

EAST AYRSHIRE COUNCIL

GOVERNANCE AND SCRUTINY COMMITTEE 18 JUNE 2010

LOCAL CODE OF CORPORATE GOVERNANCE

Report by Chief Executive

1. PURPOSE OF REPORT

- 1.1 To update Committee on progress in implementing the Council's Corporate Governance Action Plan for 2009/10.
- 1.2 To seek approval for the new Local Code of Corporate Governance for 2010/11.
- 1.3 To seek agreement of a new Corporate Governance Improvement Action Plan for 2010/11.

2. BACKGROUND

- 2.1 CIPFA/SOLACE first published a framework for Corporate Governance in Local Government in 2001, and the Council's first Local Code of Corporate Governance was agreed by Council in June 2002.
- 2.2 Since the adoption of the Local Code, an annual process of review has been conducted. This results in the Council each year adopting a new Local Code of Corporate Governance, together with an action plan. This is designed to ensure that the ethos of excellent Corporate Governance is embedded in all decisions made by the Council.
- 2.3 In 2007 CIPFA/SOLACE published a new framework for Corporate Governance: "Delivering Good Governance in Local Government Framework." This new framework provides a useful and practical update on the original Framework and follows the six core principles of good governance outlined in the Good Governance Standard for Public Services (2004) which was developed by the Commission on Good Governance in Public Services.
- 2.4 This framework was designed to be applicable across the whole of the United Kingdom but it became evident that the statutory differences which exist in Scotland required to be addressed and a separate Guidance Note for Scottish local authorities was published in May 2008. The East Ayrshire Local Code of Corporate Governance for 2010/11 follows this guidance.

3. ANNUAL REVIEW OF CORPORATE GOVERNANCE ARRANGEMENTS

- 3.1 An important element of the process of assurance is the need for continuing monitoring and annual review of these arrangements. This year's annual review process provided the opportunity for our arrangements to be tested against the requirements of the CIPFA/SOLACE Framework and was co-ordinated by the Best Value & Performance Section, with input from all Council Departments.

3.2 Whilst this process of review is co-ordinated corporately and approved by the Corporate Management Team, Executive Directors and Heads of Service have a responsibility to ensure that their own governance arrangements are adequate and operating effectively. In line with the CIPFA/SOLACE Framework, each Executive Director and Head of Service is required to make an annual statement confirming that this is the case and, thereafter, the Council prepares and publishes an Annual Statement of Assurance confirming that corporate arrangements for governance are robust.

4. ACTION PLAN PROGRESS

4.1 Appendix 1 to this report sets out the progress made against the Council's Corporate Governance Action Plan for 2009/10.

4.2 The good progress made in implementing the improvement actions outlined within last year's Action Plan provides a clear demonstration of the Council's overriding commitment to best practice in Corporate Governance.

5. UPDATED LOCAL CODE OF CORPORATE GOVERNANCE

5.1 Appendix 2 to this report contains the new East Ayrshire Local Code of Corporate Governance for 2010/11.

5.2 The new Framework is structured around the six 'Core Principles' of the Good Governance Standard for Public Services, 'Supporting Principles,' and a range of 'Examples of Evidence' that all lead to 'Demonstration of Local Compliance.'

5.3 In terms of structure, the information contained within the third column of the table in Appendix 2 shows the outcome of the self assessment of our own Corporate Governance arrangements, and demonstrates the level of local compliance against the requirements of the new Framework.

5.4 In order to add an additional degree of challenge to the annual review of our Corporate Governance arrangements, and as suggested in the Guidance Note for Scottish local authorities, our Corporate Governance arrangements have been scored. In order to ensure a level of consistency across the various self-assessment processes in place across the Council, including previous EFQM self-assessments and the Council-wide Strategic Self Assessment of Performance, the Councils Corporate Governance arrangements were scored based on the undernoted scoring matrix:-

SCORING MATRIX	
1	Nothing happening – we really haven't thought about this, or we may have considered it but taken no or little action as yet.
2	Making a start – we've been thinking and working on this. We've got a few things going, but it is early days. We have some measurements that show we are doing ok.

3	Getting somewhere – we’ve got quite a few things going and we are beginning to see some signs that we are doing things right. According to our measurements, we can show that we are improving.
4	It is working for us – now we can see things are really working. Our activities are working together. We are seeing the results from them steadily improving and we are meeting a lot of our targets. We are comparing ourselves with other organisations.
5	It is our normal practice – what we are doing is effective and consistent. We’re learning from our experience and we can clearly see the benefits. Our key measurements show consistent improvement over several years. We are doing well compared with other organisations.
6	We are excellent – we’re working at a sophisticated level, consistently doing the right things. We use a wide range of measurements, showing strong improvements over many years. We exceed our targets and can demonstrate that we are best in class in many areas.

5.5 The overall conclusion from this review of the Council’s Corporate Governance arrangements has been that the Council continues to have effective arrangements in place to protect the Council’s interests and promote good governance within the Authority. For ease of reference, proposed amendments to the Local Code of Corporate Governance, including proposed changes to the previous year’s scores, are highlighted within Appendix 2 in bold italics.

5.6 The Council has made significant progress in developing its performance management arrangements over the last year and this is reflected in the improved scoring of the Council’s performance management arrangements throughout the Local Code of Corporate Governance. The new Electronic Performance Management System (EPMS) has been procured and good progress has been made in managing the implementation of this new System. Significant achievements are detailed below:-

- The new EPMS is now operational and populated with a wide range of performance indicators agreed following a comprehensive review of performance indicators across all Council services;
- Chief Executive’s and Executive Directors’ Performance Scorecards are in place. These Scorecards are updated with real time period performance information and traffic light performance against agreed targets and tolerances. Contextual commentary on action taken to address poor performance is also included;
- The new EPMS facilitates reporting against the revised suite of 77 Statutory Performance Indicators which reflect both corporate and service requirements in accordance with Audit Scotland Guidance.

6. ADOPTION OF A REVISED ACTION PLAN

- 6.1 The scoring exercise subjected the Council's Corporate Governance arrangements to fresh challenge, and this has identified areas where our arrangements could be further developed to reflect the requirements of the Framework. These have been incorporated into a number of improvement actions which will be implemented over the coming year.
- 6.2 The 2010/11 Action Plan also includes a number of actions that have been carried forward from the 2009/10 action plan. A number of actions from the previous year's Action Plan have, however, now been incorporated into normal business processes, for example benchmarking is a key requirement of the new service planning arrangements and will be a key feature of SRRB2. In addition, a number of work streams are already included within other Improvement Action Plans such as the Council-Wide Strategic Self-Assessment Improvement Action Plan. Where this is the case and to avoid duplication, these actions have not been carried forward into the 2010/11 Action Plan.
- 6.3 Full details of the proposed 2010/11 Improvement Action Plan are set out in Appendix 3 to this report and progress on its implementation will feature in the annual Review of the Council's Corporate Governance arrangements in 2011.

7. POLICY IMPLICATIONS

- 7.1 The Council places a high degree of importance on the need to ensure that its arrangements for Corporate Governance are effective and continue to be the subject of ongoing review and improvement.

8. LEGAL IMPLICATIONS

- 8.1 None.

9. FINANCIAL IMPLICATIONS

- 9.1 None.

10. RECOMMENDATIONS

- 10.1 Committee is asked to:-

- (i) note the process of review for the Council's Corporate Governance arrangements;
- (ii) note the good progress made in the implementation of the Corporate Governance Action Plan for 2009/10 as set out in Appendix 1 to this report;
- (iii) note the outcome of the scoring exercise and agree the East Ayrshire Local Code of Corporate Governance for 2010/11 as set out in Appendix 2 to this report;
- (iv) agree the proposed Corporate Governance Improvement Action Plan for 2010/11 as set out in Appendix 3 to this report;

- (v) note that the new East Ayrshire Local Code of Corporate Governance for 2010/11 and the Corporate Governance Improvement Action Plan will be published and made available to the general public; and,
- (vi) otherwise note the contents of this report.

Fiona Lees
Chief Executive
21 May 2010

LIST OF BACKGROUND PAPERS

CIPFA/SOLACE: Delivering Good Governance in Local Government Framework, 2007

CIPFA/SOLACE: Delivering Good Governance in Local Government, Guidance Note for Scottish Authorities, 2008

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Appendix 1 – Corporate Governance Improvement Action Plan 2009/10 – Update on Progress

Action Required	Lead Officer	Timetable	Progress Update
Principle 1 - Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area			
<p>Finalise the review of existing Corporate Complaints Policy in line with national standards (Recommended by Douglas Sinclair, Chair of the 'Fit for Purpose Complaints System Action Group' established in response to the findings of the Crerar Review) and make recommendations for improvements in relation to:</p> <ul style="list-style-type: none"> • arrangements for raising public awareness of the Council's complaints procedure; • arrangements for recording and reporting complaints, including actions taken to prevent recurrence and improve service delivery arrangements; • the development of a Customer Complaints toolkit and roll out training for all front line staff; • consideration of the need for a common point of entry for all complaints; • consideration of the development of one unified approach to 	<p>Head of Democratic Services</p>	<p>September 2009</p>	<p>SOME PROGRESS Revised Corporate Complaints Policy and associated information and training materials currently being developed. This will reflect the requirements of the national standards on complaints and is anticipated to be reported to the Corporate Management Team in September 2010.</p>

Action Required	Lead Officer	Timetable	Progress Update
<p>complaints handling for the Council and its Community Planning Partners; and</p> <ul style="list-style-type: none"> • arrangements for the regular testing of the Council's complaints handling systems. 			
<p>Continue implementation of the Corporate Procurement Strategy Implementation Action Plan by establishing a Central Purchasing Unit to operate alongside the ePS team and continue to roll out the ePS Project across the Council.</p>	<p>Head of Legal, Procurement and Regulatory Services</p>	<p>March 2010</p>	<p>ACHIEVED The Corporate Management Team agreed the staffing structure and funding arrangements in April 2010 to formalise and make permanent the temporary staffing arrangements within the Central Purchasing Unit. These have been implemented under the delegated authority of the Head of Human Resources.</p> <p>Implementation of the Corporate Procurement Strategy Action Plan is largely complete with PECOS now fully operational in all departments with the exception of the new Single Business Unit and a small section of the Social Work Service.</p>
<p>Review corporate application and approach to Customer First Strategy. Re-energise Customer First to raise the profile of this initiative and develop appropriate indicators to measure performance against Customer First Service Standards.</p>	<p>Head of Democratic Services</p>	<p>October 2009</p>	<p>SOME PROGRESS The review of the Customer First Strategy has been delayed pending a wider review of the Council's Customer Relationship Management arrangements.</p> <p>The Council, in partnership with the Improvement Service, has implemented the accredited Customer Service Professional Qualification which introduced structured learning and support around our customer service activity. The first graduates qualified in 2009 and the course continues to attract employees with direct customer contact.</p>
<p>Ensure that appropriate Service Standards are developed and included</p>	<p>All Executive Directors</p>	<p>March 2010</p>	<p>SOME PROGRESS A range of service standard indicators have been included</p>

Action Required	Lead Officer	Timetable	Progress Update
<p>within Service Plans and that performance against agreed Service Standards are monitored and reported through the new electronic Performance Management Framework.</p>			<p>within the Councils new suite of SPIs and within the wider suite of KPIs held on the Council's Electronic Performance Management System.</p> <p>New Service Planning arrangements include for the provision of service standards within Service Plans.</p>
<p>Further develop greater use of robust baseline data and benchmarking across all services.</p>	<p>All Executive Directors</p>	<p>March 2010</p>	<p>GOOD PROGRESS Benchmarking is an integral element of EFQM Assessments and Best Value Service Reviews.</p> <p>The new EPMS includes a SPI benchmarking database which facilitates comparative performance analysis and reporting across all 32 Scottish authorities from 2005/06 to present.</p> <p>An audit of current benchmarking activity was carried out in September 2009. This identified robust activity in some areas of the Council such as Education, Housing and Building Control.</p> <p>Further development is underway, particularly in relation to cost of service delivery. As part of the Budget and Performance Review Strand of SRRB2, the Council's Efficiency Strategy, a proactive approach to benchmarking activity costs and performance with other authorities has been agreed. A Cross Council Budget and Performance Working Group, comprising North Ayrshire, South Ayrshire, Clackmannanshire, East Renfrewshire, South Lanarkshire, Inverclyde and West Dunbartonshire has recently been established, the aim of which is to benchmark costs and performance. The information derived from this Group will be used to benchmark comparative</p>

Action Required	Lead Officer	Timetable	Progress Update
			spend and performance, drive efficiencies and reduce costs by adopting best practice from a review of processes.
<p>Make further progress in aligning community planning partners' budget contributions for key action plan priorities eg. Homecare, Social/Healthcare initiatives and Community Safety initiatives.</p>	<p>Executive Director of Finance and Corporate Support</p>	<p>March 2010</p>	<p>SOME PROGRESS The Strategic Alliance has been established and has supported the introduction of new operating arrangements for the Community Health Partnership.</p> <p>Under the banner of the Scottish Government's Shifting the Balance of Care Programme, the three Ayrshire Council's, together with NHS Ayrshire and Arran are currently participating in an Integrated Resource Framework pilot, the aim of which is to identify opportunities for a more local, integrated and effective approach to partnership working. Four Service Areas are currently being examined:-</p> <ul style="list-style-type: none"> ➤ Older People's Services (South Ayrshire); ➤ Children with complex needs (North Ayrshire); ➤ Adults with complex needs (East Ayrshire); and ➤ Chronic Obstructive Pulmonary Disease (Pan-Ayrshire). <p>East Ayrshire is currently leading on the Adults with complex needs work stream. The focus of this work is to develop protocols that describe agreed and transparent methods to allow resources to flow between partners, following the patient to the care setting that delivers the best outcomes. Early findings are expected to be reported in July 2010 with recommendations to be implementation from March 2011.</p> <p>In addition, Work has been initiated to ensure closer alignment of service delivery in relation to the development of</p>

Action Required	Lead Officer	Timetable	Progress Update
			rehabilitation and enablement services in East Ayrshire with new working practices and models of service delivery developed to ensure a single point of contact for users of rehabilitation and enablement services.
Principle 2 - Members and Officers working together to achieve a common purpose with clearly defined functions and roles			
Further develop systems and procedures for managing the scrutiny of performance information produced by the new electronic Performance Management System (EPMS).	Executive Director of Finance and Corporate Support	July 2009	ACHIEVED Real time period performance information is used to inform electronic performance scorecards for the Chief Executive and for Executive Directors and the system is used to enhance the performance information provided within the regular Finance and Service Strategy Report. Regular consideration of this Report by the Corporate Management Team, Cabinet and the Governance and Scrutiny Committee ensures a systematic approach to the reporting of performance to both Senior Officers and Elected Members.
As part of the Single Status Agreement, finalise and implement the outcome of the current review of Conditions of Service for all employees.	Head of Human Resources	December 2009	GOOD PROGRESS As part of the Single Status Agreement Cabinet agreed revised Conditions of Service on 21 April 2010. Following consideration of an appeal by the Trade Unions, the Appeals Panel on 20 May 2010 agreed that the Council and the Trade Unions should continue to meet for a maximum further period of 90 days to enable more negotiations to take place in respect of the revised Conditions of Service. This recommendation will be considered by Cabinet at its meeting on 2 June 2010. If the decision of the Appeals Panel is endorsed by Cabinet then this will mean that the implementation date will be delayed until the end of 2010/beginning of 2011.

Action Required	Lead Officer	Timetable	Progress Update
<p>Develop an Asset Management and Utilisation Plan which will include a detailed Energy Strategy to ensure that the Council is maximising the use of its physical estate.</p>	<p>Executive Head of Finance and Asset Management</p>	<p>October 2009</p>	<p>GOOD PROGRESS An Asset Management Strategy which sets out the Council's approach to the management of its property assets was agreed by Cabinet on 9 November 2009. This ensures that the Council has in place a sustainable long-term strategy for the management of its property assets.</p> <p>A data gathering exercise has recently been completed. This includes a comprehensive conditions survey and an assessment of the anticipated programmed maintenance costs over the next 15 years for all council properties. This information will be analysed and used to maximise use of the Council's estate.</p> <p>An Officer Working Group has been established to review the utilisation of Council assets within individual settlements and geographic areas to ensure that the property portfolio reflect local service delivery strategies.</p> <p>The Council's Office Accommodation Strategy was approved by Cabinet in October 2009.</p> <p>The School Estate Management Plan was approved by Cabinet in April 2010.</p> <p>Town Centre Regeneration Strategies have been agreed and are being implemented for Kilmarnock, Cumnock and Galston.</p> <p>An Energy Strategy has been drafted and is currently being reviewed by Officers to reflect the Carbon Reduction</p>

Action Required	Lead Officer	Timetable	Progress Update
			<p>Commitment accounting requirements.</p> <p>The required building blocks are now in place to take the Council's Asset Management Arrangements to the next level.</p>
<p>Principle 3 - Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour</p>			
<p>Finalise review of the Employee Code of Conduct and following completion, put in place a range of initiatives, including toolbox talks, to ensure the effective communication of the requirements of the revised Code of Conduct to all employees.</p>	<p>Head of Human Resources</p>	<p>September 2009</p>	<p>ACHIEVED Revised Employee Code of Conduct issued by Personnel Circular to all employees on 26 March 2010. Individual letter issued from the Chief Executive to all employees to highlight the key areas within the revised Code and ensure the awareness of its requirements.</p>
<p>Principle 4 - Taking informed and transparent decisions which are subject to effective scrutiny and managing risk</p>			
<p>Ensure that the new Equality Impact Assessment (EQIA) arrangements are rolled out across the Council.</p>	<p>Depute Chief Executive/Executive Director of Corporate Support</p>	<p>Ongoing from June 2009</p>	<p>ACHIEVED An extensive training programme has been put in place to ensure that staff are able to undertake Equality Impact Assessments, with a total of 75 people trained to date.</p> <p>All Service Plans have been subjected to EQIA and a total of 14 EQIAs have been completed to date. A programme to ensure that all new and existing policies subjected to review are covered by an EQIA is in place.</p>
<p>Put in place arrangements for the council-wide roll out of the new Standard Committee Reporting Format Guidance.</p>	<p>Head of Democratic Services</p>	<p>September 2009</p>	<p>SOME PROGRESS New Committee Reporting Format Guidance developed. Pilot exercise completed. New arrangements to be considered by the Corporate Management Team in August 2010.</p>

Action Required	Lead Officer	Timetable	Progress Update
Principle 5 - Developing the capacity and capability of members and officers to be effective			
Following successful pilot of new competency framework to support EAGER Review Process within the Human Resources Service, put in place arrangements for the roll out of the new Framework across the Council.	Head of Human Resources	March 2010	ACHIEVED New Competency Framework piloted in the Human Resource Service. A report on the outcome of this pilot exercise and on proposals for the Council wide roll out of the new arrangements was agreed by the Corporate Management Team on 26 May and is scheduled to be considered by Cabinet on 23 June 2010.
Finalise arrangements for undertaking training needs analysis for Elected Members and develop individual development plans for each Elected Member.	Head of Democratic Services	September 2008	GOOD PROGRESS Elected Member Learning and Development Strategy agreed by Council on 25 June 2009. Training Needs Analysis currently being undertaken for all Elected Members from which development interventions will be identified and delivered through personal development plans for each Elected Member. Personal Development Plans for each Elected Member are anticipated to be agreed by July 2010.
Principle 6 - Engaging with local people and other stakeholders to ensure robust public accountability			
Following publication of the Equality Bill in April 2009, further explore the possibility of developing a Community Planning Partnership wide single scheme to cover Gender, Race and Disability with a view to this being in place by 2011.	Head of Human Resources	March 2011	GOOD PROGRESS Investigations have established that a single scheme covering all Community Planning Partners would not allow the Council or its Partners to meet their statutory obligations. A single scheme covering Gender, Race and Disability within the Council as a single entity is being progressed and this is on scheduled to be in place by March 2011.
Review and integrate existing performance reporting arrangements for the Single Outcome Agreement and Community Plan Thematic Action Plans for implementation from 2010/11.	Depute Chief Executive/ Executive Director of Corporate	September 2010	SOME PROGRESS Interim arrangements have been put in place to align the timing and reporting templates for the Single Outcome Agreement and Community Plan Thematic Action Plans.

Action Required	Lead Officer	Timetable	Progress Update
	Support		Further integration of reporting arrangements will take place following completion of the current 4 yearly review of the Community Plan and Thematic Action plans and agreement of the new SOA for 2011-15.
Develop and implement a communications framework to support the Council in achieving its strategic priorities	Head of Democratic Services	September 2009	<p>GOOD PROGRESS</p> <p>Communications Officer Working Group established to undertake an audit of all internal and external communications currently undertaken. This will review links between the existing communications framework, organisational development and information technology to exploit new technologies in communicating with both employees and service users.</p> <p>In addition, a review of corporate branding and corporate communication mechanisms has been completed and this resulted in increased use of web technologies to communicate with staff though for example the new e-words staff magazine.</p>

Local Code of Corporate Governance 2010/11

The Council's Local Code of Corporate Governance 2010/11 reflects the requirements of the CIPFA/SOLACE Delivering Good Governance in Local Government Framework published in 2007 and the supporting Guidance Note for Scottish Authorities published in May 2008. For each of the six core principles of good governance outlined in the Good Governance Standard for Public Services (2004), the new CIPFA/SOLACE Delivering Good Governance in Local Government Framework provides supporting principles and a range of specific requirements that should be reflected in local authorities' Local Codes of Corporate Governance. The supporting Guidance for Scottish Authorities provides more detail on examples of evidence such as systems, processes and documentation that may be used to demonstrate local compliance with these principles. The CIPFA/SOLACE template detailed within the Guidance for Scottish Authorities has been followed in developing this authority's Local Code.

CORE PRINCIPLE 1

Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
<p>Supporting Principle 1 Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcomes for citizens and service user</p>			
<p>Develop and promote the authority's purpose and vision.</p>	<p>Authority's updated, approved and published corporate plan, which has been reviewed within the last 12 months.</p>	<ul style="list-style-type: none"> ◆ The Council's vision is in place; ◆ The Council's Core Values:- Quality, Equality, Access and Partnership; ◆ Community Plan adopted as sovereign planning document (One Council One Plan); ◆ First 4 Yearly review of the Community Plan completed 2007; ◆ Second 4 yearly review of the Community Plan currently in progress; ◆ Community Planning Partnership Vision and Guiding Principles; ◆ East Ayrshire Community Planning Partnership Single Outcome Agreement 2008-2011 (SOA) signed off by Community Planning Partners and the Scottish Government on 2 July 2008. ◆ Updated and revised Single Outcome Agreement signed off by all Community Planning Partners and approved by the Scottish Government in July 2009. ◆ Midterm Review of Community Planning Thematic Action Plans completed and approved by Cabinet on 1 April 2009. Thematic Action Plans reduced from six to four, as follows: <ul style="list-style-type: none"> ○ Promoting Lifelong Learning; ○ Delivering Community Regeneration; and ○ Improving Community Safety; and ○ Improving Health and Wellbeing ◆ Strategic Direction workshop facilitated by Prof Alan Alexander held on 23 November 2008. Key priorities identified namely: Improving Educational Attainment, Town Centre Regeneration and New Council Housing have been incorporated into budgetary process and are reflected in the new Community Planning Thematic Action Plans; ◆ Annual reporting on progress against the SOA and Community Plan Action Plans. 	<p style="text-align: center;">5</p>

Local Code of Corporate Governance 2010/11

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
	Clear terms of reference are set for the preparation of service plans to ensure fit with the corporate plan.	<ul style="list-style-type: none"> ◆ Corporate Guidance on Service Planning (July 2008) in place and used by Service Managers to prepare their 2009/10 Service Plans. This has:- <ul style="list-style-type: none"> ○ Embed new performance indicators and targets; ○ Linked service performance and financial and other resources; ○ Linked Service planning with Community Planning and SOA objectives; ○ Provided comparative analysis to demonstrate clearly potential for improvement. ◆ Guidance on Service Planning revised and re-issued November 2009 to facilitate the update of Service Plans for 2010/11. 	4
	Service plans clearly reflect corporate objectives.	<ul style="list-style-type: none"> ◆ The Corporate Guidance on Service Planning (November 2009) ensures clear linkages between Service Planning and Community Planning/SOA Objectives. 	4
	Communication strategy in respect of corporate objectives has been developed, approved and implemented.	<ul style="list-style-type: none"> ◆ New Community planning structures involving Community Representatives and representation from Partner Organisations facilitate effective communication of Community Planning objectives; ◆ Dedicated Community Planning Website reviewed and regularly updated; ◆ Community Plan Workbook/Toolbox distributed; ◆ Six Community Planning Bulletins issued and Topic Specific 'Quick Word About' brochures (41 in total) continue to be issued on a range of pertinent topics; ◆ 'The Work that you Do' brochure developed (2008), printed and distributed to raise awareness of the contribution of Council staff to the Community Planning agenda; ◆ 'Work that we Do', 'Work that they Do' and the 'Work that Schools Do' brochures have been printed and distributed to raise awareness of partnership, voluntary and community, and the schools sector's contribution to the Community Planning agenda. ◆ Extensive Community consultation undertaken to inform the first 4 yearly review of the Community Plan and the mid-term review of Thematic Action Plans; ◆ Extensive engagement exercise underway to inform the second 4 yearly review of the Community Plan; ◆ Extensive community consultation including a budget workshop used to inform the 2010/11 budget; ◆ Annual Community and Voluntary Sector briefings held to publicise Community Planning objectives; ◆ Community Planning Awards. 	5
	Documented meetings across services to discuss key objectives in corporate and service plans.	<ul style="list-style-type: none"> ◆ Community Planning considered as a standing item at Team Meetings across the Council; ◆ 4 Community Plan Thematic Working Groups (multi disciplinary and multi agency) meet routinely to review progress against key objectives contained within the Thematic Community Planning Action Plans; ◆ Chief Executive's one to one meetings with Executive Directors to Review Performance; 	4

Local Code of Corporate Governance 2010/11

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<ul style="list-style-type: none"> ◆ Corporate Management Team Meetings, Departmental Management Team Meetings and Service Team meetings routinely consider and review progress against key objectives. 	
Review on a regular basis the authority's vision for the local area and its implications for the authority's governance arrangements.	Record of the review of the authority's vision. Review of governance code.	<ul style="list-style-type: none"> ◆ First 4-yearly review of Community Plan and Thematic Action Plans undertaken. Community Plan Review Supplement issued and revised. Thematic Action Plans agreed for full implementation from 1 April 2007; ◆ Strategic Direction workshop facilitated by Prof Alan Alexander held on 23 November 2008. Key priorities identified namely: Improving Educational Attainment, Town Centre Regeneration and New Council Housing have been incorporated into budgetary process and are reflected in the new Community Planning Thematic Action Plans; ◆ Midterm Review of Community Planning Thematic Action Plans completed and approved by Cabinet on 1 April 2009. Thematic Action Plans reduced from six to four; ◆ Updated and revised Single Outcome Agreement signed off by all Community Planning Partners and approved by the Scottish Government in July 2009. ◆ Local Code of Corporate Governance revised and updated in June 2009 to reflect the CIPFA/SOLACE Delivering Good Governance Framework and associated Guidance Note for Scottish Local Authorities; ◆ Annual Corporate Governance Improvement Action Plan agreed. 	5
	A record 'signed off' and publicised describing arrangement for deciding on the authority's purpose and vision statement. An assessment of the impact of changes in the vision document.	<ul style="list-style-type: none"> ◆ Review Supplement of Community Plan published and issued following first 4 yearly review of the Community Plan, supported by the publication of revised Thematic Action Plans agreed for full implementation from 1 April 2007. This review involved an extensive community and stakeholder consultation exercise and was 'signed off' by Cabinet and the Community Planning Partnership Board; ◆ Extensive engagement exercise underway to inform the second 4 yearly review of the Community Plan; ◆ Strategic Direction workshop facilitated by Prof Alan Alexander held on 23 November 2008. Key priorities identified namely: Improving Educational Attainment, Town Centre Regeneration and New Council Housing have been incorporated into budgetary process and are reflected in the new Community Planning Thematic Action Plans; ◆ Midterm Review of Community Planning Thematic Action Plans completed and approved by Cabinet on 1 April 2009. Thematic Action Plans reduced from six to four; ◆ Partnership Assessment Framework utilised during the 2009 midterm review of Community Planning. 	5
	Specific requirement within service plan templates for information about users'	<ul style="list-style-type: none"> ◆ New Corporate Guidance on Service Planning (revised and re-issued November 2009) ensures that stakeholder expectations and feedback is reflected in Service Plans and is used to inform service planning decision making. 	4

Local Code of Corporate Governance 2010/11

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
	experience of services and that this information is considered within service planning decision making.		
Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners.	A fully signed off and published community plan which states the vision and purpose of the partnership.	<ul style="list-style-type: none"> ◆ Community Plan adopted as sovereign planning document (One Council One Plan); ◆ Community Planning Partnership Vision and Guiding Principles; ◆ First 4 Yearly review of the Community Plan completed 2007; ◆ Extensive engagement exercise underway to inform the second 4 yearly review of the Community Plan; ◆ Strategic Direction workshop facilitated by Prof Alan Alexander held on 23 November 2008. Key priorities identified namely: Improving Educational Attainment, Town Centre Regeneration and New Council Housing have been incorporated into budgetary process and are reflected in the new Community Plan Thematic Action Plans; ◆ Midterm Review of Community Plan Thematic Action Plans completed and approved by Cabinet on 1 April 2009. Thematic Action Plans reduced from six to four, as follows: <ul style="list-style-type: none"> ◆ Promoting Lifelong Learning; ◆ Delivering Community Regeneration; and ◆ Improving Community Safety; and ◆ Improving Health and Wellbeing ◆ East Ayrshire Community Planning Partnership Single Outcome Agreement 2008-2011 (SOA) signed off by Community Planning Partners and the Scottish Government on 2 July 2008. ◆ Updated and revised Single Outcome Agreement signed off by all Community Planning Partners and approved by the Scottish Government in July 2009. 	5
	A documented record of the process to be undergone to determine the vision and review of the vision of the partnership.	<ul style="list-style-type: none"> ◆ Fully documented 4 Yearly review of the Community Plan involving extensive public consultation completed 2007; ◆ Extensive engagement exercise underway to inform the second 4 yearly review of the Community Plan; ◆ Strategic Direction workshop facilitated by Prof Alan Alexander held on 23 November 2008. Key priorities identified namely: Improving Educational Attainment, Town Centre Regeneration and New Council Housing have been incorporated into budgetary process and are reflected in the new Community Plan Thematic Action Plans; ◆ Midterm Review of Community Planning Thematic Action Plans completed and approved by Cabinet on 1 April 2009. Thematic Action Plans reduced from six to four; ◆ Updated and revised Single Outcome Agreement signed off by all Community Planning Partners and approved by the Scottish Government in July 2009. 	5

Local Code of Corporate Governance 2010/11

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
	<p>Agreement regarding the role and scope of each partner's contribution to the task.</p>	<ul style="list-style-type: none"> ◆ Annual reporting on progress against Community Plan Action Plans and the SOA. ◆ Core Partner obligations in respect of Community Planning are outlined in statutory provision within the Local Government in Scotland Act 2003 and Associated Guidance; ◆ Council and Community Planning Partnership Structures and processes reflect and comply with statutory requirements; ◆ The Council leads and facilitates Community Planning and has appointed a dedicated Community Planning and Partnership Manager to lead this task; ◆ Community Planning is driven forward through the following key Structures:- <ul style="list-style-type: none"> ○ Community Planning Partnership Board; ○ Community Planning Joint Officers Group; ○ Thematic Action Plan Working Groups; ○ 4 Local Community Planning Forums; ○ Federations of Community Groups; ○ Equalities Forum, Supported by four Equalities Networks (Disability, Gender, Black and Ethnic Minority Communities and Older People); ○ Children and Young Peoples Forum. ◆ Terms of reference and responsibilities for these key structures have been agreed by Community Planning Partners and are outlined within the Community Planning Partnership Operating Arrangements; ◆ Community Planning Partnership Board on 30 April 2009 considered annual review and agreed that decision making structures were fit for purpose; ◆ Cross Agency Lead Officer Responsibility has been allocated for each of the 4 Community Planning Thematic Action Plans; ◆ Thematic Action Plans identify Community Planning Partners' involvement in each action point; ◆ Positive evaluation of the effectiveness of the Local Community Planning Forums against the National Standards for Community Engagement and from Community Representatives and Partners was achieved in February 2010. 	5
	<p>Evidence of the compatibility between the partnership goals and the goals of the local authority.</p>	<ul style="list-style-type: none"> ◆ Community Plan adopted as sovereign planning document within the Council (One Council One Plan) and by the Community Planning Partnership Board; ◆ The new Corporate Guidance on Service Planning (revised and re-issued November 2009) ensures clear linkages between Service Planning and Community Planning/SOA Objectives. 	6
<p>Publish an annual report on a timely basis to communicate the authority's activities and</p>	<p>Formal annual report which includes the key points raised by external scrutineers and satisfies the</p>	<ul style="list-style-type: none"> ◆ New Annual Performance Report gives information on where further information can be sought on the results of external audits and inspections including detailing of inspectorate such as Audit Scotland, HMie, SWIA etc; ◆ The results of all major external inspections will be made available to the public on the 	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
achievements, its financial position and performance.	requirement to report on outcomes as part of a Single Outcome Agreement.	<p>Council's website;</p> <ul style="list-style-type: none"> ◆ Annual performance reports on each of the four Community Planning Thematic Action Plans are reported to relevant decision making forums and published on the Council's website; ◆ SOA annual Performance Report agreed and presented to the Scottish Government in September each year (Report available on the Council's website). 	
	Annual Financial statements.	<ul style="list-style-type: none"> ◆ Annual Accounts Published in hard copy and on the Council's website; ◆ Full financial statements prepared in accordance with the Accounting Code of Practice; ◆ Summary of financial statements provided within the annual Public Performance Report; ◆ 'Financial Strategy' published, linking budgets to service pressures and objectives for the coming year. 	5
	Annual report which includes service users' feedback on service delivery.	<ul style="list-style-type: none"> ◆ Community Planning Residents Survey undertaken every 3 years (last survey 2008). Results published on Community Planning Website and through the Council's Local Office and Library network; ◆ New Annual Performance Report published annually in June will be available electronically on the Council's website and at all Local Offices and Libraries and includes provision for service user feedback. 	4
Decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available.	An agreed set of quality standard measures which have been established and approved for each service element and are included in service plans.	<ul style="list-style-type: none"> ◆ Customer First Service Commitment (currently being reviewed); ◆ Service Planning arrangements include service standards; ◆ It's Better to Listen Complaints Policy and Procedures in place (This policy is currently under review); 	4
	<p>Clear processes in place to hear the views of users and non-users from all backgrounds about the suitability and quality of services.</p> <p>Evidence that these views have been taken into account in service planning and delivery.</p>	<ul style="list-style-type: none"> ◆ Community Planning structures have been agreed to ensure that people and communities are genuinely engaged in decisions about public services which affect them, Structures in place include:- <ul style="list-style-type: none"> ○ Community Planning Partnership Board (Including Community Representatives); ○ Community Planning Joint Officers Group; ○ Thematic Action Plan Working Groups; ○ 4 Local Community Planning Forums; ○ Federations of Community Groups; ○ Equalities Forum, Supported by four Equalities Networks (Disability, Gender, Black and Ethnic Minority Communities and Older People); ○ Children and Young Peoples Forum; ○ Community Planning Residents Panel and Focus Groups. 	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<ul style="list-style-type: none"> ◆ Annual Consultation Plan in place; ◆ Three yearly Community Planning Residents Survey (last survey 2008); ◆ Community consultations inform the mid-term review of Community Plan Action Plans and the <i>First 4</i> Yearly review of Community Plan; ◆ <i>Extensive engagement exercise underway to inform the second 4 yearly review of the Community Plan;</i> ◆ National Standards for Community Engagement have been adopted by all Community Planning Partners; ◆ Annual Community and Voluntary Sector briefings held to hear the communities/third sector's views on Community Planning/SOA objectives; ◆ Community Planning Awards invite nominations from the public; ◆ New Service Plans reflect Customer/Stakeholder expectations; ◆ The Council's comments and suggestions scheme; ◆ <i>Extensive community consultation including a budget workshop used to inform the 2010/11 budget and to assess priorities for future financial years in recognition of anticipated financial pressures;</i> ◆ Customer/User Satisfaction Surveys and Questionnaires; ◆ Other Stakeholder Consultations; ◆ Council for Voluntary Organisations Partnership; ◆ Community Safety Partnership; ◆ Registered Social Landlords; ◆ Registered Tenants Organisations; ◆ Tenant Participation Steering Group; ◆ Tenant Satisfaction Survey; ◆ Annual Council House Tenant Conference; ◆ East Ayrshire Residents' Syndicate Group; ◆ Rent Consultations; ◆ Housing Stock Options Appraisal Consultation; ◆ <i>Housing Allocation Policy Review consultation;</i> ◆ Leisure Services consultation/focus group exercises (DCCP, EALRIS, A&M, LD, OA, and CR); ◆ Children and Young People Forum; ◆ Youth Forum/Pupil Forum in all schools; ◆ Early Years Forum; ◆ 2 yearly sample stakeholder surveys of pupils, parents and teachers in all schools; 	

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<ul style="list-style-type: none"> ◆ Out of School Care Network; ◆ Children's Services Forum; ◆ Children's Service Plan Annual Seminar; ◆ Parental Involvement Strategy Group meetings and steering Group/Stakeholder Surveys; ◆ The Pupil Council Forum meets with the Executive Director and Spokespersons for Lifelong Learning; ◆ Community Based Adult Learning consultation; ◆ Adult Education Programme consultation; ◆ Consultation on the Future of Educational Provision for Pupils in Crossroads Primary School; ◆ The production of the Local Transport Strategy involved rigorous consultation with community organisations; ◆ Kilmarnock Town Centre Regeneration consultation Strategy agreed; ◆ Cumnock Town Centre Regeneration Information Office and Consultation meetings; ◆ Dumfries Estate Core Team and Community Consultations; ◆ Employability Services consultation; ◆ Race Equality Scheme; ◆ East Ayrshire North and Cumnock and Doon Valley Access Panels; ◆ Statutory consultation with Community Councils; ◆ Review of the Community Council Scheme ◆ Networking arrangements with the Third Sector - interface development ; ◆ Leisure and Cultural Strategy Consultation. ◆ Carers Strategy Partnership Working Event (June 2008) (Social Work); ◆ Carers Action Plan 2009/11 consultation; ◆ Meals at Home Service: Service Quality and Service user Satisfaction Survey undertaken in conjunction with Stirling University (Community Care); ◆ Involvement of service users and carers in recruitment processes (Social Work); ◆ Involvement of service users and carers in redesign of services (Social Work); ◆ Annual Older Peoples' conference. 	
	<p>Comparison of information on quality of service provided by similar organisations; analysis where quality levels are different.</p>	<ul style="list-style-type: none"> ◆ New Electronic Performance Management System now operational and populated with a wide range of performance indicators agreed following a comprehensive review of performance indicators across all Council services. The new system includes a SPI benchmarking database which facilitates comparative performance analysis and reporting across all 32 Scottish authorities for the last 4 years. Where available, benchmarking of local performance indicators is included within the new Electronic Performance Management System; 	4

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<ul style="list-style-type: none"> ◆ Best Value Audit process; ◆ Positive Best Value 2 Audit Report; ◆ Best Value Service Review; ◆ Annual EFQM Assessments; ◆ Self evaluation in relation to external inspection requirements eg HIME inspection of Child Protection Services, SWIA Performance Inspection of Social Work services, multi agency inspections of criminal justice and learning disability services; ◆ Participation in Benchmarking Clubs; ◆ Participation in Local Authority ABC Benchmarking Partnership; ◆ Management Information Systems; ◆ Comparison of performance with other Scottish Councils against Statutory Performance Indicators; ◆ Stakeholder perception surveys; ◆ Strategic Review of Revenue Budget (SRRB); ◆ SRRB2 Efficiency Strategy - Cross Council Officer Budget and Performance Working Group established to benchmark comparative spend and performance and use this information to drive efficiencies; ◆ Annual JPIAF and Community Care Outcomes Framework submissions (Community Care); ◆ Scottish Community Care Benchmarking Network. 	
Put in place effective arrangements to identify and deal with failure in service delivery.	<p>Regular reports produced on progress on service delivery.</p> <p>Performance trends are established and reported on.</p> <p>Committee reports summarising complaints dealt with, analysed by outcome.</p>	<ul style="list-style-type: none"> ◆ New Electronic Performance Management System (EPMS) now operational and populated with a wide range of performance indicators agreed following a comprehensive review of performance indicators across all Council services; ◆ Chief Executive's and Executive Directors' Performance Scorecards updated with real time period performance information and reported using EPMS; ◆ Consideration of the Finance and Service Strategy Report by the Corporate Management Team, Cabinet and the Governance and Scrutiny Committee ensures a systematic approach to the reporting of performance to both Senior Officers and Elected Members. ◆ Annual performance reports on each of the four Community Planning Thematic Action Plans are reported to relevant decision making forums and published on the Council's website; ◆ Dedicated Elected Member and CPP Board review sessions carried out on SOA progress during the first year; ◆ SOA annual Performance Report agreed and presented to the Scottish Government in September each year (Report available on the Council's website). ◆ One of the key functions of the Governance and Scrutiny Committee is to effectively monitor 	4 5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<p>performance. It undertakes an investigatory role to deal with and make recommendations for remedial action as required to address performance failure;</p> <ul style="list-style-type: none"> ◆ Chief Executive's one to one meetings with Executive Directors to Review Performance; ◆ Appraisal arrangements for Chief Officers; ◆ Corporate Strategic Self Assessment of Performance; ◆ Best Value Audit process; ◆ Best Value Service Review; ◆ Annual EFQM Assessments; ◆ Self evaluation in relation to external inspection requirements eg HIME inspection of Child Protection Services, SWIA Performance Inspection of Social Work services, multi agency inspections of criminal justice and learning disability services; ◆ Participation in Benchmarking Clubs; ◆ Participation in Local Authority ABC Benchmarking Partnership; ◆ Scottish Community Care Benchmarking Network; ◆ Management Information Systems; ◆ Comparison of performance with other Scottish Councils against Statutory Performance Indicators; ◆ Stakeholder perception surveys; ◆ A summary of complaints received is reported annually to Council. Future reporting arrangements will be considered and revised as part of the ongoing review of the Council's Complaints Policy; ◆ Community Care Local Improvement Targets (as part of JPIAF/Community Care Outcomes submissions); ◆ Child Protection Committee: Significant Incident Reviews; ◆ Child Protection Committee Annual Report and Business Plan (multi agency); ◆ Integrated Children and Young Peoples' Service Plan (multi agency); ◆ Standards and Quality Report (ESS). 	
	Formally approved complaints policy and procedure exists and has been reviewed and updated regularly; leaflets/posters to raise awareness amongst the public of the procedure.	<ul style="list-style-type: none"> ◆ It's Better to Listen Complaints Policy and Procedures in place (This policy is currently under review); ◆ Social Work Complaints Policy and Procedure (statutory requirement but aligned with corporate policy) in place. (Currently under review); ◆ It's Better to Listen leaflets available in all public offices; ◆ Council Website contains on-line information on complaints and electronic complaints handling facility is in place; ◆ Customer First Service Commitment (currently being reviewed), including complaints commitment displayed in all public offices. 	4

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
	A complaints system which records action taken to prevent complaints recurring.	<ul style="list-style-type: none"> ◆ Complaints recording and reporting systems include provision of improvement action taken to prevent recurrence of complaints. 	4
	Evidence that complaints have informed positive service improvement.	<ul style="list-style-type: none"> ◆ Complaints recording and reporting systems include provision of improvement action taken to improve service delivery arrangements. 	4
	Staff have been trained in dealing with complaints and are empowered and supported to deal with complaints.	<ul style="list-style-type: none"> ◆ Induction training covers complaints handling and front line staff in particular have been empowered and supported to deal with and respond to complaints. ◆ Customer Service Professional Qualification for staff introduced structured learning and support around our customer service activity. First graduates qualified in 2009. 	4
	One unrefined approach to complaint handling across the organisation with a common point of entry (and this extends to include community planning partnerships).	<ul style="list-style-type: none"> ◆ It's Better to Listen Complaints Policy and Procedures in place (This policy is currently under review); ◆ Social Work Complaints Policy and Procedure (statutory requirement but aligned with corporate policy) in place. Currently under review); ◆ Head of Democratic Services allocated responsibility for the corporate co-ordination of complaints across the Council. 	4
	Regular testing of complaints handling system to ensure it meets consumer needs and expectations.	<ul style="list-style-type: none"> ◆ It's Better to Listen Complaints Policy and Procedures (and Social Work Complaints Policy and Procedure) are currently the subject of a comprehensive review which will test the effectiveness of existing complaints mechanisms in place with a view to improving current arrangements. 	4
	An audit committee whose remit covers all types of control (not just financial).	<ul style="list-style-type: none"> ◆ Revised decision making structure implemented incorporating a dedicated Governance and Scrutiny Committee. The Governance and Scrutiny Committee is fully Compliant with Audit Committee Principles and has overall responsibility for scrutiny and review including:- <ul style="list-style-type: none"> ○ Holding the Executive/Cabinet to account by dealing with decisions that have been called in; ○ Performance review and Best Value, resources, audit, risk management and corporate governance matters; ○ Promoting and maintaining high standards of conduct amongst Members; ○ Making recommendations to the Executive/Cabinet and/or Council; ○ Setting and monitoring annual scrutiny work programmes; ○ Selection of inquiry topics and approval of project outlines and plans. ◆ A wide ranging programme of scrutiny and review has been agreed for and is being undertaken by 	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<p>the Governance and Scrutiny Committee;</p> <p>◆ <i>Review of Council's decision making structure reported to Council in October 2009 endorsed the work of the Governance and Scrutiny Committee.</i></p>	
	<p>External assurance reports are collated centrally and reports are reviewed by relevant senior management teams and reported to appropriate committee.</p>	<p>◆ Common Protocol for responding to External Audits and Inspections agreed by CMT April 2007;</p> <p>◆ Corporate Business Manager appointed to Chief Executive's Office to ensure a co-ordinated approach to external inspection in conjunction with Senior Officers in relevant services;</p> <p>◆ Best Value and Performance Unit responsible for co-ordinating the Council's Best Value and Community Planning Audit arrangements;</p> <p>◆ Corporate Management Team receive reports on all major external inspections;</p> <p>◆ The outcomes of all major external inspections are reported to Council and Cabinet where appropriate and in all cases to the Governance and Scrutiny Committee;</p> <p>◆ <i>A database of all external inspection reports has been established to track and monitor required improvement actions.</i></p>	5
	<p>In response to external assurance reports, action plans are prepared and approved as appropriate.</p>	<p>◆ Improvement Action Plans are agreed as appropriate in response to external inspections including:-</p> <ul style="list-style-type: none"> ○ Best Value and Community Planning Audit; ○ HMle Inspections; ○ INEA; ○ Care Commission Inspections; ○ SWIA Inspections; ○ Scottish Housing Regulator Inspections; ○ External Audit Reports; ○ Statutory Reports; ○ Statutory Performance Indicators Audit; ○ Food Standards Agency Inspections; ○ Health and Safety Executive; ○ RIPSAs; ○ Local Government Ombudsman; 	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<ul style="list-style-type: none"> ○ CIPFA; ○ ISO 9000:2000; ○ National Review of Building Standards. <p>◆ <i>A database of all external inspection reports has been established to track and monitor required improvement actions.</i></p>	
	<p>Follow-up reports on recommendations are requested and reviewed by the relevant senior management team and progress is regularly reported to the relevant committee.</p>	<p>◆ Update reports on progress in implementing actions agreed as a result of external inspections and audits are considered by:-</p> <ul style="list-style-type: none"> ○ Council; ○ Cabinet; ○ Governance and Scrutiny Committee; ○ CMT; ○ DMT; ○ Team Meetings. <p>As considered appropriate for each inspection.</p> <p>◆ <i>A database of all external inspection reports has been established to track and monitor required improvement actions.</i></p>	5
<p>Decide how value for money is to be measured and make sure that the authority or partnership has the information needed to review value for money and performance effectively. Measure the environmental impact of policies, plans and decisions.</p>	<p>Clear corporate instruction on how to measure VFM and a corporate requirement to monitor VFM.</p>	<p>◆ New configuration of service units agreed following review of Best Value Service Review process and timetable for 2007-2010 Best Value Service Review Programme agreed;</p> <p>◆ Best Value Service Review Guidance including requirement to:-</p> <ul style="list-style-type: none"> ○ Challenge; ○ Consult; ○ Compare; ○ Compete. <p>◆ Guidance on Business Reviews;</p> <p>◆ Value for money requirements embedded in the Council's Financial Regulations;</p> <p>◆ Annual EFQM Self Assessment Process (including use of alternative service specific models which are derived from and aligned with EFQM model where appropriate eg SWIA self evaluation model in Social Work, QMIE in Education);</p> <p>◆ EFQM Pathway Question Sets and scoring matrix for Self Assessment;</p> <p>◆ Self evaluation in relation to external inspection requirements eg HMIE inspection of Child Protection Services, SWIA Performance Inspection of Social Work services, multi agency inspections of criminal justice and learning disability services;</p> <p>◆ Corporate Procurement Strategy and e-Procurement arrangements in place;</p> <p>◆ Strategic Review of the Revenue Budget Exercise (SRRB) completed;</p> <p>◆ <i>SRRB2 Efficiency Strategy 2011/12-2013/14 approved by Cabinet on 19 May 2010;</i></p>	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<ul style="list-style-type: none"> ◆ Value for Money Reports; ◆ The Council's efficiency statement is reported annually in accordance with Scottish Government requirements; 2008/09 return reported £8.317 million efficiency savings; ◆ 22 Business Reviews instigated during the 2009/10 budget process. 13 Reviews now completed delivering efficiencies of £3.041m, outstanding reviews will form part of the Council's SRRB2 Efficiency Strategy. ◆ Social Work Sustainability Board established and Review Programme agreed. To date Social Work Sustainability Review has released efficiency savings of £1.6 Million from Care and Homecare services and identified a further £1 Million of efficiencies in Adult Services to offset overall re-investment required across the Social Work Service; ◆ National Shared Services Diagnostic Review. Business cases developed for:- <ul style="list-style-type: none"> ○ Clerical and Administrative Support Functions; ○ ICT Support within Schools; ○ Central Purchasing Unit; ○ Document Imaging. 	
	Compare information about the economy, efficiency and effectiveness of service provided by similar organisations and analyses where levels are different.	<ul style="list-style-type: none"> ◆ New Electronic Performance Management System now operational and populated with a wide range of performance indicators agreed following a comprehensive review of performance indicators across all Council services. The new system includes a SPI benchmarking database which facilitates comparative performance analysis and reporting across all 32 Scottish authorities for the last 4 years. Where available, benchmarking of local performance indicators is also be included within the new Electronic Performance Management System; ◆ Best Value Audit process; ◆ Best Value Service Reviews; ◆ Individual Service Business Reviews; ◆ Annual EFQM Assessments ; (including use of alternative service specific models which are derived from and aligned with EFQM model where appropriate eg SWIA self evaluation model in Social Work, QMIE in Education); ◆ EFQM Pathway Question Sets and scoring matrix for Self Assessment; ◆ Self evaluation in relation to external inspection requirements eg HMIE inspection of Child Protection Services, SWIA Performance Inspection of Social Work services, multi agency inspections of criminal justice and learning disability services; ◆ Participation in Benchmarking Clubs; ◆ Participation in Local Authority ABC Benchmarking Partnership; ◆ Management Information Systems; ◆ Comparison of performance with other Scottish Councils against Statutory Performance 	4

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		Indicators; <ul style="list-style-type: none"> ◆ Stakeholder perception surveys; ◆ Strategic Review of Revenue Budget (SRRB); ◆ SRRB2 Efficiency Strategy - Cross Council Officer Budget and Performance Working Group established to benchmark comparative spend and performance and use this information to drive efficiencies; ◆ National Shared Services Diagnostic Review; ◆ Annual JPIAF and Community Care Outcomes Framework submissions (Community Care); ◆ Scottish Community Care Benchmarking Network. 	
	Corporate framework/guidance for assessing the environmental impact of policies, plans and decisions.	<ul style="list-style-type: none"> ◆ Strategic Environmental Assessment used to assess the environmental impact of policies, plans and strategies, including: <ul style="list-style-type: none"> ○ Local Transport Strategy; ○ Local Plan; ○ Cumnock Town Centre Strategy; ○ Core Paths Plan; ○ Open Space Strategy; ○ Leisure and Cultural Strategy; ○ Sustainable Development Strategy. 	4
	Costs compare well with others, allowing for external factors.	<ul style="list-style-type: none"> ◆ New Electronic Performance Management System now operational and populated with a wide range of performance indicators agreed following a comprehensive review of performance indicators across all Council services. The new system includes a SPI benchmarking database which facilitates comparative performance analysis and reporting across all 32 Scottish authorities for the last 4 years. Where available, benchmarking of local performance indicators is included within the new Electronic Performance Management System; ◆ Best Value Service Reviews; ◆ Annual EFQM Assessments (including use of alternative service specific models which are derived from and aligned with EFQM model where appropriate eg SWIA self evaluation model in Social Work, QMIE in Education); ◆ EFQM Pathway Question Sets and scoring matrix for Self Assessment; ◆ Self evaluation in relation to external inspection requirements eg HMIE inspection of Child Protection Services, SWIA Performance Inspection of Social Work services, multi agency inspections of criminal justice and learning disability services; ◆ Participation in Benchmarking Clubs; ◆ Participation in Local Authority ABC Benchmarking Partnership; ◆ Scottish Community Care Benchmarking Network; 	4

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<ul style="list-style-type: none"> ◆ Comparison of performance with other Scottish Councils against Statutory Performance Indicators; ◆ Chief Executive's Performance Review and Monitoring for Executive Directors; ◆ Strategic Review of Revenue Budget (SRRB); ◆ SRRB2 Efficiency Strategy - Cross Council Officer Budget and Performance Working Group established to benchmark comparative spend and performance and use this information to drive efficiencies; ◆ The Council's efficiency statement is reported annually in accordance with Scottish Government requirements; 2008/09 return reported £8.317 million efficiency savings; ◆ National Procurement Contracts in use. 	
	<p>Costs are commensurate with service delivery, performance and outcomes achieved.</p>	<ul style="list-style-type: none"> ◆ Best Value Service Reviews; ◆ New Service Plans in place for 2010/11 for all services and linked to 3 year budget. Service Plans will be reviewed annually to reflect any changes in service delivery arrangements and will be used as bidding documents to inform the annual budget setting process; ◆ Annual EFQM Assessments(including use of alternative service specific models which are derived from and aligned with EFQM model where appropriate eg SWIA self evaluation model in Social Work, QMIE in Education);; ◆ EFQM Pathway Question Sets and scoring matrix for Self Assessment; ◆ Self evaluation in relation to external inspection requirements eg HMIE inspection of Child Protection Services, SWIA Performance Inspection of Social Work services, multi agency inspections of criminal justice and learning disability services; ◆ Participation in Benchmarking Clubs; ◆ Participation in Local Authority ABC Benchmarking Partnership; ◆ Comparison of performance with other Scottish Councils against Statutory Performance Indicators; ◆ Chief Executive's Performance Review and Monitoring for Executive Directors; ◆ Strategic Review of Revenue Budget (SRRB); ◆ SRRB2 Efficiency Strategy - Cross Council Officer Budget and Performance Working Group established to benchmark comparative spend and performance and use this information to drive efficiencies; ◆ Concordat Commitments fully costed and included within 2009/10 budget; ◆ Single Outcome Agreement measures; ◆ Annual JPIAF and Community Care Outcomes Framework submissions (Community Care); ◆ Scottish Community Care Benchmarking Network. 	4

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
	Authority has improved VFM and achieved efficiency gains.	<ul style="list-style-type: none"> ◆ Outcomes of Best Value Service Reviews; ◆ Annual budget efficiency targets set within annual financial planning framework have been achieved year on year; ◆ The Council's annual efficiency statement provides details of efficiency gains achieved across the Council. 2008/09 return reported £8.317 million efficiency savings; ◆ Within Audit Scotland's Report on Improving Public Sector Efficiencies, two of the seven case studies used to extend best practice related to initiatives in East Ayrshire. ◆ Outcome of the Strategic Review of Revenue Budget (SRRB); ◆ SRRB2 Efficiency Strategy 2011/12-2013/14 approved by Cabinet on 19 May 2010; ◆ Outcomes of Business Reviews; ◆ Significant cost savings achieved through the ongoing implementation of the Corporate Procurement Strategy and e-Procurement arrangements across the Council; ◆ 22 Business Reviews instigated during the 2009/10 budget process. 13 Reviews now completed delivering efficiencies of £3.041m, outstanding reviews will form part of the Council's SRRB2 Efficiency Strategy; ◆ A wide range of shared services arrangements are in place between the 3 Ayrshire Authorities. These take advantage of economies of scale and generate efficiency gains through the joint delivery of services on an all Ayrshire basis; ◆ Social Work Sustainability Board established and Review Programme agreed. To date Social Work Sustainability Review has released efficiency savings of £1.6 Million from Care and Homecare services and identified a further £1 Million of efficiencies in Adult Services to offset overall re-investment required across the Social Work Service. 	4 5
	Programme of VFM exercises undertaken.	<ul style="list-style-type: none"> ◆ Best Value Service Reviews; ◆ Strategic Review of Revenue Budget; ◆ Internal Audit Value for Money Exercises; ◆ A wide ranging programme of scrutiny and review, which includes value for money reviews, has been agreed for and is being undertaken by the Governance and Scrutiny Committee; ◆ SRRB2 Efficiency Strategy 2011/12-2013/14 approved by Cabinet on 19 May 2010; ◆ Individual Service Business Reviews; ◆ Corporate Procurement Strategy and e-Procurement arrangements in place; ◆ 22 Business Reviews instigated during the 2009/10 budget process. 13 Reviews now completed delivering efficiencies of £3.041m, outstanding reviews will form part of the Council's SRRB2 Efficiency Strategy; ◆ Social Work Sustainability Board established and Review Programme agreed. To date Social Work Sustainability Review has released efficiency savings of £1.6 Million from Care and 	4 5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<p>Homecare services and identified a further £1 Million of efficiencies in Adult Services to offset overall re-investment required across the Social Work Service;</p> <ul style="list-style-type: none"> ◆ National Shared Services Diagnostic Review. Business cases developed for:- <ul style="list-style-type: none"> ○ Clerical and Administrative Support Functions; ○ ICT Support within Schools; ○ Central Purchasing Unit; ○ Document Imaging. <p>the aim of which is to improve value for money;</p>	

CORE PRINCIPLE 2

Members and Officers working together to achieve a common purpose with clearly defined functions and roles

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
Supporting Principle 1 - Ensuring effective leadership throughout the authority and being clear about executive and non-executive functions and of the roles and responsibilities of the scrutiny function			
Set out a clear statement of the respective roles and responsibilities of the executive and of members generally and of senior officers.	Published job descriptions for the leader of the authority and the chief executive.	<ul style="list-style-type: none"> ◆ The Council's procedural documentation clearly details the decision making structure. This includes Scheme of Delegation; Standing Orders; Standing Orders relating to contracts; Contract Procurement Protocol, Financial Regulations; Local Government Access to Information Registers; Departmental Service Descriptions; Officer delegated responsibility and the role of Elected Member portfolio holders; ◆ Elected Member Learning and Development Strategy agreed by Council on 25 June 2009. Job outlines for Elected Members and Senior Elected Members, including the Leader of the Council were developed in consultation with political groups and are now in place; ◆ All Officer and Member Job Descriptions are public documents. 	4 5
	Member/officer protocol.	<ul style="list-style-type: none"> ◆ The Council has fully endorsed the Councillors' Code of Conduct introduced under the Ethical Standards in Public Life etc (Scotland) Act 2000 and has provided a copy of the Code to all Councillors together with appropriate training. The Council's commitment to the Code has been incorporated into the Council's Standing Orders. The Code of Conduct for Councillors includes a protocol for relations between Councillors and employees; ◆ Operational protocols have been developed to deal with Multi Member ward issues as required. Existing protocols are under constant review, based on experience, and are further developed as required to ensure that they remain fit for purpose and address any areas of 	4 5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		specific need; ♦ Code of Conduct for employees reviewed and re-issued to all employees in March 2010.	
	Public document which sets out clearly the authority's approach to performing each of the functions of governance (the local code itself could be evidence).	♦ Local Code of Corporate Governance revised and updated in June 2010 to reflect the CIPFA/SOLACE Delivering Good Governance Framework and associated Guidance Note for Scottish Local Authorities; ♦ Local Code of Corporate Governance reviewed and updated annually by the Governance and Scrutiny Committee; ♦ Corporate Governance Improvement Action Plan updated and agreed annually; ♦ Corporate Governance Statement of Assurance published in Annual Accounts and Public Performance Report; ♦ Governance functions and responsibilities are clearly set out within the Scheme of Delegation; ♦ Governance and Scrutiny Guidelines in place for the Governance and Scrutiny Committee.	5
	A documented and approved process for holding officers to account for achieving agreed objectives and implementing strategy.	♦ Governance and Scrutiny Committee undertakes scrutiny and performance review role; ♦ Embedded Appraisal arrangements for Chief Officers in place, including:- <ul style="list-style-type: none"> ○ Chief Executive's Annual Appraisal; ○ Chief Executive's one to one meetings with Executive Directors to Review Performance; ○ Appraisal of Chief Officers (Heads of Service). 	5
Supporting Principle 2 - Ensuring that a constructive working relationship exists between authority members and officers and that the responsibilities of authority members and officers are carried out to a high standard			
Determine a scheme of delegation and reserve powers within the constitution, including a formal schedule of those matters specifically reserved for collective decision of the authority, taking account of relevant legislation, and ensure that it is monitored and updated when required.	Scheme of delegation which is, as a minimum, annually reviewed in the light of legal and organisation changes.	♦ The Council has a Scheme of Delegation which is reviewed regularly (6 times since March 2005. Next review scheduled for June 2010.)	5
	Schemes of delegation for each service department which are kept under review.	♦ The Council's Scheme of Delegation which is reviewed regularly (6 times since March 2005. Next review scheduled for June 2010) contains Departmental Service Descriptions and details officer delegated responsibility and the role of Elected Member portfolio holders;	5

Local Code of Corporate Governance 2010/11

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<ul style="list-style-type: none"> ◆ The Head of Service (Community Care) is the designated Chief Social Work Officer as required under Section 3 of the Social Work (Scotland) Act 1968. (The role of the CSWO is to ensure the provision of effective, professional advice to local authorities – Elected Members and officers – in the authorities' provision of social work services). 	
	Scheme of delegation to community planning partnerships which is regularly reviewed.	<ul style="list-style-type: none"> ◆ The East Ayrshire Community Planning Partnership is a separate body from the Council established under the provisions of the Local Government in Scotland Act 2003 and associated guidance. At present, no functions of the Council have been delegated to the Community Planning Partnership; ◆ The Council's Scheme of Delegation provides authority for the Chief Executive to represent the Council on the Community Planning Partnership Board and to act on behalf of the Council at Board meetings to ensure that the Council's interests in community planning related activity are best served; ◆ Operating Arrangements are in place for the Community Planning Partnership. These include Terms of Reference for Community Planning key decision making structures; ◆ Community Planning Partnership Board on 30 April 2009 considered annual review and agreed that decision making structures were fit for purpose. 	5
	Scheme of delegation to include details of matters reserved to the authority which is regularly reviewed.	<ul style="list-style-type: none"> ◆ The Council has a Scheme of Delegation (reviewed regularly, 6 times since March 2005. Next review scheduled for June 2010) which includes details of Decision making structures and arrangements and details matters reserved for consideration by Council. 	5
	Established terms of reference and reporting arrangements of all sub-committees of the authority.	<ul style="list-style-type: none"> ◆ The Council has a Scheme of Delegation (reviewed regularly, 6 times since March 2005. Next review scheduled for June 2010) which includes details of Decision making structures and arrangements and includes terms of reference for all of the Council's Decision making forums; ◆ <i>Review of Council's decision making structure reported to Council in October 2009 endorsed and made improvements to the Council's decision making structures.</i> 	5
	Standing orders and financial regulations which are regularly reviewed.	<p>The Council has in place:-</p> <ul style="list-style-type: none"> ◆ Standing Orders; ◆ Financial Regulations and Standing Orders in relation to Contracts, All of which are reviewed on a regular basis (last review August 2007); ◆ Accounting Policy Bulletins in place and reviewed regularly to reflect current working practices; ◆ Corporate Procurement Policy Bulletins in place. 	5
Make a chief executive or equivalent responsible and accountable to the authority	An up-to-date job description for the chief executive which sets out his/her operational	<ul style="list-style-type: none"> ◆ The Council's procedural documentation clearly details the decision making structure. This includes Scheme of Delegation; Standing Orders; Standing Orders relating to contracts; Contract Procurement Protocol, Financial Regulations; Local Government Access to 	5

Local Code of Corporate Governance 2010/11

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
for all aspects of operational management.	responsibilities.	Information Registers; Departmental Service Descriptions; Officer delegated responsibility and the role of Elected Member portfolio holders; ♦ A Job Description is in place for the Chief Executive and all Job Descriptions are public documents.	
	Established appraisal arrangements for the chief executive and all senior directors.	♦ Embedded Appraisal arrangements for Chief Officers in place, including:- ○ Chief Executive's Annual Appraisal; ○ Chief Executive's one to one meetings with Executive Directors to Review Performance; ○ Appraisal of Chief Officers (Heads of Service).	5
	A robust performance management system which enables all operations to be reported on in terms of meeting performance standard targets and levels of satisfaction.	♦ New Electronic Performance Management System (EPMS) now operational and populated with a wide range of performance indicators agreed following a comprehensive review of performance indicators across all Council services; ♦ Chief Executive's and Executive Directors' Performance Scorecards updated with real time period performance information and reported using EPMS; ♦ Consideration of the Finance and Service Strategy Report by the Corporate Management Team, Cabinet and the Governance and Scrutiny Committee ensures a systematic approach to the reporting of performance to both Senior Officers and Elected Members. ♦ Performance Indicators are in place for each service and a description on how progress against these will be reported and monitored is included within the new Service Plans. ♦ Chief Executive's one to one meetings with Executive Directors to Review Performance;	4 5
Develop protocols to ensure that the leader and chief executive (or equivalent) negotiates their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained.	Job descriptions for the leader and the chief executive which make respective roles clear.	♦ The Council's procedural documentation clearly details the decision making structure. This includes Scheme of Delegation; Standing Orders; Standing Orders relating to contracts; Contract Procurement Protocol, Financial Regulations; Local Government Access to Information Registers; Departmental Service Descriptions; Officer delegated responsibility and the role of Elected Member portfolio holders; ♦ Elected Member Learning and Development Strategy agreed by Council on 25 June 2009. Job outlines for Elected Members and Senior Elected Members, including the Leader of the Council were developed in consultation with political groups and are now in place; ♦ A Job Description is in place for the Chief Executive and all Job Descriptions are public documents.	4 5

Local Code of Corporate Governance 2010/11

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
Make a senior officer (the S95 officer) responsible to the authority for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control.	Identified post within organisational staff structure and a current section 95 officer job description; membership of top management team.	<ul style="list-style-type: none"> ◆ Executive Director of Finance and Corporate Support made responsible (S95 Officer) for ensuring that appropriate advice is given on financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control; ◆ Section 95 Officer responsibilities are reflected in the Executive Director of Finance and Corporate Support's Job Description; ◆ The Executive Director of Finance and Corporate Support is a full member of the Corporate Management Team; ◆ Head of Finance to deputise as S95 Officer in the absence of the Executive Director of Finance and Corporate Support and this is reflected in the new Head of Finance's Job Description. 	6
	Appointment of a senior officer to the role of the section 95 officer.	◆ Executive Director of Finance and Corporate Support made responsible (S95 Officer) for ensuring that appropriate advice is given on financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control.	6
	Authority's accounts are compiled in accordance with statutory and professional reporting standards.	◆ The Council's Annual Audited Statement of Accounts are prepared in accordance with the Code of Practice on Local Authority Accounting in the United Kingdom: A Statement of Recommended Practice (The SORP), and applying generally accepted accounting principles.	6
	Authority's accounts are supported by comprehensive papers.	<ul style="list-style-type: none"> ◆ The Council's Annual Audited Statement of Accounts are supported by the publication of full working papers; ◆ External Audit confirms that the level of supporting papers published to support the Annual Audited Statement of Accounts is of a high standard. 	6
	The accounts and working papers are prepared and approved in accordance with relevant timetable.	◆ Annual Audited Statement of Accounts completed to a high standard within the statutory timescale.	6
	Nature of external audit opinion. Annual report of head of internal audit.	<ul style="list-style-type: none"> ◆ Clean External Audit certificates on the Council's accounts for the last 9 years; ◆ External Audit confirms that the level of supporting papers published to support the Annual Audited Statement of Accounts is of a high standard; ◆ The Council's Chief Auditor reports annually on the Audit of the Council's Internal Control Systems to the Governance and Scrutiny Committee. 	6
	Clear job description for the treasurer to any joint boards, distinguishing responsibilities	◆ Not applicable.	Not applicable

Local Code of Corporate Governance 2010/11

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
	from those of finance officer of the service subject to the joint board arrangement.		
Make a senior officer (usually the monitoring officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with.	An up-to-date job description.	<ul style="list-style-type: none"> ◆ The Head of Legal, Procurement and Regulatory Services, and Solicitor to the Council, acts as Monitoring Officer. Responsibilities are reflected in the Job Description for this post; 	5
	Appointment of a senior officer to the role of monitoring officer.	<ul style="list-style-type: none"> ◆ The Head of Legal, Procurement and Regulatory Services, and Solicitor to the Council, acts as Monitoring Officer. Reference is made in the Scheme of Delegation to the appointment of Monitoring Officer; 	5
	Schemes of delegation, standing orders and financial regulations which are consistent with statute.	<ul style="list-style-type: none"> ◆ The Council's Scheme of Delegation, Standing Orders and Financial Regulations are consistent with statute and are reviewed on a regular basis (6 times since March 2005. Next review scheduled for June 2010) to ensure that this remains the case. 	5
	Internal audit reports highlighting any breaches in standing orders or financial regulations.	<ul style="list-style-type: none"> ◆ In addition to the Chief Executive and relevant Executive Directors, the Head of Legal, Procurement and Regulatory Services, as Monitoring Officer also receives a copy of any Internal Audit Reports highlighting any breaches in Standing Orders or Financial Regulations; ◆ Any breaches are also highlighted to Elected Members by the Chief Auditor in the Annual Audit and Achievements Plan presented to the Governance and Scrutiny Committee. 	5
Supporting Principle 3 - Ensuring relationships between the authority, its partners and the public are clear so that each knows what to expect of the other			
Develop protocols to ensure effective communication between members and officers in their respective roles.	Protocols for communications between officers and groups of and individual elected members.	<ul style="list-style-type: none"> ◆ The Council has fully endorsed the Councillors' Code of Conduct introduced under the Ethical Standards in Public Life etc (Scotland) Act 2000 and has provided a copy of the Code to all Councillors together with appropriate training. The Council's commitment to the Code has been incorporated into the Council's Standing Orders. The Code of Conduct for Councillors includes a protocol for relations between Councillors and employees; ◆ Operational protocols have been developed to deal with Multi Member ward issues as required. Existing protocols are under constant review, based on experience, and are further developed as required to ensure that they remain fit for purpose and address any areas of specific need; ◆ Elected Member Learning and Development Strategy agreed by Council on 25 June 	4

Local Code of Corporate Governance 2010/11

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<p>2009. Job outlines for Elected Members and Senior Elected Members, including the Leader of the Council are now in place. These provide for the need to ensure effective communications and working relationships between Members and officers;</p> <ul style="list-style-type: none"> ◆ Code of Conduct for employees reviewed and re-issued to all employees in March 2010, includes provision of protocols to govern communication between officers and Elected Members. 	
Ensure that an established scheme for remuneration of members and officers and an effective structure for managing the process, including an effective remuneration panel (if applicable).	A scheme for member remuneration and allowances and personnel policies and conditions of service for employees which ties in with the national scheme.	<ul style="list-style-type: none"> ◆ Member Remuneration Scheme in place; ◆ Chief Officers pay set nationally by the Joint Negotiating Committee for Chief Officers; ◆ As part of the Single Status Agreement, a grading scheme for all employees was agreed following implementation of a job evaluation scheme; ◆ Conditions of service in place for all employees. As part of the Single Status Agreement Cabinet agreed revised Conditions of Service on 21 April 2010. These are anticipated to be implemented from September 2010. 	4
	Structured pay scales reflecting competence for officers.	<ul style="list-style-type: none"> ◆ Structured pay scales and grading scheme for all employees agreed following implementation of a job evaluation scheme. 	5
	The process for structure setting, approving, grading and addressing appeals.	<ul style="list-style-type: none"> ◆ Job evaluation appeals procedures and Appeals Panel; ◆ Ongoing job evaluation arrangements and appeals mechanism, culminating in Elected Member consideration at the Appeals Panel. 	5
Ensure that effective mechanisms exist to monitor service delivery.	Appropriate key performance indicators have been established and approved for each service element and included in the service plan.	<ul style="list-style-type: none"> ◆ New Electronic Performance Management System (EPMS) now operational and populated with a wide range of performance indicators agreed following a comprehensive review of performance indicators across all Council services; ◆ Chief Executive's and Executive Directors' Performance Scorecards updated with real time period performance information and reported using EPMS; ◆ Performance Indicators are in place for each service and a description on how progress against these will be reported and monitored is included within the new Service Plans. ◆ Revised suite of 77 Statutory Performance Indicators which reflect both corporate and service requirements in accordance with Audit Scotland Guidance was approved by Cabinet on 24 March 2010. 	4 5
	Regular reports on progress on delivery of approved key	<ul style="list-style-type: none"> ◆ New Electronic Performance Management System (EPMS) now operational and populated with a wide range of performance indicators agreed following a comprehensive review of 	4 5

Local Code of Corporate Governance 2010/11

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
	performance indicators which are presented to management and members.	<p>performance indicators across all Council services;</p> <ul style="list-style-type: none"> ◆ Chief Executive's and Executive Directors' Performance Scorecards updated with real time period performance information and reported using EPMS; ◆ Consideration of the Finance and Service Strategy Report by the Corporate Management Team, Cabinet and the Governance and Scrutiny Committee ensures a systematic approach to the reporting of performance to both Senior Officers and Elected Members. ◆ Annual performance reports on each of the four Community Planning Thematic Action Plans are reported to relevant decision making forums and published on the Council's website; ◆ Dedicated Elected Member and CPP Board review sessions carried out on SOA progress during the first year; ◆ SOA annual Performance Report agreed and presented to the Scottish Government in September each year (Report available on the Council's website). ◆ Chief Executive's one to one meetings with Executive Directors to Review Performance; ◆ Local Performance information and management information is routinely monitored and considered by Departmental and Service Management Teams; ◆ Performance Indicators are in place for each service and a description on how progress against these will be reported and monitored is included within the new Service Plans. ◆ Statutory Performance Indicators are collected and reported annually to Council, Cabinet and the Governance and Scrutiny Committee; ◆ Monitoring against National Priorities, for example, Education Service in relation to attainment and Social work in relation to Care Commission; ◆ Performance Monitoring function undertaken by the Governance and Scrutiny Committee; ◆ Regular Leadership meetings between Elected Member Portfolio holders and Executive Directors (Every Committee Cycle); ◆ Educational Services continues to evaluate, on an annual basis, the quality of its provision using Quality Management in Education 2. In addition, and in anticipation, of an inspection of the education function of the authority (INEA), the Service is carrying out a self-evaluation using the template recommended by HM Inspectors of Education;" ◆ Chief Social Work Officer's Annual Report to Council. 	
	Reports include detailed performance results, both absolute and relative to peer authorities, a clear indication of	<ul style="list-style-type: none"> ◆ New Electronic Performance Management System now operational and populated with a wide range of performance indicators agreed following a comprehensive review of performance indicators across all Council services. The new system includes a SPI benchmarking database which facilitates comparative performance analysis and reporting across all 32 	<p>4 5</p>

Local Code of Corporate Governance 2010/11

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
	below, on or above target results, highlighting areas where corrective action is necessary.	<p>Scottish authorities for the last 4 years. Where available, benchmarking of local performance indicators is included within the new Electronic Performance Management System;</p> <ul style="list-style-type: none"> ◆ Chief Executive's and Executive Directors' Performance Scorecards updated with real time period performance information and reported using EPMS. Reports traffic light performance against agreed targets and tolerances and include contextual commentary and details of corrective action taken to address poor performance; ◆ SPI Reporting includes comparison of performance results against all Scottish Authorities, including quartile analysis of performance ranking; ◆ Service level benchmarking of performance is undertaken to allow a comparison of performance against family groupings of authorities; ◆ Performance Indicators are in place for each service and a description on how progress against these will be reported and monitored is included within the new Service Plans. ◆ Best Value Service Reviews, Individual Service Business Reviews and annual EFQM Assessments provide an analysis of service performance and provide for comparison of performance levels against comparator authorities; ◆ Self evaluation in relation to external inspection requirements eg HIME Inspection of Child Protection Services, SWIA Performance Inspection of Social Work services, multi agency inspections of criminal justice and learning disability services; ◆ SRRB2 Efficiency Strategy - Cross Council Officer Budget and Performance Working Group established to benchmark comparative spend and performance and use this information to drive efficiencies; ◆ Chief Executive's one to one meetings with Executive Directors to Review Performance; 	
	Committee reports on below-par performance include SMART action plans to improve performance.	<ul style="list-style-type: none"> ◆ Improvement Action Plans are SMART and are reported to Council, Cabinet and the Governance and Scrutiny Committee as appropriate; ◆ Following a review of performance, an improvement agenda has been agreed for the Building and Works Service. This includes a SMART Action Plan and provides for regular reporting on performance to all levels of officers, cabinet and Committee; ◆ SOA Improvement Plan agreed by Cabinet on 24 March 2010. This includes SMART improvement actions agreed to impact upon future outcomes, some of which are currently being adversely affected by the economic recession. 	4
	Performance management systems are documented, regularly reviewed and updated to take account of changes in organisation structure and new	<ul style="list-style-type: none"> ◆ East Ayrshire Community Planning Partnership Single Outcome Agreement 2008-2011 (SOA) signed off by Community Planning Partners and the Scottish Government on 2 July 2008. ◆ Updated and revised Single Outcome Agreement signed off by all Community Planning Partners and approved by the Scottish Government in July 2009. ◆ SOA annual Performance Report agreed and presented to the Scottish Government in 	4 5

Local Code of Corporate Governance 2010/11

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
	performance measurement frameworks (including the Scottish Government's National Performance Framework).	<p>September each year (Report available on the Council's website).</p> <ul style="list-style-type: none"> ◆ New electronic Performance Management System selected after extensive procurement exercise involving user demonstrations and site visits to existing users of the system. ◆ New Electronic Performance Management System (EPMS) now operational and populated with a wide range of performance indicators agreed following a comprehensive review of performance indicators across all Council services. As well as facilitating Departmental and Service specific reporting of performance, the system also provides objective reporting of these indicators against the Best Value headings outlined in Audit Scotland's 2008 Direction and each of the four Community Planning Themes. ◆ Revised suite of 77 Statutory Performance Indicators which reflect both corporate and service requirements in accordance with Audit Scotland Guidance was approved by Cabinet on 24 March 2010. The EMPS has been updated to reflect these changes. ◆ EPMS updated to reflect the Council restructure implemented on 1 April 2010. 	
	Performance measures and benchmarking are being used to describe and evaluate how the authority's asset base contributes to the achievement of corporate and service objectives, including improvement priorities.	<ul style="list-style-type: none"> ◆ Best Value Service Review of Asset Management completed during 2008; ◆ Council-wide review of performance indicators undertaken and a new suite of performance indicators for the Council's Finance and Asset Management Service, which include specific measures covering the Council's asset management function, have been agreed and implemented; ◆ All Service Plans include analysis of assets employed and show how these will be utilised to achieve objectives; ◆ 94.1% of our properties are in a satisfactory condition and 96.6% are suitable for their current use; ◆ The Council's Office Accommodation Strategy was approved by Cabinet in October 2009; ◆ The School Estate Management Annual Plan was approved by Cabinet in April 2010; ◆ A data gathering exercise has recently been completed. This includes a comprehensive conditions survey and an assessment of the anticipated programmed maintenance costs over the next 15 years for all council properties this will be used to link Asset Strategy to Capital Investment Strategy; ◆ 10 Year Capital Investment Strategy for General Services reflects the Council's key strategic objectives of educational attainment and regeneration (approved by Cabinet January 2009). ◆ The Council is an active member of the following groups: <ul style="list-style-type: none"> ○ CIPFA National Best Value Benchmarking Scheme; ○ ACES Asset Management Working Group; ○ Scottish Energy Officers Network; 	4 5

Local Code of Corporate Governance 2010/11

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
<p>Ensure that the authority's vision, corporate plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated.</p>	<p>Protocols for consultation with third parties.</p> <p>Evidence of undertaking consultations.</p> <p>Evidence to support the quality of consultation; for example, breadth of promotion about the consultation diversity of participants/responees to the consultation.</p> <p>Statutory procedures are followed, where these exist.</p>	<p>o Ayrshire Energy Officers Forum. These benchmarking the effectiveness of our asset base.</p> <ul style="list-style-type: none"> ◆ The Council and its Community Planning Partners have signed up to the National Standards for Community Engagement; ◆ Community Planning Partners have put in place an agreed Joint Framework for Consultation and Engagement; ◆ Details of past, current and future consultation exercises are detailed on the Community Planning Website, providing an excellent resource and allowing access to relevant information from consultation exercises; ◆ Community Planning structures have been agreed to ensure that people and communities are genuinely engaged in decisions about public services which affect them, Structures in place include:- <ul style="list-style-type: none"> o Community Planning Partnership Board (Including Community Representatives); o Community Planning Joint Officers Group; o Thematic Action Plan Working Groups; o 4 Local Community Planning Forums; o Federations of Community Groups; o Equalities Forum, Supported by four Equalities Networks (Disability, Gender, Black and Ethnic Minority Communities and Older People); o Children and Young Peoples Forum; o Community Planning Residents Panel and Focus Groups. ◆ Terms of reference and responsibilities for these key structures have been agreed by Community Planning Partners and are outlined within the Community Planning Partnership Operating Arrangements; ◆ Positive evaluation of the effectiveness of the Local Community Planning Forums against the National Standards of Community Engagement and from Community Representatives and Partners was achieved in February 2010; ◆ Annual Consultation Plan; ◆ Three yearly Community Planning Residents Survey; ◆ Community consultations inform the mid-term review of Community Plan Action Plans and the First 4 Yearly review of Community Plan; ◆ Extensive engagement exercise underway to inform the second 4 yearly review of the Community Plan; ◆ Annual Community and Voluntary Sector briefings held to hear the communities/third sector's views on Community Planning/SOA objectives; 	5

Local Code of Corporate Governance 2010/11

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<ul style="list-style-type: none"> ◆ Service Plans reflect Customer/Stakeholder expectations; ◆ The Council's 'It's Better to Listen' comments and suggestions scheme; ◆ Extensive community consultation including a budget workshop used to inform the 2010/11 budget and to assess priorities for future financial years in recognition of anticipated financial pressures; ◆ Customer/User Satisfaction Surveys and Questionnaires; ◆ Other Stakeholder Consultations; ◆ Council for Voluntary Organisations Partnership; ◆ Community Safety Partnership; ◆ Registered Social Landlords; ◆ Registered Tenants Organisations; ◆ Tenant Participation Steering Group; ◆ Tenant Satisfaction Survey; ◆ Annual Council House Tenant Conference; ◆ East Ayrshire Residents' Syndicate Group; ◆ Rent Consultations; ◆ Housing Stock Options Appraisal Consultation; ◆ Housing Allocation Policy Review consultation; ◆ Leisure Services consultation/focus group exercises (DCCP, EALRIS, A&M, LD, OA, and CR); ◆ Leisure and Cultural Strategy Consultation; ◆ Children and Young People Forum; ◆ Youth Forum/Pupil Forum in all schools; ◆ Early Years Forum; ◆ 2 yearly sample stakeholder surveys of pupils, parents and teachers in all schools; ◆ Out of School Care Network; ◆ Children's Services Forum; ◆ Integrated Children and Young People's Service Plan Annual Seminar; ◆ Parental Involvement Strategy Group meetings and steering Group/Stakeholder Surveys; ◆ The Pupil Council Forum meets with the Executive Director and Spokespersons for Lifelong Learning; ◆ Community Based Adult Learning consultation; ◆ Adult Education Programme consultation; ◆ Consultation on the Future of Educational Provision for Pupils in Crossroads Primary School; 	

Local Code of Corporate Governance 2010/11

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<ul style="list-style-type: none"> ◆ The production of the Local Transport Strategy involved rigorous consultation with community organisations; ◆ Kilmarnock Town Centre Regeneration consultation Strategy agreed; ◆ Cumnock Town Centre Regeneration Information Office and Consultation meetings; ◆ Dumfries Estate Core Team and Community Consultations; ◆ Employability Services consultation; ◆ Race Equality Scheme; ◆ East Ayrshire North and Cumnock and Doon Valley Access Panels; ◆ Statutory consultation with Community Councils; ◆ Review of the Community Council Scheme ◆ Networking arrangements with the Third Sector - interface development; ◆ Best Value 2 Pathfinder Report praised the quality of Community Planning consultation and engagement arrangements; ◆ Carers Strategy Partnership Working Event (June 2008) (Social Work); ◆ Carers Action Plan 2009/11 consultation; ◆ Meals at Home Service: Service Quality and Service User Satisfaction Survey undertaken in conjunction with Stirling University (Community Care); ◆ Involvement of service users and carers in recruitment processes (Social Work); ◆ Involvement of service users and carers in redesign of services (Social Work); ◆ Annual Older Peoples' conference. 	
When working in partnership, ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the authority.	A document, which has been accepted by all partners, that establishes all roles and responsibilities relating to the activities of the partnership.	<ul style="list-style-type: none"> ◆ East Ayrshire Community Planning Partnership Operating Arrangements in place and agreed by the Community Planning Partnership Board; ◆ Community Planning Partnership Board on 30 April 2009 considered annual review and agreed that decision making structures were fit for purpose. 	5
When working in partnership: - ensure that there is clarity about the legal status of the partnership; - ensure that	For each partnership there is: <ul style="list-style-type: none"> • A clear statement of the partnership principles and objectives; • Clarity of each partner's role within the partnership; • Definition of roles of 	<ul style="list-style-type: none"> ◆ Partnership Assessment Framework (based on the Audit Commission Report 'Governing Partnerships') adopted by all Community Planning Partners. This provides practical advice on:- <ul style="list-style-type: none"> ○ establishing new and reviewing the effectiveness of existing Partnerships; ○ clarifying the role of partners involved in the partnership; ○ ensuring robust governance and operating arrangements. ◆ The Framework also contains a check list which covers:- 	5

Local Code of Corporate Governance 2010/11

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
representatives of organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions.	<p>partnership board members;</p> <ul style="list-style-type: none"> • Line management responsibilities for staff who support the partnership; • A statement of funding sources for joint projects and clear accountability for proper financial administration. <p>A protocol for dispute resolution within the partnership.</p>	<ul style="list-style-type: none"> ○ Rationale for the Partnership; ○ Clarity of Roles; ○ Leadership; ○ Added Value; ○ Governance and Scrutiny Arrangements; ○ Performance Management Arrangements; ○ Financial Management and Stewardship; ○ Risk Management and Dispute Resolution; ○ Termination Arrangements. <ul style="list-style-type: none"> ◆ Partnership Assessment Framework (PAF) piloted during the review of the Community Safety Action Plan and used during the 2009 mid-term review of the Community Plan; ◆ The PAF will be used in future during the review of existing and the establishment of any new partnerships. 	

CORE PRINCIPLE 3

Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
<i>Supporting Principle 1 - Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance</i>			
Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect.	Codes of conduct, standing orders, protocols, schedule of meetings, minutes of meetings, governance statement.	<ul style="list-style-type: none"> ◆ Access is one of the council's 4 core values; ◆ Minimal council business held in private; ◆ Limited application of access to information exclusion grounds; ◆ Decentralisation scheme; ◆ 4 Local Community Planning Forums introduced to strengthen and increase community representation in local decision making; ◆ Local Planning Committees – hearing procedure allows all parties to be heard; ◆ Standing Orders and Scheme of Delegation in place; ◆ Code of Conduct in place; ◆ <i>Revised Harassment and Bullying Policy and Procedures agreed by Cabinet on 19 May 2010.</i> 	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<ul style="list-style-type: none"> ◆ Annual meetings calendar agreed, published on the Councils web site and distributed to Community Councils and through the Council's Local Office and Library network; ◆ Minutes and Committee Reports are posted on the internet; ◆ Compliance with Data Protection Act; ◆ Compliance with the requirements of the Freedom of Information Act; ◆ Freedom of Information systems and procedures; ◆ Revised Freedom of Information Publications Scheme approved by Cabinet on 1 April 2009. ◆ Corporate Record Retention Schedules; ◆ Compliance with Environmental Information regulations; ◆ Local Code of Corporate Governance revised and updated in June 2008 to reflect the CIPFA/SOLACE Delivering Good Governance Framework and associated Guidance Note for Scottish Local Authorities; ◆ Local Code of Corporate Governance reviewed and updated annually; ◆ Local Code of Corporate Governance updated annually; ◆ Corporate Governance Statement of Assurance published in Annual Accounts and Public Performance Report. 	
<p>Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols.</p>	<p>Members'/officers' code of conduct which acknowledge professional bodies' codes of conduct.</p> <p>Performance appraisal procedures.</p> <p>Complaints procedures.</p> <p>Anti-fraud and anti-corruption policies exist and have been reviewed and updated.</p> <p>Member/officer protocols.</p>	<ul style="list-style-type: none"> ◆ The Council has fully endorsed the Councillors' Code of Conduct introduced under the Ethical Standards in Public Life etc (Scotland) Act 2000 and has provided a copy of the Code to all Councillors together with appropriate training. The Council's commitment to the Code has been incorporated into the Council's Standing Orders. The Code of Conduct for Councillors includes a protocol for relations between Councillors and employees; ◆ Operational protocols have been developed to deal with Multi Member ward issues as required. Existing protocols are under constant review, based on experience, and are further developed as required to ensure that they remain fit for purpose and address any areas of specific need; ◆ Code of Conduct for employees reviewed and re-issued to all employees in March 2010, ◆ Revised Harassment and Bullying Policy and Procedures agreed by Cabinet on 19 May 2010; ◆ Social Work staff are required to adhere to Scottish Social Services Council (SSSC) Codes of Conduct; ◆ Embedded Appraisal arrangements for Chief Officers in place, including:- <ul style="list-style-type: none"> ○ Chief Executive's Annual Appraisal; ○ Chief Executive's one to one meetings with Executive Directors to Review Performance; 	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<ul style="list-style-type: none"> ○ Appraisal of Chief Officers (Heads of Service). ◆ EAGER Reviews; ◆ It's Better to Listen Complaints Policy and Procedures in place; ◆ Anti Fraud and Corruption Policy in place and reviewed by Cabinet October 2007; 	
	Induction of new members and staff on standards of behaviour expected of all.	<ul style="list-style-type: none"> ◆ Induction training for employees covers code of conduct and standards of behaviour; ◆ New Member induction training and training packs covers code of conduct and standards of behaviour. 	5
Put in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice.	<p>Reviewed and updated standing orders.</p> <p>Reviewed and updated codes of conduct.</p> <p>Reviewed and updated financial regulations.</p> <p>Register of interests (members and staff) is maintained, regularly reviewed and updated.</p> <p>Procedures for dealing with conflicts of interest.</p> <p>Examples of where inequality among service users has been reduced or eliminated.</p> <p>Up-to-date register of gifts and hospitality.</p>	<p>The Council has in place:-</p> <ul style="list-style-type: none"> ◆ Standing Orders; ◆ Financial Regulations and Standing Orders in relation to Contracts; All of which are reviewed on a regular basis (last review August 2007). ◆ Accounting Policy Bulletins in place and reviewed regularly to reflect current working practices; ◆ Corporate Procurement Policy Bulletins in place; ◆ The Council has fully endorsed the Councillors' Code of Conduct introduced under the Ethical Standards in Public Life etc (Scotland) Act 2000 and has provided a copy of the Code to all Councillors together with appropriate training; ◆ Code of Conduct for employees reviewed and re-issued to all employees in March 2010; ◆ Revised Harassment and Bullying Policy and Procedures agreed by Cabinet on 19 May 2010; ◆ Anti-fraud and Anti-corruption Strategy in place; ◆ Whistleblowing Policy and Procedures in place and updated June 2009; ◆ The Head of Democratic Services holds a Register of Interests for Elected Members, which is updated as required to reflect changes in circumstances; ◆ Employee Registers of Interests held by Executive Directors at Departmental level; ◆ Procedures for dealing with employee conflicts of interests are detailed within the Code of Conduct for Employees; ◆ Procedures for dealing with conflicts of interest are outlined in flow chart format with supporting guidance within the Elected Members Handbook. Training, support and advice on dealing with conflicts of interest has is also provided to Elected Members as required; ◆ Equality Impact Assessments; ◆ Employee Registers of Gifts and Hospitality are held by Executive Directors at Departmental level and reported to the Chief Executive on an annual basis for sign off; ◆ Register of Gifts and Hospitality for Elected Members held and updated by the Head of 	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		Democratic Services as required and published on the Council's website.	
Supporting Principle 2 - Ensuring that organisational values are put into practice and are effective			
Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations, and communicate these with members, staff, the community and partners.	Codes of conduct. Evidence of communicating shared values with members, staff, community and partners. Evidence of documented shared values.	<ul style="list-style-type: none"> ◆ The Concordat/Single Outcome Agreement ◆ East Ayrshire Community Planning Partnership Operating Arrangements in place; ◆ Community Planning Vision and Guiding Principles outlined within Overarching Community Plan; ◆ New Community planning structures involving Community Representatives and representation from Partner Organisations facilitate effective communication of Community Planning objectives; ◆ Community Planning Awareness raising Sessions; ◆ Dedicated Community Planning Website reviewed and regularly updated; ◆ Community Planning Training and Workbook/Toolbox used by all Partners; ◆ Six Community Planning Bulletins and Topic Specific 'Quick Word About' brochures (41 in total) continue to be issued on a range of pertinent topics; ◆ 'The Work that you Do' brochure developed (2008), printed and distributed to raise awareness of the contribution of Council staff to the Community Planning agenda; ◆ 'Work that we Do', 'Work that they Do' and the 'Work that Schools Do' brochures have been printed and distributed to raise awareness of partnership, voluntary and community, and the schools sector's contribution to the Community Planning agenda. ◆ Training and Induction covers Community Planning vision and guiding principles; ◆ Extensive Community consultation undertaken to inform the first 4 yearly review of the Community Plan and the mid-term review of Thematic Action Plans; ◆ Extensive engagement exercise underway to inform the second 4 yearly review of the Community Plan; ◆ Annual Community and Voluntary Sector briefings held to publicise Community Planning/SOA objectives; ◆ Community Planning Awards. ◆ Carers Strategy Partnership Working Event (June 2008) (Social Work); ◆ Annual Older Peoples' Conference. 	5
Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing	Codes of Conduct	<ul style="list-style-type: none"> ◆ Code of Conduct for employees reviewed and re-issued to all employees in March 2010; ◆ Social Work staff are required to adhere to Scottish Social Services Council (SSSC) Codes of Conduct; ◆ Members' Code of Conduct in place; ◆ The Head of Legal Procurement and Regulatory Services/Solicitor to the Council in his 	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
effectiveness in practice.		capacity as Monitoring Officer, together with the Head of Democratic Services and their deposes, including Solicitors and Administrative Officers provide an advisory role on Code of Conduct to Elected Members and attend all Council meetings. Training is also provided to Elected Members on Code of Conduct Issues;	
Develop and maintain an effective standards committee.	Terms of reference. Regular reporting to the full council.	<ul style="list-style-type: none"> ◆ The Governance and Scrutiny Committee is responsible for the provision of advice to Elected Members in respect of Standards of Conduct and compliance with the Councillors' Code of Conduct introduced under the Ethical Standards and Public Life Etc (Scotland) Act 2000, and for the development and adoption of formal codes of conduct for Members and Officers. The remit does not extend to the investigation of complaints and this is a position consciously adopted by the Council; ◆ Responsibility for receiving and investigating complaints received by the Council lies with the Monitoring Officer although it should be borne in mind that there is no requirement to exhaust any internal complaints process before presenting a formal complaint to the Standards Commission; ◆ Minutes of the Governance and Scrutiny Committee are reported to and noted by Full Council. 	4
	Public opinion sought on the behaviour of members and officers.	<ul style="list-style-type: none"> ◆ It's Better to Listen Complaints Policy and Procedures in place; ◆ Social Work Complaints Policy and Procedure (statutory requirement but aligned with corporate policy) in place. (Currently under review); ◆ Public Nominations invited for annual Employee Excellence Awards. 	4
	Examples of responding to complaints about behaviour.	<ul style="list-style-type: none"> ◆ There have been a number of instances where the Monitoring Officer has investigated such complaints with final reports on the outcome of investigations provided to the relevant political groups and the Chief Executive. 	5
	Where behaviour has been referred to the Standards Commission, evidence of responding to the Commission's investigation.	<ul style="list-style-type: none"> ◆ There have been three referrals to the Standards Commission since the 2000 Act took effect, two of which were not taken forward and the third of which is currently pending. 	5
Use the organisation's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority.	Decision-making practices. Evidence that shared values have guided the decision making.	<ul style="list-style-type: none"> ◆ East Ayrshire Community Planning Partnership Operating Arrangements in place; ◆ Community Planning Vision and Guiding Principles outlined within Overarching Community Plan; ◆ Single Outcome Agreement; ◆ Cabinet Portfolio holder remits reflect Community Planning priorities and ensure greater political accountability for decisions taken by the Cabinet; ◆ <i>The Council has continuously demonstrated that it is making significant progress and</i> 	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<p><i>is leading the way in terms of the volume of collaborative arrangements in place. The CoSLA Shared Services Position Statement issued in July 2009 reported that Local Government in Scotland has made significant progress on the Shared Services agenda in recent years. Almost 12% of the arrangements detailed in that report were attributable to East Ayrshire Council, the highest of any of the 27 respondents.</i></p> <ul style="list-style-type: none"> ◆ <i>The Ayrshire Shared Services Group has achieved considerable success in driving and delivering shared services to date over 130 Shared Services initiatives are in place;</i> ◆ <i>Dedicated Chief Officers' session convened in January 2010 to explore opportunities for enhanced partnership working/activity;</i> ◆ <i>Strategic Alliance shared services scoping event held in March 2010 with senior officers from 3 Ayrshire Councils and NHS Ayrshire and Arran Strategic Alliance;</i> ◆ <i>Arrangements in place to take forward Integrated Resource Framework with NHS and other Ayrshire councils;</i> ◆ Shared Premises and Co-location at the heart of decision making; ◆ Rationalisation of plans and strategies to ensure that the role of the Community Plan is maximised; ◆ Joint consultation and engagement arrangements; ◆ Joint training; ◆ Joint information and research; ◆ Joint monitoring and evaluation. 	
<p>In pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partners' behaviour both individually and collectively.</p>	<p>Protocols for partnership working. Evidence of agreed values.</p>	<ul style="list-style-type: none"> ◆ Community Planning Vision and Guiding Principles outlined within Overarching Community Plan; ◆ Partnership Assessment Framework (based on the Audit Commission Report 'Governing Partnerships') adopted by all Community Planning Partners. This provides practical advice on:- <ul style="list-style-type: none"> ○ establishing new and reviewing the effectiveness of existing Partnerships; ○ clarifying the role of partners involved in the partnership; ○ ensuring robust governance and operating arrangements. ◆ <i>The Council has continuously demonstrated that it is making significant progress and is leading the way in terms of the volume of collaborative arrangements in place. The CoSLA Shared Services Position Statement issued in July 2009 reported that Local Government in Scotland has made significant progress on the Shared Services agenda in recent years. Almost 12% of the arrangements detailed in that report were attributable to East Ayrshire Council, the highest of any of the 27 respondents.</i> 	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<ul style="list-style-type: none"> ◆ <i>The Ayrshire Shared Services Group has achieved considerable success in driving and delivering shared services to date over 130 Shared Services initiatives are in place;</i> ◆ Shared Premises and Co-location at the heart of decision making; ◆ Rationalisation of plans and strategies to ensure that the role of the Community Plan is maximised; ◆ Joint consultation and engagement arrangements; ◆ Joint training; ◆ Joint information and research; ◆ Joint monitoring and evaluation. ◆ Single Outcome Agreement; ◆ Child Protection Committee arrangements (multi agency): Child Protection Annual Report and Business Plan; ◆ Adult Protection Committee arrangements (multi agency); ◆ <i>The Strategic Alliance has been established to provide a forum for Pan-Ayrshire partnership issues to be considered;</i> ◆ <i>Community Health Partnership (CHP) arrangements agreed by Council in June 2008;</i> ◆ <i>Officer Locality Groups for older and Young people established;</i> ◆ <i>Multi Agency Groups such as the Alcohol and Drugs Partnership established;</i> ◆ <i>Arrangements in place to take forward Integrated Resource Framework with NHS and other Ayrshire councils;</i> ◆ South West Community Justice Partnership arrangements; ◆ Ayrshire Criminal Justice Partnership arrangements. 	

CORE PRINCIPLE 4**Taking informed and transparent decisions which are subject to effective scrutiny and managing risk**

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
<i>Supporting Principle 1 - Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny</i>			
Develop and maintain an effective scrutiny function which encourages	The role of scrutiny has been established through a scheme of delegation and committee	<ul style="list-style-type: none"> ◆ Revised decision making structure implemented incorporating a dedicated Governance and Scrutiny Committee. The Governance and Scrutiny Committee is fully Compliant with Audit Committee Principles and has overall responsibility for scrutiny and review including:- 	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
constructive challenge and enhances the authority's performance overall and that of any organisation for which it is responsible.	structures.	<ul style="list-style-type: none"> ○ Holding the Executive/Cabinet to account by dealing with decisions that have been called in; ○ Performance Review and Best Value, resources, audit, risk management and corporate governance matters; ○ Promoting and maintaining high standards of conduct amongst Members; ○ Making recommendations to the Executive/Cabinet and/or Council; ○ Setting and monitoring annual scrutiny work programmes; ○ Selection of inquiry topics and approval of project outlines and plans; ◆ A wide ranging programme of scrutiny and review has been agreed for and is being undertaken by the Governance and Scrutiny Committee. ◆ Review of decision making structure undertaken and agreed by Council in October 2009. Key outcomes to further improve scrutiny of decisions include:- <ul style="list-style-type: none"> ○ Additional opposition group representative on Cabinet; ○ Opposition group Cabinet Members able to nominate substitutes; ○ Increased regularity of Council meetings to provide a greater opportunity for individual Members to scrutinise cabinet decisions. ◆ Policy Development Consultation process agreed by Council in December 2009 to provide greater opportunity for Elected Member input into policy development and increase opportunity for the scrutiny and challenge of key Council policies at the development stage. 	
	Scrutiny work-plans are systematically driven by the authority's priorities.	◆ A wide ranging programme of scrutiny and review has been agreed for and is being undertaken by the Governance and Scrutiny Committee.	5
	Scrutiny is supported by documented evidence, option appraisal and data analysis.	<ul style="list-style-type: none"> ◆ Governance and Scrutiny Committee Reports and Minutes; ◆ Cabinet Call-in Decisions. 	5
	Record of meetings of groups established to scrutinise reports, data and findings.	◆ Governance and Scrutiny Committee Minutes.	5
	Evidence of improvements to proposals as a result of scrutiny.	◆ Governance and Scrutiny Committee Reports and Minutes including minuted decisions of Cabinet decisions called in.	5
	Agenda's and minutes of scrutiny meetings.	◆ Governance and Scrutiny Committee Agendas and Minutes.	5
	Follow-up requests in response to scrutiny	◆ Evidenced by follow up reports to the Governance and Scrutiny Committee for example, the progress update report on the review of waste recycling policy.	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
	undertaken by members.		
Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based.	<p>Decision-making protocols.</p> <p>Record of decisions and supporting material as well as use of casting vote.</p> <p>Formal statement which specifies the types of decisions that are delegated to officers and those that are reserved for members.</p>	<ul style="list-style-type: none"> ◆ New Cabinet decision making structure and Governance and Scrutiny Committee with call in procedures established in May 2007; ◆ Review of decision making structure undertaken and agreed by Council in October 2009. Key outcomes to further improve scrutiny of decisions include:- <ul style="list-style-type: none"> ○ Additional opposition group representative on Cabinet; ○ Opposition group Cabinet Members able to nominate substitutes; ○ Increased regularity of Council meetings to provide a greater opportunity for individual Members to scrutinise cabinet decisions. ◆ Decisions of Council Committees, including votes and where relevant the use of casting votes are recorded in Committee Minutes which are reported to and approved by Council; ◆ The Scheme of Delegation and Administration together with Standing Orders provide details of decision making protocols, voting arrangements and delegated authority to Officers. 	5
	Record of professional advice used in reaching decisions.	◆ Details of professional advice used in reaching decisions are contained within the officer recommendations of Committee reports.	5
	Committee reports requiring a decision include an assessment of risks associated with the decision.	<ul style="list-style-type: none"> ◆ Risk is a standard heading included in Committee reporting format guidance; ◆ Revised standard Committee Reporting Format Guidance will further strengthen risk assessment consideration by Committee. 	5
	Impact assessment and consequences of decisions should be reported back to members.	<ul style="list-style-type: none"> ◆ Impact assessment and potential consequences of decisions are outlined within the body of Committee reports presented to Elected Members. Follow up reports are considered as required; ◆ Equality Impact Assessment used to assess the environmental impact of policies, plans and strategies.; ◆ Strategic Environmental Assessment used to assess the environmental impact of policies, plans and strategies. 	4
	Ratification of any urgent decisions taken by the leaders in accordance with standing orders.	◆ Legislation does not provide for individual Elected Members taking decisions. The Council's Scheme of Delegation includes provision for the Chief Executive to take decisions in emergency situations and details arrangements for updating Cabinet and for notifying the appropriate Elected Member Spokesperson and the Leader of the Council on decisions taken.	Not applicable
	Evidence of the use of option appraisals in reaching decisions.	◆ Where appropriate, to inform decision making, option appraisals are provided within the body of Committee reports presented to Elected Members e.g. Children's' House and Crossroads Primary School;	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<ul style="list-style-type: none"> ◆ Total Project Management including Option Appraisal, Business Case Development and PRINCE2 Project Management methodology agreed by the CMT in October 2007 for implementation the across Council; ◆ Service related and Cross Cutting Best Value Service reviews are undertaken in accordance with agreed Best Value Service Review Guidance which includes option appraisal requirements; ◆ Revised standard Committee Reporting Format Guidance will further strengthen option appraisal arrangements. 	
Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice.	<p>Members' and officers' codes of conduct which refer to requirement to declare interests.</p> <p>Contract standing orders.</p> <p>Minutes showing that declarations of interest were sought and the declarations made.</p> <p>Robust guidance on what constitutes a conflict of interest.</p> <p>Up-to-date register of gifts and hospitality received.</p>	<ul style="list-style-type: none"> ◆ Elected Member and Employee Codes (<i>Reviewed in 2009</i>) of Conduct in place, both of which include requirement to declare interests; ◆ Financial Regulations and Standing Orders in relation to Contracts in place; ◆ Procurement Strategy and Contract Management Bulletins and Procedure Notes updated and published on dedicated procurement web pages for Council-wide use; ◆ Guidance for Elected Members and Employees on conflict of interest is provided within their respective Codes of Conduct; ◆ Employee Registers of Gifts and Hospitality are held by Executive Directors at Departmental level and reported to the Chief Executive on an annual basis for sign off; ◆ Register of Gifts and Hospitality for Elected Members held and updated by the Head of Democratic Services as required and published on the Council's website. 	5
	Examples of exclusion of people with personal interest in a decision from influencing or taking part in that decision.	<ul style="list-style-type: none"> ◆ Numerous examples of declarations of interest by Elected Members recorded in minutes of appropriate decision making bodies. 	5
Develop and maintain an effective audit committee (or equivalent) which is independent of the executive and scrutiny functions or make other	<p>Terms of reference.</p> <p>Membership.</p> <p>Training for committee members.</p>	<ul style="list-style-type: none"> ◆ Revised decision making structure implemented incorporating a dedicated Governance and Scrutiny Committee. The Governance and Scrutiny Committee is fully Compliant with Audit Committee Principles and has overall responsibility for scrutiny and review including:- <ul style="list-style-type: none"> ○ Holding the Executive/Cabinet to account by dealing with decisions that have been called in; ○ Performance Review and Best Value, resources, audit, risk management and corporate 	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
appropriate arrangements for the discharge of the functions of such a committee.		<p>governance matters;</p> <ul style="list-style-type: none"> o Promoting and maintaining high standards of conduct amongst Members; o Making recommendations to the Executive/Cabinet and/or Council; o Setting and monitoring annual scrutiny work programmes; o Selection of inquiry topics and approval of project outlines and plans. <p>◆ Terms of Reference for and Membership of the Governance and Scrutiny Committee are detailed within the Scheme of Delegation;</p> <p>◆ A comprehensive programme of training has been agreed for Members of the Governance and Scrutiny Committee. This includes:-</p> <ul style="list-style-type: none"> o Audit Committee Function; o Governance and Scrutiny Function; o Internal and External Audit Function; o Local Government Finance Function; o Best Value and Performance Review Function; o Risk Management Function. <p>This training is extended to all Elected Members and is currently being delivered as part of a rolling programme of Elected Member Training.</p> <p>◆ <i>Elected Member Learning and Development Strategy agreed by Council on 25 June 2009. Job outlines for Elected Members including Members of the Governance and Scrutiny Committee are now in place. These will be used to undertake individual training needs analysis and finalise personal development plans.</i></p> <p>◆ <i>Programme of Elected Member Training Seminars agreed by Council on 13 May 2010;</i></p>	
Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints.	Complaints procedure.	<p>◆ It's Better to Listen Complaints Policy and Procedures in place <i>and currently under review;</i></p> <p>◆ Social Work Complaints Policy and Procedure (statutory requirement but aligned with corporate policy) in place. (Currently under review).</p>	4
<i>Supporting Principle 2 - Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs</i>			
Ensure that those making decisions whether for the authority or the partnership are provided with information that is fit for the purpose – relevant, timely and gives clear	Discussions between members and officers on the general information needs of members to support decision making.	<p>◆ Weekly meetings between the Chief Executive and the Leader and Depute Leader of the Council;</p> <p>◆ Regular Leadership meetings between Elected Member Portfolio holders and Executive Directors (Every Committee Cycle);</p> <p>◆ Regular one to one meetings between Elected Member Portfolio holders and Executive Directors;</p> <p>◆ Officer attendance and provision of advice at pre-agenda meetings;</p>	6

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
explanations of technical issues and their implications.		<ul style="list-style-type: none"> ◆ Officer attendance and provision of advice at Council, Cabinet, Committee and other Quasi Judicial decision making forums. ◆ <i>Policy Development Consultation process agreed by Council in December 2009 to provide greater opportunity for Elected Member input into policy development and increase opportunity for the scrutiny and challenge of key Council policies at the development stage.</i> ◆ <i>Regular meetings between the Chief Executive and the Leader of the opposition scheduled around Cabinet meetings.</i> 	
	Description of predetermined report formats for major decision making which includes option appraisals, risk analysis, financial implications and impact, local impact analysis and reference to the vision and purpose of the authority.	<ul style="list-style-type: none"> ◆ Standard Committee reporting format guidance in place. Comprehensive review completed and arrangements for council-wide roll out of new Guidance currently under consideration; ◆ Preparation and presentation of Strategic Environmental Impact Assessments and Equality Impact Assessments where considered appropriate or otherwise required by law; ◆ Total Project Management including Option Appraisal, Business Case Development and PRINCE2 Project Management methodology agreed by the CMT in October 2007 for implementation the across Council. 	5
	Calendar dates for submitting, publishing and distributing timely reports.	<ul style="list-style-type: none"> ◆ Annual meetings calendar agreed, published on the Councils web site and distributed to Community Councils and through the Council's Local Office and Library network; ◆ Meetings calendar includes details of lodging dates and agenda issuing dates. 	5
Ensure that proper professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately.	Record of decision making and supporting materials.	<ul style="list-style-type: none"> ◆ Records of Agendas, Reports and Minutes containing decisions made are maintained for all Council, Cabinet, Committee and other Quasi Judicial decision making meetings. 	5
	Meeting reports which show details of any advice given.	<ul style="list-style-type: none"> ◆ Advice provided is detailed in reports presented to and minutes of Council, Cabinet, Committee and other Quasi Judicial decision making meetings. 	5

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Supporting Principle 3 - Ensuring that an effective risk management system is in place			
<p>Ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their jobs.</p>	<p>Risk management is embedded following corporate processes: -</p> <ul style="list-style-type: none"> • Strategic planning; • Financial planning; • Service delivery; • Policy making and review; • Project management; • Performance management. <p>There are written contract standing orders in place which have been formally approved, regularly reviewed and widely communicated to all staff.</p>	<ul style="list-style-type: none"> ◆ Risk analysis and management arrangements are included within the East Ayrshire Single Outcome Agreement; ◆ The effectiveness of our Risk Management Strategy and Risk Management Practices and the extent to which our risk management arrangements are embedded in our processes is evidenced by the outcome of the Insurance Tender which secured an annual reduction in insurance costs in excess of £1m whilst retaining very low levels of self-insurance; ◆ Corporate Financial Strategy includes an analysis of risks at both a corporate and departmental level; ◆ Risk management and analysis is reflected in the new Service Planning Arrangements; ◆ Risk analysis is included in Standard Committee reporting format guidance; ◆ PRINCE2 methodology, including its prescribed risk management approaches, adopted and used to facilitate Project Management across the Council; ◆ Community Planning Risk Register in place and reviewed quarterly by the Community Planning Partnership Board; ◆ Corporate Risk Management Strategy in place and reviewed to ensure compliance with best practice; ◆ Corporate Risk Register in place (Last reviewed April 2010); ◆ Departmental Risk Registers in place and reviewed by Internal Audit; ◆ Risk Management embedded in the Partnership Assessment Framework; ◆ Risk Management is embedded in new 2009/10 Service Plans; ◆ Risk Management is reflected in the Child Protection Committee Annual Report and Business Plan; ◆ Risk Management Challenge Funding and bidding process; ◆ New Risk Management Centre built to National Security Inspectorate Standards opened 2008. Remit further extended to cover additional cameras and alarm monitoring; ◆ International recognition of the Council's approach to risk management – Winner of European Risk Management Award. ◆ Examples of our approach to Risk Management initiatives were promoted as best practice in the CiPFA/IPF Risk Management Toolkit. <p>The Council has in place:-</p> <ul style="list-style-type: none"> ◆ Standing Orders; ◆ Financial Regulations and Standing Orders in relation to Contracts; <p>All of which are reviewed on a regular basis (last review August 2007).</p>	5
	<p>Risk management strategy/policy and risk management process that has</p>	<ul style="list-style-type: none"> ◆ Corporate Risk Management Strategy in place and reviewed annually to ensure compliance with best practice; ◆ Corporate Risk Register in place; 	5

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	<p>been adopted/approved by councillors and this is reviewed and updated at least annually.</p>	<ul style="list-style-type: none"> ◆ Departmental Risk Registers in place and reviewed by Internal Audit; ◆ Effective use of new electronic Risk Management System. 	
	<p>Authority maintains and reviews register of its corporate business risks linking them to strategic business objectives and assigning ownership for each risk.</p>	<ul style="list-style-type: none"> ◆ Corporate Risk Register in place; ◆ Departmental Risk Registers in place and reviewed by Internal Audit; ◆ Corporate Business Continuity Plan tested 26 Feb 2008; ◆ Programme in place to test Departmental Business Continuity Plans; ◆ Corporate Risk Advisory Group supported by Departmental Risk Management Groups established; ◆ Effective use of new electronic Risk Management System; ◆ Risk Management Challenge Funding and bidding process. 	5
	<p>Corporate register includes risks which arise from and within partnerships.</p>	<ul style="list-style-type: none"> ◆ Community Planning Risk Register in place and reviewed quarterly by the Community Planning Partnership Board; ◆ Where appropriate risks arising from partnerships are included within the Corporate Risk Register; ◆ Risk Management embedded in the Partnership Assessment Framework. 	5
	<p>Corporate risk register is supported by a series of department/service risk registers that identify and assign lower level of operational risks.</p> <p>Relevant training and guidance for all appropriate staff to enable them to take responsibility for managing risk within their own working environment.</p>	<ul style="list-style-type: none"> ◆ Departmental Risk Registers in place and reviewed by Internal Audit; ◆ Finalised Business Continuity Plans agreed for each service location; ◆ Business Continuity training provided for all Council services; ◆ Programme in place to test Departmental Business Continuity Plans; ◆ Risk Management Guide issued to assist Service Managers in managing risk; ◆ Corporate Risk Advisory Group supported by Departmental Risk Management Groups established; ◆ Risk Management Training for members of these Groups is provided on a regular basis. 	5
	<p>A member committee which has specific responsibility included in its terms of reference to consider corporate risk management.</p> <p>Regular risk management reporting to the responsible</p>	<ul style="list-style-type: none"> ◆ Governance and Scrutiny Committee has specific responsibility for Corporate Risk Management and receives regular reports on the Council's corporate business risks and risk management achievements; ◆ Community Planning Risk Register in place and reviewed quarterly by the Community Planning Partnership Board; ◆ Risk analysis is included in Standard Committee reporting format guidance; ◆ Risk Management Training for members of these Groups is provided on a regular basis. 	5

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	<p>member committee, which takes appropriate action to ensure that corporate business risks are being actively managed including reporting to full council as appropriate.</p>		
	<p>Risk management awareness training for those members with specific responsibility for risk management and ultimately for all members.</p>	<ul style="list-style-type: none"> ◆ A comprehensive programme of training has been agreed for Members of the Governance and Scrutiny Committee. This includes training on the Risk Management Function. This training is extended to all Elected Members and is currently being delivered as part of a rolling programme of Elected Member Training; ◆ <i>Elected Member Learning and Development Strategy agreed by Council on 25 June 2009. Job outlines for Elected Members including Members of the Governance and Scrutiny Committee are now in place. These will be used to undertake individual training needs analysis and finalise personal development plans;</i> ◆ A Risk Management Guide Updated October 2007 is in place and accessible to all employees on the Council's Intranet site. This provides practical advice to employees on Risk Management across the spectrum of risks faced by a Local Authority; ◆ In October 2008, members of the Governance and Scrutiny Committee were provided with training on Risk Management and making Risk based decisions. 	5
	<p>Reports to support strategic policy decisions and project initiation documents include a risk assessment and the identification of mitigating action.</p>	<ul style="list-style-type: none"> ◆ Risk analysis is included in Standard Committee reporting format guidance; Revised Standard Committee Reporting Format Guidance will further strengthen risk assessment consideration by Committee; ◆ PRINCE2 methodology, including its prescribed risk management approaches, adopted and used to facilitate Project Management across the Council; ◆ Arrangements are in place to ensure that risks arising from the wordings of procurement contracts/contracts generally/Leases etc are examined to ensure that the Council's interests are protected. 	5
	<p>Management team regularly reviews significant risks that could prevent the authority achieving its key business objectives.</p>	<ul style="list-style-type: none"> ◆ Risk register status is reported to and reviewed by the Corporate Management Team and Departmental Management Teams on a quarterly basis. 	5
	<p>Assurances sought that action is being taken on risk-related issues identified by auditors and inspectors.</p>	<ul style="list-style-type: none"> ◆ Departmental Risk Registers in place and reviewed by Internal Audit; ◆ <i>A database of all external inspection reports has been established to track and monitor required improvement actions;</i> ◆ Follow up risk management actions arising from external inspections are monitored through the Chief Executive's <i>one to one meetings with Executive Directors.</i> 	5

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	Consideration by the organisation of positive risks (opportunities) as well as negative risks (threats).	<ul style="list-style-type: none"> ◆ The importance of Risk Management being seen as a positive concept/practice is reflected within both the Risk Management Strategy and the Risk Register System User's Guide; ◆ Positive risks and opportunities are also covered in the training provided to each Risk Management Group. 	5
	Authority has conducted an annual review of the effectiveness of the system of internal control and reported on this in the Statement on internal control (SIC).	<ul style="list-style-type: none"> ◆ Assurance on Internal Financial Controls is provided in the Group Statement on the System of Internal Financial Controls as detailed in the Council's Annual Audited Statement of Accounts. 	5
	Sources of assurance to support the SIC have been identified and are reviewed by senior officers and members.	<ul style="list-style-type: none"> ◆ Executive Directors Assurance Statements are signed off on an annual basis and reviewed by the Executive Head of Finance and Asset Management; ◆ Statement on the System of Internal Financial Control is signed off annually by the Chief Executive and the Executive Head of Finance and Asset Management and included within the Council's Annual Statement of Accounts; ◆ Chief Auditor reports on internal controls annually; ◆ Elected Members approve Annual Audited Statement of Accounts and Corporate Governance arrangements; ◆ Annual Statement on Systems of Internal Control by the Chief Auditor. 	5
	There are action plans in place to address any significant internal control issues reported in the SIC.	<ul style="list-style-type: none"> ◆ Action plans will be put in place as required to address any issues identified in the future. 	5
	An appropriate member group has responsibility for review and approval of the SIC and considers it separately from the accounts.	<ul style="list-style-type: none"> ◆ The Chief Auditor's Annual report on the Audit of the Council's Internal Control Systems is considered by the Governance and Scrutiny Committee. 	5
Ensure that effective arrangements for whistleblowing are in place to which officers, staff and all those contracting with or appointed by the authority have access.	Whistleblowing policy exists and has been reviewed and updated regularly.	<ul style="list-style-type: none"> ◆ Whistleblowing Policy and Procedures in place for all employees and reviewed June 2009. 	5
	Formal committee approval of policy.	<ul style="list-style-type: none"> ◆ Whistleblowing Policy and Procedures approved by Cabinet 3 June 2009. 	5
	Communication and dissemination of policy.	<ul style="list-style-type: none"> ◆ Whistleblowing Policy and Procedures issued as Personnel Circular and available to all employees through the Staff Intranet Site. 	5
	Effectiveness of policy, for example, Reports on incidence of usage.	<ul style="list-style-type: none"> ◆ No major incidents have arisen from the Whistleblowing Policy or grievances regarding the application of the Whistleblowing Policy; 	5

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		<ul style="list-style-type: none"> ◆ Reporting arrangements in place to facilitate reporting on Whistleblowing incidents to the Governance and Scrutiny Committee on a quarterly and annual basis. 	
	Policy has been made available to members of the public, employees, partners and contractors.	<ul style="list-style-type: none"> ◆ Whistleblowing Policy and Procedures issues as Personnel Circular and available to all employees through the Staff Intranet Site; ◆ Policy available on request by members of the public, partners and contractors. 	5
<i>Supporting Principle 4 - Using their legal powers to the full benefit of the citizens and communities in their area.</i>			
Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine but also strive to utilise their powers to the full benefit of their communities.	<p>Constitution.</p> <p>Monitoring office provisions.</p> <p>Statutory provision.</p>	<ul style="list-style-type: none"> ◆ The Council's procedural documentation clearly details the decision making structure. This includes Scheme of Delegation, Standing Orders, Standing Orders relating to contracts, Contract Procurement Protocols and Financial Regulations, all of which reflect legal and legislative requirements placed upon the Council; ◆ The Head of Legal, Procurement and Regulatory Services, and Solicitor to the Council, acts as Monitoring Officer and ensures that the Council acts within legal and statutory requirements. This is achieved through:- <ul style="list-style-type: none"> ○ the provision of frontline legal advice to client departments on a daily basis; ○ the active participation of the Head of Legal, Procurement and Regulatory Services or his representative on the Corporate Management Team in a scrutiny capacity to ensure legal compliance; ○ the active involvement of the legal service in the preparation and consideration of legal implications arising from all relevant Committee Reports; ○ the attendance of the Head of Legal, Procurement and Regulatory Services or his representative at all Council, Cabinet, Committee and Quasi-judicial decision making bodies of the Council (including pre-agenda meetings) to provide sound legal advice, undertake a gate keeping role and ensure legal compliance. ◆ Innovative use of legislative powers where the opportunity arises is encouraged as appropriate. This is demonstrated for example by the use of bye laws to regulate paths being used to address community safety issues at Kirkstyle underpass. 	5
Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on authorities by public law.	Training of members and officers on legal issues.	<ul style="list-style-type: none"> ◆ Training for members on legal issues is provided on an ad-hoc basis as required to meet identified needs. Examples of legal training undertaken recently includes:- <ul style="list-style-type: none"> ○ Planning Topics; ○ Licensing Panel Issues; ○ Licensing Board Issues; ○ Code of Conduct Issues; ○ Corporate Manslaughter; ◆ Frontline legal advice and training to officers within client departments is provided on an 	5

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		ongoing basis.	
	Record of legal advice provided by officers.	<ul style="list-style-type: none"> ◆ Legal advice provided to clients is recorded in relevant case files in accordance with law society requirements; ◆ Any legal advice expressed at the Corporate Management Team (CMT) is recorded in the minutes of the CMT; ◆ Any legal advice provided within Council, Cabinet or Committee reports is recorded under the legal implications section of the relevant report; ◆ A record of legal advice on significant issues expressed at Council, Cabinet or Committee meetings is provided within the relevant minutes. ◆ 	5
Observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justice – into their procedures and decision-making process.	Monitoring officer provisions. Job description/specification. Statutory provisions.	<ul style="list-style-type: none"> ◆ The Council's procedural documentation clearly details the decision making structure. This includes Scheme of Delegation, Standing Orders, Standing Orders relating to contracts, Contract Procurement Protocols and Financial Regulations, all of which reflect legal and legislative requirements placed upon the Council; ◆ The Head of Legal, Procurement and Regulatory Services, and Solicitor to the Council, acts as Monitoring Officer and ensures that the Council acts within legal and statutory requirements. This is achieved through:- <ul style="list-style-type: none"> ○ the provision of frontline legal advice to client departments on a daily basis; ○ the active participation of the Head of Legal, Procurement and Regulatory Services or his representative on the Corporate Management Team in a scrutiny capacity to ensure legal compliance; ○ the active involvement of the legal service in the preparation and consideration of legal implications arising from all relevant Committee Reports; ○ the attendance of the Head of Legal, Procurement and Regulatory Services or his representative at all Council, Cabinet, Committee and Quasi-judicial decision making bodies of the Council (including pre-agenda meetings) to provide sound legal advice, undertake a gate keeping role and ensure legal compliance. ◆ Compliance is demonstrated by:- <ul style="list-style-type: none"> ○ only one formal complaint of maladministration being partially upheld by the Ombudsman since 1996; ○ few successful challenges by way of judicial review since 1996. 	5

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CORE PRINCIPLE 5**Developing the capacity and capability of members and officers to be effective**

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
Supporting Principle 1 - Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles			
Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis.	<p>Assessment of the skills of individual members and officers.</p> <p>Training and development plan for each member and officer.</p> <p>Induction programme which includes an introduction to the local environment and the sector, the authority's relationship with other bodies and the context for the authority's strategy.</p> <p>Access to update courses/information.</p>	<ul style="list-style-type: none"> ◆ Annual EAGER Reviews for employees; ◆ Individual EAGER Personal Development Plans for employees; ◆ New competency based framework to support EAGER piloted within Human Resources Service. Proposals for Council wide roll out of new arrangements to be considered by Cabinet in June 2010; ◆ Core Skills training available through Organisational Development aligned to Competency Framework with specific training available inter alia on Customer Care, Stress Management and Equality and Diversity; ◆ Training delivered to all managers on Corporate Policies and updated through Toolbox Talks; ◆ Business Partner support available to all individuals and Services to meet learning and development needs identified through EAGER and business partner consulting. Tailored interventions designed and delivered; ◆ Development Matrices available to support Services to identify and deliver relevant learning and development at Corporate and Departmental level and in respect of Health and Safety training; ◆ In-house training programme for employees; ◆ In-house training programmes designed to ensure that employees meet the standards required by external regulation eg Care Commission; ◆ In-house arrangements designed to ensure continuing professional development opportunities (CPD) are available to employees to ensure they comply with external registration requirements (eg Scottish Social Services Council); ◆ Allocated budget for Higher and Further Education Qualifications; ◆ Management Capacity being developed through:- <ul style="list-style-type: none"> ○ A two day Introduction to Management programme for new and aspiring first line managers; ○ Award and certificate, first line manager development programmes, accredited by the Institute of Leadership and Management ○ In-house management development modules for middle managers ○ A Management Development Programme for all 3rd and 4th tier managers being 	4

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<p><i>delivered and accredited by the University of the West of Scotland (UWS) together with Organisational Development support and interventions through development events;</i></p> <ul style="list-style-type: none"> ◆ Service led Staff Training Plans; ◆ Review and Development Plans in place for all teaching staff; ◆ <i>Elected Member Learning and Development Strategy agreed by Council on 25 June 2009. Training Needs Analysis currently being undertaken for all Elected Members from which development interventions will be identified and delivered through personal development plans for each Elected Member (anticipated to be completed by July 2010);</i> ◆ <i>Programme of Elected Member Training Seminars agreed by Council on 13 May 2010;</i> ◆ <i>Revised</i> Corporate Induction Process in place for employees (Corporate, Service and job related); ◆ Comprehensive Induction programme in Place for New Elected Members; ◆ Induction pack provided to all new Elected Members; ◆ An Elected Member Information Portal has been created on the Council's Intranet site to provide information directly to Elected Members; ◆ A comprehensive programme of training has been agreed for Members of the Governance and Scrutiny Committee. This includes:- <ul style="list-style-type: none"> ○ Audit Committee Function; ○ Governance and Scrutiny Function; ○ Internal and External Audit Function; ○ Local Government Finance Function; ○ Best Value and Performance Review Function; ○ Risk Management Function; ◆ This training is extended to all Elected Members and is currently being delivered as part of a rolling programme of Elected Member Training. 	
Ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the authority.	Job description/personal specification. Training and development plan for each officer.	<ul style="list-style-type: none"> ◆ Job descriptions and Person Specifications in place; ◆ Chief Officer Appraisal Arrangements include for agreement of Personal Development Plans. 	4

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
Supporting Principle 2 - Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group			
Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively.	Training and development plan.	<ul style="list-style-type: none"> ◆ Annual EAGER Reviews for employees; ◆ Individual EAGER Personal Development Plans for employees; ◆ New competency based framework to support EAGER piloted within Human Resources Service. Proposals for Council wide roll out of new arrangements to be considered by Cabinet in June 2010; ◆ Service led Staff Training Plans; ◆ Review and Development Plans in place for all teaching staff; ◆ In-house training programmes designed to ensure that employees meet the standards required by external regulation eg Care Commission; ◆ In-house arrangements designed to ensure continuing professional development opportunities (CPD) are available to employees to ensure they comply with external registration requirements (eg Scottish Social Services Council); ◆ Chief Officer Appraisal Arrangements include for agreement of Personal Development Plans; ◆ Elected Member Learning and Development Strategy agreed by Council on 25 June 2009. Training Needs Analysis currently being undertaken for all Elected Members from which development interventions will be identified and delivered through personal development plans for each Elected Member (anticipated to be completed by July 2010); ◆ Programme of Elected Member Training Seminars agreed by Council on 13 May 2010. 	4
	Performance reviews of officers and members.	<ul style="list-style-type: none"> ◆ Annual EAGER Reviews for employees to include an assessment of performance review; ◆ New competency based framework to support EAGER piloted within Human Resources Service. Proposals for Council wide roll out of new arrangements to be considered by Cabinet in June 2010; ◆ Review and Development arrangements in place for all teaching staff include an assessment of performance review; ◆ Chief Officer Appraisal Arrangements include an assessment of performance review; ◆ Collective activity of Cabinet Members performance is reviewed regularly by Council through question and answer sessions on cabinet activity and is subjected to regular scrutiny by the Governance and Scrutiny Committee through call in procedures; ◆ The Leader's report (6 monthly) on the activities of the Cabinet is scrutinised by Council; ◆ Collective activity of the Governance and Scrutiny Committee Members is reviewed by Council when considering the Chair's annual report on the activities of the Governance and Scrutiny Committee. ◆ 	4

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
Develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed.	<p>Training and development plan which reflects requirements of a modern councillor including:</p> <ul style="list-style-type: none"> • Ability to scrutinise and challenge; • Ability to recognise when outside advice is required; • Advice on how to act as an ambassador for the community; • Leadership and influencing skills. 	<ul style="list-style-type: none"> ◆ <i>Elected Member Learning and Development Strategy agreed by Council on 25 June 2009. Training Needs Analysis currently being undertaken for all Elected Members from which development interventions will be identified and delivered through personal development plans for each Elected Member (anticipated to be completed by July 2010);</i> ◆ <i>Programme of Elected Member Training Seminars agreed by Council on 13 May 2010;</i> ◆ . A comprehensive programme of training has been agreed for Members of the Governance and Scrutiny Committee. This includes:- <ul style="list-style-type: none"> ○ Audit Committee Function; ○ Governance and Scrutiny Function; ○ Internal and External Audit Function; ○ Local Government Finance Function; ○ Best Value and Performance Review Function; ○ Risk Management Function. ◆ This training is extended to all Elected Members and is currently being delivered as part of a rolling programme of Elected Member Training; 	4
Ensure that effective arrangements are in place for reviewing the performance of the executive as a whole and of individual members and agreeing an action plan which might, for example, aim to address any training or development needs.	<p>Performance management system.</p> <p>Staff development plans linked to staff appraisals.</p>	<ul style="list-style-type: none"> ◆ <i>New Electronic Performance Management System now operational and populated with a wide range of performance indicators agreed following a comprehensive review of performance indicators across all Council services;</i> ◆ <i>Chief Executive's and Executive Directors' Performance Scorecards updated with real time period performance information and reported using EPMS. Reports traffic light performance against agreed targets and tolerances and include contextual commentary;</i> ◆ Chief Executive's Performance Review and Monitoring for Executive Directors; ◆ Local Performance information and management information is routinely monitored and considered by Departmental and Service Management Teams; ◆ Performance Indicators are in place for each service and a description on how progress against these will be assessed, monitoring responsibilities and exception reporting arrangements is included within the new Service Plans; ◆ Statutory Performance Indicators are collected and reported annually to Council, Cabinet and the Governance and Scrutiny Committee; ◆ Monitoring against National Priorities, for example, Education Service in relation to attainment and Social work in relation to Care Commission; ◆ Performance Monitoring function undertaken by the Governance and Scrutiny Committee; ◆ Regular Leadership meetings between Elected Member Portfolio holders and Executive 	4

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<p>Directors (Every Committee Cycle);</p> <ul style="list-style-type: none"> ◆ Annual EAGER Reviews for employees; ◆ Individual EAGER Personal Development Plans for employees; ◆ <i>New competency based framework to support EAGER piloted within Human Resources Service. Proposals for Council wide roll out of new arrangements to be considered by Cabinet in June 2010;</i> ◆ Service led Staff Training Plans; ◆ In-house training programmes designed to ensure that employees meet the standards required by external regulation eg Care Commission; ◆ In-house arrangements designed to ensure continuing professional development opportunities (CPD) are available to employees to ensure they comply with external registration requirements (eg Scottish Social Services Council); ◆ Review and Development Plans in place for all teaching staff; ◆ Chief Officer Appraisal Arrangements include for agreement of Personal Development Plans. 	
<i>Supporting Principle 3 - Encouraging new talent for membership of the authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal.</i>			
<p>Ensure that effective arrangements are in place designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority.</p>	<p>Strategic partnership frameworks.</p> <p>Stakeholder forums terms of reference.</p> <p>Area forum roles and responsibilities.</p> <p>Resident panel structure.</p>	<ul style="list-style-type: none"> ◆ Community Planning structures have been agreed to ensure that people and communities are genuinely engaged in decisions about public services which affect them, Structures in place include:- <ul style="list-style-type: none"> ○ Community Planning Partnership Board (Including Community Representatives); ○ Community Planning Joint Officers Group; ○ Thematic Action Plan Working Groups; ○ 4 Local Community Planning Forums; ○ Federations of Community Groups; ○ Equalities Forum, Supported by four Equalities Networks (Disability, Gender, Black and Ethnic Minority Communities and Older People); ○ Children and Young Peoples Forum; ○ Community Planning Residents Panel (Comprising of a database of 1,000 people) and Focus Groups. ◆ Community Planning Partnership Board on 30 April 2009 considered annual review and agreed that decision making structures were fit for purpose; ◆ Annual Consultation Plan in place; ◆ Three yearly Community Planning Residents Survey; ◆ 4 Local Community Planning Forums – 2 day training event 'Learning together, Working Together' attended by Elected Members, Community Representatives and Community 	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		Planning Partners undertaken to further develop community engagement; <ul style="list-style-type: none"> ◆ Positive evaluation of the effectiveness of the Local Community Planning Forums against the National Standards of Community Engagement and from Community Representatives and Partners was achieved in February 2010; ◆ All-Ayrshire Race Equality Partnership; ◆ East Ayrshire North and Cumnock and Doon Valley Access Panels; ◆ Youth Forum/Pupil Forum in all schools; ◆ Children's Services Forum; ◆ Children and Young People Forum; ◆ Statutory consultation with Community Councils; ◆ Networking arrangements with the Third Sector – interface development 	
Ensure that career structures are in place for members and officers to encourage participation and development.	Succession planning.	<ul style="list-style-type: none"> ◆ Succession Planning included within overall Workforce Planning Arrangements agreed by Cabinet May 2008. ◆ Workforce Planning is an integral part of the Service Planning process and is reflected in individual Service Plans. ◆ Workforce Planning is a key strand of SRRB2, the Council's Efficiency Strategy. 	4

CORE PRINCIPLE 6**Engaging with local people and other stakeholders to ensure robust public accountability**

The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
Supporting Principle 1 - Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships.			
Make clear to themselves, all staff and the community to whom they are accountable and for what.	Community strategy. Results from internal/external consultation exercises have been analysed and published.	<ul style="list-style-type: none"> ◆ Guide to Community Engagement (updated 2008) published in hard copy and on Community Planning website, providing a practical resource to support the planning and delivery of community engagement activities within East Ayrshire; ◆ Details of past, current and future consultation exercises are detailed on the Community Planning WebPages, allowing access to relevant information from consultation exercises; ◆ The Joint Annual Community Consultation Plan for the Community Planning Residents' Panel, published on the Community Planning Website, highlights the range of proposed consultation and engagement exercises which will be carried out by Community Planning Partners over the coming year; ◆ Annual Plan for engagement with the 4 Local Community Planning Forums; 	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<ul style="list-style-type: none"> ◆ Three yearly Community Planning Residents Survey (last survey 2008); ◆ New Service Plans reflect Customer/Stakeholder expectations and reflect the outcome of consultation exercises. 	
Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required.	Establish a database of stakeholders with whom the authority should engage, and for what purpose, and a record of an assessment of the effectiveness of any changes.	<ul style="list-style-type: none"> ◆ Community Planning structures have been agreed to ensure that people and communities are genuinely engaged in decisions about public services which affect them, Structures in place include:- <ul style="list-style-type: none"> ○ Community Planning Partnership Board (Including Community Representatives); ○ Community Planning Joint Officers Group; ○ Thematic Action Plan Working Groups; ○ 4 Local Community Planning Forums; ○ Federations of Community Groups; ○ Equalities Forum, Supported by four Equalities Networks (Disability, Gender, Black and Ethnic Minority Communities and Older People); ○ Children and Young Peoples Forum; ○ Community Planning Residents Panel (Comprising of a database of 1,000 people) and Focus Groups. ◆ Annual Consultation Plan in place; ◆ Three yearly Community Planning Residents Survey (last survey 2008); ◆ East Ayrshire North and Cumnock and Doon Valley Access Panels; ◆ All-Ayrshire Race Equality Partnership; ◆ Statutory consultation arrangements and Scheme for the establishment of Community Councils in place and supported on an administrative, financial and advisory capacity by the Head of Democratic Services; ◆ Networking arrangements with the Third Sector - interface development; ◆ Mapping exercise carried out as part of the further development of the Council's Public Performance Reporting Strategy asked services to identify stakeholders. 	5
Produce an annual report on the activity of the scrutiny function.	Authority publishes its accounts in accordance with statutory requirements.	<ul style="list-style-type: none"> ◆ Annual Audited Statement of Accounts completed and published to a high standard in accordance with statutory requirements and to meet statutory timescale; ◆ Full financial statements prepared in accordance with the Accounting Code of Practice; ◆ Annual Performance Report includes financial overview and will be available electronically on the Council's website and at all Local Offices and Libraries; ◆ Chief Auditor's Annual Report. 	5
	Authority publishes a report for the public on the outcomes specified in the Single	<ul style="list-style-type: none"> ◆ SOA annual Performance Report agreed and presented to the Scottish Government in September each year (Report available on the Council's website). 	4

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
	Outcome Agreement, which is accessible by the public		
Supporting Principle 2 - Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning.			
Ensure clear channels of communication are in place with all sections of the community and other stakeholders, and put in place monitoring arrangements and ensure that they operate effectively.	Communication Strategy. Process for dealing with competing demands within the community.	<ul style="list-style-type: none"> ◆ Community Planning structures have been agreed to ensure that people and communities are genuinely engaged in decisions about public services which affect them, Structures in place include:- <ul style="list-style-type: none"> ○ Community Planning Partnership Board (Including Community Representatives); ○ Community Planning Joint Officers Group; ○ Thematic Action Plan Working Groups; ○ 4 Local Community Planning Forums; ○ Federations of Community Groups; ○ Equalities Forum, Supported by four Equalities Networks (Disability, Gender, Black and Ethnic Minority Communities and Older People); ○ Children and Young Peoples Forum; ○ Community Planning Residents Panel (Comprising of a database of 1,000 people) and Focus Groups. ◆ Annual Consultation Plan in place; ◆ The Joint Annual Community Consultation Plan for the Community Planning Residents' Panel, published on the Community Planning Website, highlights the range of proposed consultation and engagement exercises which will be carried out by Community Planning Partners over the coming year; ◆ Annual Plan for engagement with the 4 Local Community Planning Forums; ◆ Three yearly Community Planning Residents Survey; ◆ East Ayrshire North and Cumnock and Doon Valley Access Panels; ◆ All-Ayrshire Race Equality Partnership; ◆ Statutory consultation arrangements and Scheme for the establishment of Community Councils in place and supported on an administrative, financial and advisory capacity by the Head of Democratic Services; ◆ Networking arrangements with the Third Sector - interface development; ◆ CVO (Council of Voluntary Organisations) Partnership; ◆ Extensive engagement exercise underway to inform the second 4 yearly review of the Community Plan will involve the community in deciding strategic priorities against competing demands; ◆ Extensive community consultation including a budget workshop used to inform the 	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<p>2010/11 budget and to assess priorities for future financial years in recognition of competing demands;</p> <ul style="list-style-type: none"> ◆ New Annual Performance Report and Headlines magazine will be available electronically on the Council's website and at all Local Offices and Libraries; ◆ Communications Officer Working Group established to undertake an audit of all internal and external communications currently undertaken and to review links between the existing communications framework, organisational development and information technology to exploit new technologies in communicating with both employees and service users. 	
<p>Hold meetings in public unless there are good reasons for confidentiality.</p>	<p>Evidence that there has been active promotion of the meetings to the public.</p> <p>Records of council meetings.</p>	<ul style="list-style-type: none"> ◆ Access is one of the council's 4 core values; ◆ Council Commitment to hold all meetings in public, except where required by statute to consider issues in private; ◆ Minimal council business held in private; ◆ Limited application of access to information exclusion grounds; ◆ Decentralisation scheme; ◆ 4 Local Community Planning Forums introduced to strengthen and increase community representation in local decision making; ◆ Local Planning Committees – hearing procedure allows all parties to be heard; ◆ Annual meetings calendar agreed, published on the Councils website and distributed to Community Councils and through the Council's Local Office and Library network to actively promote meetings to the public; ◆ Agendas and Reports for all Council Meetings published in advance of meetings on the Council's website and available in hard copy on request from members of the public; ◆ Minutes of all Council are published on the Council's Website; ◆ Compliance with Data Protection Act; ◆ Compliance with the requirements of the Freedom of Information Act; ◆ Revised Freedom of Information Publications Scheme approved by Cabinet on 1 April 2009; ◆ Freedom of Information systems and procedures; ◆ Corporate Record Retention Schedules; ◆ Compliance with Environmental Information regulations. 	5
<p>Ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively. These</p>	<p>Record of public consultations.</p>	<ul style="list-style-type: none"> ◆ Details of past, current and future consultation exercises are detailed on the Community Planning WebPages, allowing access to relevant information from consultation exercises; ◆ Annual Consultation Plan in place; ◆ 4 Local Community Planning Forums; ◆ Federations of Community Groups; 	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
<p>arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands.</p>		<ul style="list-style-type: none"> ◆ Equalities Forum, Supported by four Equalities Networks (Disability, Gender, Black and Ethnic Minority Communities and Older People); ◆ Children and Young Peoples Forum; ◆ Community Planning Residents Panel (Comprising of a database of 1,000 people) and Focus Groups; ◆ Three yearly Community Planning Residents Survey (last survey 2008); ◆ Community consultations inform the mid-term review of Community Plan Action Plans and the <i>First</i> 4 Yearly review of Community Plan; ◆ Extensive engagement exercise underway to inform the second 4 yearly review of the Community Plan; ◆ Annual Community and Voluntary Sector briefings held hear the communities/third sector's views on Community Planning/SOA objectives; ◆ The Council's comments and suggestions scheme; ◆ Extensive community consultation including a budget workshop used to inform the 2010/11 budget and to assess priorities for future financial years in recognition of anticipated financial pressures; ◆ Customer/User Satisfaction Surveys and Questionnaires; ◆ Other Stakeholder Consultations; ◆ Council for Voluntary Organisations Partnership; ◆ Community Safety Partnership; ◆ Registered Social Landlords; ◆ Registered Tenants Organisations; ◆ Tenant Participation Steering Group; ◆ Tenant Satisfaction Survey; ◆ Annual Council House Tenant Conference; ◆ East Ayrshire Residents' Syndicate Group; ◆ Rent Consultations; ◆ Housing Stock Options Appraisal Consultation; ◆ Housing Allocation Policy Review consultation; ◆ Leisure Services consultation/focus group exercises (DCCP, EALRIS, A&M, LD, OA, and CR); ◆ Children and Young People Forum; ◆ Youth Forum/Pupil Forum in all schools; ◆ Early Years Forum; ◆ 2 yearly sample stakeholder surveys of pupils, parents and teachers in all schools; 	

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<ul style="list-style-type: none"> ◆ Out of School Care Network; ◆ Children's Services Forum; ◆ Children's Service Plan Annual Seminar; ◆ Parental Involvement Strategy Group meetings and steering Group/Stakeholder Surveys; ◆ The Pupil Council Forum meets with the Executive Director and Spokespersons for Lifelong Learning; ◆ Community Based Adult Learning consultation; ◆ Adult Education Programme consultation; ◆ Consultation on the Future of Educational Provision for Pupils in Crossroads Primary School; ◆ The production of the Local Transport Strategy involved rigorous consultation with community organisations; ◆ Kilmarnock Town Centre Regeneration consultation Strategy agreed; ◆ Cumnock Town Centre Regeneration Information Office and Consultation meetings; ◆ Dumfries Estate Core Team and Community Consultations; ◆ Employability Services consultation; ◆ Race Equality Scheme; ◆ East Ayrshire North and Cumnock and Doon Valley Access Panels; ◆ Statutory consultation with Community Councils; ◆ Review of the Community Council Scheme ◆ Networking arrangements with the Third Sector - interface development ; ◆ Leisure and Cultural Strategy Consultation. ◆ Carers Strategy Partnership Working Event (June 2008) (Social Work); ◆ Carers Action Plan 2009/11 consultation; ◆ Meals at Home Service: Service Quality and Service User Satisfaction Survey undertaken in conjunction with Stirling University (Community Care); ◆ Involvement of service users and carers in recruitment processes (Social Work); ◆ Involvement of service users and carers in redesign of services (Social Work); ◆ Annual Older Peoples' Conference 	
Establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users about including a feedback	Partnership framework Communications strategy	<ul style="list-style-type: none"> ◆ Community Planning structures have been agreed to ensure that people and communities are genuinely engaged in decisions about public services which affect them, Structures in place include:- <ul style="list-style-type: none"> ○ Community Planning Partnership Board (Including Community Representatives); ○ Community Planning Joint Officers Group; ○ Thematic Action Plan Working Groups; 	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
mechanism for those consultees to demonstrate what has changed as a result.		<ul style="list-style-type: none"> ○ 4 Local Community Planning Forums; ○ Federations of Community Groups; ○ Equalities Forum, Supported by four Equalities Networks (Disability, Gender, Black and Ethnic Minority Communities and Older People); ○ Children and Young Peoples Forum; ○ Community Planning Residents Panel (Comprising of a database of 1,000 people) and Focus Groups. ◆ Community Planning Core Partners' are committed to carrying out joint community consultation and engagement, where possible, to ensure that people know what is happening and, more importantly, are enabled and supported to play an active part in achieving the shared vision for East Ayrshire; ◆ National Standards for Community Engagement have been adopted by all Community Planning Partners; ◆ Details of past, current and future consultation exercises are detailed on the Community Planning Website, providing an excellent resource allowing access to relevant information from consultation exercises, consequently rationalising the number of such exercises required and minimising 'consultation fatigue' among the residents of East Ayrshire; ◆ The Joint Annual Community Consultation Plan for Community Planning Residents' Panel highlights the range of proposed consultation and engagement exercises which will be carried out by Community Planning Partners over the coming year; ◆ Communications Officer Working Group established to undertake an audit of all internal and external communications currently undertaken and to review links between the existing communications framework, organisational development and information technology to exploit new technologies in communicating with both employees and service users. 	
On an annual basis, publish a performance plan giving information on the authority's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period.	<p>Annual report which provides details of both positive and negative performance in terms of outcomes specified in the Single Outcome Agreement.</p> <p>Timely production of the annual financial statements.</p> <p>Making the findings of inspectors and regulators</p>	<ul style="list-style-type: none"> ◆ Annual Budget Setting Report including indicative 3 Year Financial Strategy; ◆ Annual Audited Statement of Accounts completed to a high standard within the statutory timescale; ◆ 'Financial Strategy' published, linking budgets to service pressures and objectives for the coming year; ◆ SOA annual Performance Report agreed and presented to the Scottish Government in September each year (Report available on the Council's website). ◆ Annual performance reports on each of the four Community Planning Thematic Action Plans are reported to relevant decision making forums and published on the Council's website; ◆ New Annual Performance Report will incorporate a Financial Overview. 	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
	available to the public as well as the results of any self-assessments undertaken by the authority itself, which identify the areas where the authority needs to improve.	<ul style="list-style-type: none"> ◆ Statutory Performance Indicators published; ◆ Council-Wide Strategic Self-Assessment of Performance reported to Cabinet May 2009. Improvement Action Plan agreed by Cabinet June 2009. Annual Review of performance reported to Governance and Scrutiny Committee May 2010; ◆ New Annual Performance Report gives information on where further information can be sought on the results of external audits and inspections including detailing of inspectorate such as Audit Scotland, HMie, SWIA etc; ◆ Outcome of BV2 Pathfinder Audit reported to Council on 13 May 2010. ◆ The outcomes of all significant external inspections are reported to Council and Cabinet where appropriate and in all cases to the Governance and Scrutiny Committee; ◆ A database of all external inspection reports has been established to track and monitor required improvement actions. ◆ The results of all significant external inspections will be made available to the public on the Council's website; 	
	Public performance reporting which is accessible, user friendly and tailored to the needs of local communities.	<ul style="list-style-type: none"> ◆ New Annual Performance Report published annually in June and will be available electronically on the Council's website and at all Local Offices and Libraries; ◆ Publication of statement of the Council's plans for Public Reporting for forthcoming year on the Council's website and sent to public upon request. This list details the extensive variety of corporate and service level Public Performance Reporting carried out annually; 	5
Ensure that the authority as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so.	Constitution. Complying with the requirements of the Freedom of Information act.	<ul style="list-style-type: none"> ◆ Access is one of the council's 4 core values; ◆ Council Commitment to hold all meetings in public, except where required by statute to consider issues in private; ◆ Minimal council business held in private; ◆ Limited application of access to information exclusion grounds; ◆ Decentralisation scheme; ◆ 4 Local Community Planning Forums introduced to strengthen and increase community representation in local decision making; ◆ Local Planning Committees – hearing procedure allows all parties to be heard; ◆ Agendas, Reports and Minutes for all Council Meetings published on the Council's website; ◆ Compliance with the requirements of the Freedom of Information Act; ◆ Compliance with Data Protection Act; ◆ Freedom of Information systems and procedures in place to ensure compliance with statutory timescales for provision of information; ◆ Revised Freedom of Information Publications Scheme approved by Cabinet on 1 April 2009; 	5

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The Local Code should reflect the requirements for Local Authorities to:	Examples of Evidence	Demonstration of Local Compliance	Review Score
		<ul style="list-style-type: none"> ◆ Corporate Record Retention Schedules; ◆ Compliance with Environmental Information regulations; ◆ Standards and Quality Reports (EDESS); ◆ <i>New Annual Performance Report and Headlines magazine will be available electronically on the Council's website and at all Local Offices and Libraries;</i> ◆ Headlines Magazine to all households (Council newsletter); ◆ Annual Reporting of major Community Planning & Partnership Initiatives and electronic access to plans and performance reports via dedicated Community Planning web site; ◆ Bi-annual Community Councils Seminars; ◆ Annual Consultation on the Budget; ◆ Public Local Enquiries; ◆ Tenant involvement in Housing Improvement agenda; ◆ Integrated Children and Young People's Service Plan – Annual Seminar; ◆ Parent's open events (annually); 	
<i>Supporting Principle 3 - Making best use of human resources by taking an active and planned approach to meet responsibility to staff.</i>			
Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making.	Constitution	<ul style="list-style-type: none"> ◆ Central Joint Consultative Committee; ◆ Departmental Joint Consultative Committees; ◆ Teachers' Joint Consultative Committee; ◆ Employee Attitude Surveys (2005 and 2008), including benchmarked information with other Councils; ◆ Focus Groups established in response to the 2008 Employee Attitude Survey to review results and develop an auctioned response; ◆ Corporate Management Team, Departmental Management Teams and Service Team Meetings facilitate a two way process of communication and the involvement of employees in policy development and service planning; ◆ <i>Extensive employee consultation including budget workshops with staff used to inform the 2010/11 budget and to assess priorities for future financial years in recognition of anticipated financial pressures.</i> 	5

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Appendix 3 – Corporate Governance Improvement Action Plan 2010/11

Action Required	Lead Officer	Timetable
Principle 1 - Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area		
Conclude the second 4 yearly review of the Community Plan and Thematic Action Plans to inform the Council and Community planning Partners' vision, aim and strategic priorities for the period 2011 to 2015.	Executive Director of Finance and Corporate Support	March 2011
<p>Finalise the review of existing Corporate Complaints Policy in line with national standards (Recommended by Douglas Sinclair, Chair of the 'Fit for Purpose Complaints System Action Group' established in response to the findings of the Crerar Review) and make recommendations for improvements in relation to:</p> <ul style="list-style-type: none"> • arrangements for raising public awareness of the Council's complaints procedure; • arrangements for recording and reporting complaints, including actions taken to prevent recurrence and improve service delivery arrangements; • the development of a Customer Complaints toolkit and roll out training for all front line staff; • consideration of the need for a common point of entry for all complaints; • consideration of the development of one unified approach to complaints handling for the Council and its Community Planning Partners; and arrangements for the regular testing of the Council's complaints handling systems. 	Head of Democratic Services	September 2010
Carry out a review of the Council's Customer Relationship Management arrangements, this to include a review of the corporate application and approach to Customer First Strategy and the development of appropriate indicators to measure performance against customer service standards.	Head of Democratic Services	March 2011

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Ensure that appropriate Service Standards are developed and included within Service Plans and that performance against agreed Service Standards are monitored and reported through the new electronic Performance Management Framework.	All Executive Directors	March 2011
Principle 2 - Members and Officers working together to achieve a common purpose with clearly defined functions and roles		
Undertake a review of the Council's Financial Regulations and Standing Orders in relation to Contracts.	Head of Finance	December 2010
As part of the Single Status Agreement, finalise and implement the outcome of the current review of Conditions of Service for all employees.	Head of Human Resources	January 2011
Principle 3 - Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour		
No Actions		
Principle 4 - Taking informed and transparent decisions which are subject to effective scrutiny and managing risk		
Agree new Programme of Best Value Service Reviews for 2011- 13	Executive Director of Finance and Corporate Support	January 2011
Put in place arrangements for the council-wide roll out of the new Standard Committee Reporting Format Guidance.	Head of Democratic Services	November 2011
Identify a programme for review of key Council Policies by Elected Members through the Policy Development Consultation process agreed by Council in December 2009. This will provide a greater opportunity for all Elected Members to input into policy development and increase opportunity for the scrutiny and challenge of Council policies at the development stage.	Head of Democratic Services	August 2011
Principle 5 - Developing the capacity and capability of members and officers to be effective		
Finalise training needs analysis for Elected Members and develop individual development plans for each Elected Member.	Head of Democratic Services	July 2010
Principle 6 - Engaging with local people and other stakeholders to ensure robust public accountability		
Following publication of the Equality Bill, develop a single scheme to cover Gender, Race and Disability for the Council.	Head of Human Resources	March 2011
Further integrate existing performance reporting arrangements for the Single Outcome Agreement and Community Plan Thematic Action Plans.	Executive Director of Finance and Corporate Support	October 2010
Develop and implement a communications framework to support the Council in achieving its strategic priorities.	Head of Democratic Services	March 2011

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Carry out a review of the Council's community engagement arrangements. This to include a review of the operation and effectiveness of the Local Community Planning Forums, Children and Young Person's Forum and the Equalities Forum.	Head of Democratic Services/ Head of Service: Community Support	November 2010
Put in place arrangements for the results of all major external audits and inspections to be made available to the public on the Council's website.	Executive Director of Finance and Corporate Support	August 2010

1 June 2010