021</p> <p>Resume performance management review (PMRs) process, ensuring links to corporate values and behaviours, etc are demonstrated</p> <p>Who: HR / All</p> <p>When: Sept 2021</p>

## CORPORATE GOVERNANCE FRAMEWORK: UPDATE – June 2021

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		<p>Induction for new members and staff on standard of behaviour expected</p> <p>Performance appraisals including competency framework (new Performance Management Review documents currently being tested) – put on hold during 2020 but regular staff surveys were undertaken and weekly 1-2-1s encouraged</p> <p>Member Training</p> <p>Annual completion of Managers Assurance Statements</p>		
	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).	<p>Corporate values defined in and published as part of Council's Strategic Plan</p> <p>Plan published on-line and shared with wide range of stake-holders</p> <p>Training and development plans for councillors produced and schedule of training provided. Subject to annual review.</p>		
	Leading by example and using these standard operating principles or values as a framework for decision making and other actions.	<p>Council Constitution sets out arrangements for the following this is a live document which gets updated as required and is subject to Annual Review :</p> <p>Decision making practices</p>		<p>Scheme of Delegation being reviewed by Management Team</p> <p>Who: Corporate Director</p> <p>When:</p>

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		<p>Declarations of interests made at meetings</p> <p>Conduct at meetings</p> <p>Effective procedure operated by Monitoring Officer to investigate complaints about councillor conduct</p> <p>Senior officers act as role models</p>		Sept 2021
	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.	<p>Anti-fraud and corruption policies developed, regularly reviewed and communicated to all staff and published to website</p> <p>Maintenance of register of interests – published online for Councillors</p> <p>Register of gifts and Hospitality</p> <p>Whistleblowing policies are in place and protect individuals raising concerns – policy published to council website</p> <p>Policies reviewed and agreed by Accounts and Audit Committee</p> <p>Regular reminders issued to staff on suite of Anti-fraud and Corruption policies</p> <p>Three stage Corporate Complaints Policy established and published on website</p> <p>Learning from complaints where changes in service / process identified</p>		

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		<p>Councillors and Officers codes of conduct refer to a requirement to declare interests</p> <p>Agendas for Council meetings include item on declarations of interest with details recorded in the Minutes</p>		
<b>Demonstrating strong commitment to ethical values</b>	Seeking to establish, monitor and maintain the organisation's ethical standards and performance.	<p>Implicit in our corporate values is that staff will act with fairness and integrity at all times</p> <p>Consideration of equality and diversity and sustainability implications in all reports</p> <p>Championing ethical compliance at all decision making body levels</p> <p>Fair Trade status for the Borough</p> <p>Sustainability issues are considered within all decision making reports</p>		
	Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation.	<p>Provision of ethical awareness training</p> <p>Financial and Contract Procedure Rules</p> <p>Compliant Procurement processes</p> <p>Contract Procedure Rules – Review of exemptions granted in respect tendering requirements undertaken</p>		<p>Consider the need to provide tendering and contract procedure training</p> <p>Who: Chief Finance Officer</p> <p>When: September 2021</p> <p>Establish Capital Programme Working Group</p>

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				Who: Chief Finance Officer  When: September 2021
	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		
	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 businesses 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  Contract Procedure Rules – Review of exemptions granted in respect of tendering requirements undertaken  Procurement procedures followed, i.e. Invitation to Tender, etc.  Internal Audit conduct checks on key controls as part of routine systems audit.		Review of contract procedures and processes to be undertaken.  Who: Financial Services Manager  When: May 2022

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<b>Respecting the rule of law</b>	Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations.	<p>Council Constitution - this is a live document which gets updated as required and is subject to Annual Review</p> <p>Statutory Officers (e.g. Monitoring Officer) charged with ensuring compliance</p> <p>Internal control framework and annual review of effectiveness</p> <p>Legal implications / considerations included in all reports</p> <p>Compliance obligations linked to membership of professional bodies</p>		<p>Scheme of Delegation being reviewed by Management Team</p> <p>Who: Corporate Director</p> <p>When: Sept 2021</p>
	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.	<p>Job descriptions</p> <p>Person specifications</p> <p>Protocol on Councillor / Officer relationships</p> <p>Compliance with CIPFA's <i>Statement on the Role of the Chief Financial Officer in Local Government</i> and the <i>Financial Management Code</i></p> <p>Provision of training</p> <p>Council Constitution - this is a live document which gets updated as required and is subject to Annual Review</p> <p>Committee Terms of Reference</p> <p>Scheme of Delegation</p>		<p>Scheme of Delegation being reviewed by Management Team</p> <p>Who: Corporate Director</p> <p>When: Sept 2021</p>

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		<p>Committee Support and advice</p> <p>Protocol developed for holding remote / virtual council meetings</p>		
	Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders.	<p>Encouragement of a flexible and liberal interpretation of legal powers and processes</p> <p>Record of legal advice provided by officers</p> <p>Obtaining legal advice on new or 'innovative' proposals</p> <p>Learning from peer Councils and others such as the LGA, professional bodies</p>		
	Dealing with breaches of legal and regulatory provisions effectively.	<p>Monitoring officer provisions</p> <p>Record of legal advice provided by officers</p> <p>Statutory provisions – e.g. duties of Monitoring Officer and S151 Officer</p>		
	Ensuring corruption and misuse of power are dealt with effectively.	<p>Anti-fraud and corruption policies and procedures in place and communicated to staff and Councillors</p> <p>Regular review of effectiveness</p> <p>Work of Internal Audit</p> <p>Zero-tolerance of fraud</p> <p>Disciplinary procedures</p>		
<b>B. Ensuring openness and comprehensive stakeholder engagement</b> <i>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.</i>				

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<b>Openness</b>	Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness.	<p>Annual Report</p> <p>Statement of Accounts</p> <p>Rights of inspection / questions to the Auditor</p> <p>Freedom of Information Act</p> <p>Council Publication Scheme</p> <p>Open Data compliance with transparency requirements</p> <p>Council's values</p> <p>Extensive information made available on council website</p> <p>Compliance with GDPR regulations</p> <p>Council meetings made available on Pendle Council YouTube channel</p>		<p>Some of our transparency datasets are out of date due to staff changes during 2020 &amp; 2021 impacting on provision. These are currently being collated and prepared for publication.</p> <p>Who: All Data Owners</p> <p>When: July 2021</p>
	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.	<p>Record of decision making and Minutes made publicly available</p> <p>Public participation section at meetings</p> <p>Council meetings are filmed and made available to the public via the website. Also, currently being streamed live.</p> <p>Very few decisions taken in private and only where legally required – default position is for decisions to be taken in public</p>		



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		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 and consequences of those decisions are clear.	<p>Decision making protocols</p> <p>Corporate report templates with defined sections on various implications (e.g. legal, financial, equalities)</p> <p>Records of decisions taken (Minutes) and advice provided (Reports)</p> <p>Questions and discussion between Councillors and Officers presenting reports to ensure the information needs of members are met to help support their decision making</p> <p>Deferral of items where further information or clarification is required before making a decision</p> <p>Calendar of dates for submitting, publishing and distributing timely reports</p> <p>Calendar of meetings published on website</p> <p>Call in process is followed as required</p>		
	Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action.	<p>Complaints and Feedback processes</p> <p>Life in Pendle Survey</p> <p>Subject specific consultations – e.g. Local Plan, Council Tax Support, Covid-19 Impact Survey, etc</p> <p>Use of press and social media – e.g. extensive</p>		

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		information and advice during and post major incidents such as flooding  Well established arrangements for Area Committees		
<b>Engaging comprehensively with institutional stakeholders</b>	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: <ul style="list-style-type: none"> <li>• trust</li> <li>• a shared commitment to change</li> <li>• a culture that promotes and accepts challenge among partners</li> </ul> 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		
<b>Engaging stakeholders effectively, including individual citizens and service users</b>	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 is LISTEN, i.e. Life in Pendle Survey, Staff Survey  Record of business and public consultations  User groups and forums  Regulatory compliance (e.g. changes to local scheme of Council Tax Support)		

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	Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement.	<p>Regular review of communications approaches and methods by Chief Executive, Corporate Director and Communications Team</p> <p>Fostering a culture for staff at all levels to deal directly with members of the public</p> <p>Information proactively provided to members about their wards and local issues</p> <p>Area Committees a valuable tool in promoting community engagement</p> <p>Close links developed with parish and town councils</p>		
	Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs.	<p>Subject specific consultation exercises</p> <p>Use of social media</p> <p>Life in Pendle Survey</p> <p>Friends' Groups</p> <p>Strategic needs assessment (e.g. Housing, Planning, Transport)</p>		
	Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account.	<p>Complaints Procedure</p> <p>Use of social media</p> <p>Reports on outcomes</p> <p>Use of Life in Pendle Survey to inform plans</p>		
	Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity.	<p>Consultation approach</p> <p>Consideration of hard to reach groups e.g. disabled and dementia groups</p>		

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		Community Engagement Framework		
	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		
<b>C. Defining outcomes in terms of sustainable economic, social, and environmental benefits</b> <i>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.</i>				
<b>Defining outcomes</b>	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  Community Engagement Framework		
	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 (on informal basis)		
	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 management arrangements		
	Managing service users' expectations effectively	Service Standards		

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	with regard to determining priorities and making the best use of the resources available.	Budget process / resource allocation linked to corporate priorities  Annual external audit and Value for Money		
<b>Sustainable economic, social and environmental benefits</b>	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		
	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		Review Customer Access Strategy

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		<p>Service Equality Impact Assessments</p> <p>Access to translation services</p> <p>Information formats - scope to vary provision</p>		<p>Who: Corporate Director</p> <p>When: May 2022</p>
<b>D. Determining the interventions necessary to optimise the achievement of the intended outcomes</b> <p><i>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.</i></p>				
<b>Determining interventions</b>	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.	<p>Discussion between members and officers on the information needs of members to support decision making</p> <p>Decision making protocols (Council Constitution - this is a live document which gets updated as required and is subject to Annual Review)</p> <p>Option appraisals – reports setting out information and recommended course of action</p> <p>Agreement of information that will be provided and timescales</p>		<p>Scheme of Delegation being reviewed by Management Team</p> <p>Who: Corporate Director</p> <p>When: Sept 2021</p>
	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	<p>Financial Strategy</p> <p>Medium Term Financial Plan (MTFP)</p> <p>Partnership working with local Town and Parish Councils</p>		To consult with the Budget Working Group on the requirement for a Budget Engagement Strategy

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	resources available including people, skills, land and assets and bearing in mind future impacts.	Life in Pendle Survey  Transfer of services and facilities  Public consultations undertaken on an ad-hoc, needs-led basis to consult with BWG on if they want an engagement strategy  Community Engagement Framework		Who: Chief Finance Officer  When: Sept 21
<b>Planning interventions</b>	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 (Council's performance management system) to track progress on service plan actions and performance indicators  Reports to Committees		
	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  Community Engagement Framework		
	Considering and monitoring risks facing each partner when working	Established monitoring arrangements		

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	collaboratively including shared risks.	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 position over 3 year rolling period		



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	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		
<b>Optimising achievement of intended outcomes</b>	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  Community Engagement Framework approved		To consult with the Budget Working Group on the requirement for a Budget Engagement Strategy  Who: Chief Finance Officer  When: Sept 21
	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)		

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	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		Social value needs to be addressed more thoroughly in our service planning and commissioning arrangements  Who: Financial Services Manager  When: September 2021
<b>E. Developing the entity's capacity, including the capability of its leadership and the individuals within it</b>  <i>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.</i>				
<b>Developing the entity's capacity</b>	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  Route optimisation software  Adjusting resource levels in response to information that becomes available, i.e. react to seasonal changes in service needs  Adapt IT infrastructure, systems and equipment to enable effective and		Workforce Strategy approved and currently being finalised  Who: HR Manager  When: July 2021

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		<p>efficient home working arrangements</p> <p>Agile Working Policy approved and published</p> <p>Workforce Strategy approved by Management Team</p>		
	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.	<p>Utilisation of PSAA Value for Money profiles</p> <p>Limited use of benchmarking</p>		<p>More consistent and corporate approach to benchmarking required – options to be considered</p> <p>Who: Chief Finance Officer</p> <p>When: September 2021</p>
	Recognising the benefits of partnerships and collaborative working where added value can be achieved.	<p>Significant use of partnerships and collaborative working e.g.</p> <p>Pearl Joint Ventures</p> <p>PLACE</p> <p>Growth Lancashire</p> <p>Parish and Town Councils</p>		
	Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources.	<p>Workforce Plan</p> <p>Organisational Development Strategy</p> <p>Learning and Development Strategy</p>		
<b>Developing the capability of the entity's leadership and other individuals</b>	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.	<p>Protocol on Councillor / Officer relationships</p> <p>Council Constitution – this is a live document which gets updated as required and is subject to Annual Review</p>		<p>Scheme of Delegation being reviewed by Management Team</p> <p>Who: Corporate Director</p>

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		The Role of a Councillor guidance  Leadership Group		When: Sept 2021
	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 – – this is a live document which gets updated as required and is subject to Annual Review  Scheme of Delegation Financial and Contract Procedure Rules  Budget Policy Framework		Scheme of Delegation being reviewed by Management Team  Who: Corporate Director  When: Sept 2021
	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 – this is a live document which gets updated as required and is subject to Annual Review  Councillor / Officer protocol  Role of Leader  Role of CEO (as Head of Paid Service)		Scheme of Delegation being reviewed by Management Team  Who: Corporate Director  When: Sept 2021
	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	Access to training and development - Training and development plans for councillors produced and schedule of training provided. Subject to annual review.  Attendance at courses, seminars, conferences  Access to LGA Briefings and other sources of information on new legislation etc.		Resume performance management review (PMRs) process, ensuring links to corporate values and behaviours, etc are demonstrated  Who: HR / All  When: Sept 2021

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	<p>that ongoing training and development matching individual and organisational requirements is available and encouraged.</p> <ul style="list-style-type: none"> <li>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.</li> <li>ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from governance weaknesses both internal and external.</li> </ul>	<p>Induction programme</p> <p>Training and development plans for councillors and officers</p> <p>Support / access to LGA Councillor Development programme</p> <p>Training and Briefing sessions</p> <p>Peer reviews</p> <p>External Audit feedback</p> <p>Internal Audit reviews</p> <p>Accounts and Audit Committee</p> <p>Annual Emergency Planning desktop exercise</p> <p>Annual Health &amp; Safety Audit</p> <p>Investment in shared learning, training and development of senior and middle management e.g. 360 appraisals, participation in leadership development programmes, etc</p> <p>Performance Management Reviews / 360 appraisals</p>		
	Ensuring that there are structures in place to encourage public participation.	<p>Public participation scheme</p> <p>Open access to meetings</p> <p>Council meetings are filmed and made available to the public via the website</p> <p>Published calendar of meetings</p>		

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
		Life in Pendle Survey Community Engagement Framework		
	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 360 appraisals		
	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 Employee Assistance Programme (EAP)		

#### **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.*

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
<b>Managing risk</b>	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 Corporate Governance Working Group		
	Implementing robust and integrated risk management arrangements and ensuring that they are working effectively.	Corporate risk management strategy and policy		Risk Management Strategy and Policy currently under review  Who: Corporate Client & Performance Manager  When: July 2021
	Ensuring that responsibilities for managing individual risks are clearly allocated.	Corporate risk management strategy and policy		Risk Management Strategy and Policy currently under review  Who: Corporate Client & Performance Manager  When: July 2021
<b>Managing performance</b>	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		

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
		<p>Management Team and Policy and Resources</p> <p>Annual review of full PI set, including KPIs, to ensure they remain meaningful and appropriate</p>		
	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.	<p>Discussion between members and officers on the information needs of members to support decision making</p> <p>Publication of agendas and minutes of meetings</p> <p>Calendar of meetings published – timescales defined for publication of reports in advance of meetings</p> <p>Corporate report templates include consideration of financial, policy, risk implications amongst others</p>		
	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.	<p>Council Constitution – this is a live document which gets updated as required and is subject to Annual Review</p> <p>Health and Social Care plan</p> <p>Each has approved terms of reference</p> <p>Call in procedures for P&amp;R decisions</p> <p>Report to each Council meeting on work of P&amp;R Committee</p>		<p>Scheme of Delegation being reviewed by Management Team</p> <p>Who: Corporate Director</p> <p>When: Sept 2021</p>
	Providing members and senior management with regular reports on service	Well established corporate and service monitoring framework		



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
	delivery plans and on progress towards outcome achievement.	Quarterly reports to Management Team and Committees		
	Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (e.g. financial statements).	Financial standards and guidance including monitoring / reporting arrangements  Financial regulations and standing orders  Contract Procedure Rules – Review of exemptions granted in respect of tendering requirements undertaken		
<b>Robust internal control</b>	Aligning the risk management strategy and policies on internal control with achieving the objectives.	Risk Management Strategy and Policy  Audit plan (Strategic and Annual)  Audit reports		Risk Management Strategy and Policy currently under review  Who: Corporate Client & Performance Manager  When: July 2021
	Evaluating and monitoring the authority's risk management and internal control on a regular basis.	Risk management strategy and policy  Annual review of effectiveness of internal control  Annual assurance statements prepared by service management  Annual Governance Statement		Risk Management Strategy and Policy currently under review  Who: Corporate Client & Performance Manager  When: July 2021
	Ensuring effective counter fraud and anti-corruption arrangements are in place.	Compliance with the Code of Practice on Managing the Risk of Fraud and		

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
		<p>Corruption (CIPFA, 2014) – suite of policies linked to this – all published on council website</p> <p>Policies subject to periodic monitoring, review and reporting to Accounts and Audit Committee for approval</p> <p>Effectiveness reviewed annually.</p> <p>Financial Assurance Statements submitted to External Audit as part of the Statement of Accounts process</p>		
	Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor.	<p>Annual Governance Statement (AGS)</p> <p>Effective internal audit service is resourced and maintained via outsourcing of the Council's Internal Audit provision</p> <p>Review of effectiveness undertaken annually</p>		
	<p>Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body:</p> <ul style="list-style-type: none"> <li>• provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment.</li> <li>• that its recommendations are listened to and acted upon.</li> </ul>	<p>Audit committee appointed by the Council</p> <p>Established with reference to requirements of CIPFA guidance: <i>Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA, 2013)</i></p> <p>Membership includes 2 independent members appointed for their audit / financial management expertise</p> <p>Terms of reference defined in Constitution</p>		

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
		Effectiveness reviewed annually		
<b>Managing data</b>	Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data.	<p>Data management framework and procedures</p> <p>Designated Data Protection Officer</p> <p>Data protection policies and procedures</p> <p>PCI/DSS compliance for processing payments data</p> <p>GDPR Action Plan being delivered with regular monitoring via the Information Governance Working Group and Management Team which is showing progress in the right direction.</p>		<p>IGWG Action Plan / meeting Minutes to be regularly presented to and reviewed by Management Team to drive delivery of actions and improvements</p> <p>Who: Corporate Director</p> <p>When: Ongoing</p>
	Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies.	<p>Data sharing agreement / protocols (e.g. DWP, VOA)</p> <p>Data processing agreements with Liberata</p> <p>This work is incorporated into the GDPR Action Plan being delivered with regular monitoring via the Information Governance Working Group and Management Team IGWG</p>		<p>IGWG Action Plan and meeting Minutes to be regularly presented to and reviewed by Management Team to drive delivery of actions and improvements</p> <p>Who: Corporate Director</p> <p>When: Ongoing</p>
	Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring.	<p>Corporate Performance Management and Data Quality Strategy and procedures published and subject to regular review</p> <p>Data validation checks / procedures</p>		

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
<b>Strong public financial management</b>	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  All reports must consider financial implications  Good links between finance team and services  Internal Audit		
<b>G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability</b> <i>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.</i>				
<b>Implementing good practice in transparency</b>	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  Working to comply with the accessibility standards that we have to meet, namely the Website Content Accessibility		Implement improvements in relation to website accessibility issues highlighted by a recent Government Digital Service monitoring exercise.  Who: Website Co-ordinator  When: September 2021

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
		Guidelines (WCAG) 2.1 Level AA.  Responded to and continuing to implement improvements highlighted by Government Digital Service monitoring exercise		
	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  Emphasis on 'plain English'  Feedback from councillors  Consider reducing use of technical jargon (unable to avoid sometimes)  Use of glossary or executive summary		
<b>Implementing good practices in reporting</b>	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)		

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 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 improvement and evidence to demonstrate good governance (annual governance statement).	<p>Process for producing the Annual Governance Statement (AGS)</p> <p>Various forms of assurance involving Councillors and senior management</p> <p>AGS approved by senior management presented to the Policy and Resources Committee prior to formal submission for approval by the Accounts and Audit Committee each year</p>		
	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.	<p>Process for completion of the accounts is well-established and subject to annual review</p> <p>Performance information features more now as part of the Narrative Report that forms part of the annual Statement of Accounts</p>		
<b>Assurance and effective accountability</b>	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.	<p>Compliance with CIPFA's Statement on the Role of the Head of Internal Audit (2010) – Mersey Internal Audit Agency (MIAA) procured to discharge responsibility for 2020/21.</p> <p>Recommendations have informed positive improvement – status</p>		

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
		<p>monitored &amp; reported to the Accounts &amp; Audit Committee</p> <p>Compliance with Public Sector Internal Audit Standards – compliance validated by Peer review in November 2016</p> <p>Agreement to outsource the Internal Audit Service gained from Policy &amp; Resources Committee in March 2020. Procurement process completed with the Councils Internal Audit provision to be provided by MIAA from 2021/22.</p>		
	Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations.	<p>Council requested LGA led Peer Review in November 2015</p> <p>Action plan developed post review and monitored thereafter</p> <p>Follow up visit by review team in Nov 2016 – good progress made</p> <p>External Audit</p> <p>Internal audit work undertaken by 3<sup>rd</sup> party</p>		
	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		
	Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met.	<p>Considerations form part of financial procedure rules and monitoring arrangements</p> <p>Approval required for Council to take on accountable body status</p>		

