

Corporate Governance Self Assessment

| Supporting Principles | Specific requirements to: | <i>Compliance Commentary (italicised areas for improvement)</i> |
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| Core Principle 1 – Focusing on the purpose of the authority and on outcomes for the local community and creating and implementing a vision for the local area | | |
| <p>Exercising strategic leadership by developing and clearly communicating the Authority's purpose and vision and its intended outcome for citizens and service users.</p> | <p>Develop and promote the authority's purpose and vision.</p> | <p>The Winchester District Community Strategy 2010-2020 clearly communicates the Authority's vision and the outcomes it wants for its community. The strategy was refreshed in January 2014 following a consultation process.</p> <p>Change Plans have been developed in the past and adopted by the Council, capturing a series of programmes which contribute to the delivery of the outcomes outlined in the Winchester District Community Strategy 2010-20. Following the refresh of the strategy in January 2014 Portfolio Plans were developed which form the delivery plans for the Community Strategy, set out the responsibilities for each member of Cabinet and identify projects and programmes that will be delivered under each of the four priority outcomes.</p> <p>Community engagement is achieved in various ways including through the consultation process taken when the Winchester District Community Strategy was refreshed in January 2014.</p> |

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| | <p>Review on a regular basis the authority's vision for the local area and its implications for the Authority's governance arrangements.</p> | <p>The Winchester District Community Strategy 2010-20 was last reviewed in during 2013-14 and the refreshed strategy approved and adopted in January 2014.</p> <p>The Change Plans have previously been reviewed annually in consultation with key stakeholder / partners and approved by Full Council. Portfolio Plans have now replaced the Change Plans, were developed as part of the consultation process when the Community Strategy was refreshed January 2014.</p> <p>The Council's adopted Local Code of Corporate Governance was reviewed and agreed as part of the Corporate Governance Report and Annual Governance Statement 2012/13 which was presented to the Audit Committee on 25 June 2013.</p> |
| | <p>Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners.</p> | <p>Partners actively contributed to the consultation process when the Community Strategy was refreshed in January 2014, collectively working together with a shared vision of outcomes</p> <p>The Council previously published Change Plans annually which were produced in consultation with other partners. Portfolio Plans have now replaced the Change Plans, were developed as part of the consultation process when the Community Strategy was refreshed January 2014.</p> |

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| | <p>Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance.</p> | <p>The Annual Financial Report 2012-13 was presented to the Audit Committee on 24 September 2013 and was published on the Council's internet site.</p> <p>An outturn report, reporting on the progress made against all expected outcomes included in the Change Plans for 2012-13, was presented at Overview and Scrutiny Committee (O&SC) in July 2013.</p> <p>(NB: An outturn report for 2013-14 will be presented to Overview and Scrutiny Committee in July 2014)</p> |

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| <p>Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning.</p> | <p>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.</p> | <p>The Winchester District Community Strategy 2010-2020 sets out the way Winchester City Council would like the district to change for the better over the next decade. The strategy was refreshed in January 2014 following a consultation process.</p> <p>Change Plans have been developed in the past and adopted by the Council, capturing a series of programmes which contribute to the delivery of the outcomes outlined in the Winchester District Community Strategy 2010-20. Following the refresh of the strategy in January 2014 Portfolio Plans were developed which form the delivery plans for the Community Strategy, set out the responsibilities for each member of Cabinet and identify projects and programmes that will be delivered under each of the four priority outcomes</p> <p>Reports are presented to O&SC for each Change Plan and Portfolio Plan on a six monthly basis; results are available on the Council's internet site. The latest report was presented to Overview and Scrutiny Committee on 28 October 2013 on the progress made on the Change Plans 2013-14</p> <p>The Financial Strategy 2014/15 to 2018/19 provides the foundation for delivering the outcomes defined in the Community Strategy by enabling resourced Change Plans to be put in place.</p> <p><i>Qualitative measures are not in place nor are users views sought to help assess whether the service provided meets the desired quality standard.</i></p> |

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| | Put in place effective arrangements to identify and deal with failure in service delivery. | <p>The Council has adopted a Corporate Complaints procedure which enables failure in service delivery to be reported and investigated appropriately and promptly.</p> <p>Annual reports are made to Overview and Scrutiny Committee on the nature of complaints, the latest report presented in September 2013.</p> <p>Overview and Scrutiny Committee carries out 6 monthly reviews of Change Plan progress, the latest report was presented 28 October 2013 on the progress made on the Change Plans 2013-14</p> <p>Performance Management Team review key performance indicators and exception reporting against Change Plan progress each month.</p> |

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| <p>Ensuring that the authority makes best use of resources and that taxpayers and service users receive excellent value for money.</p> | <p>Decide how value for money (VFM) is to be measured and make sure that the authority or partnership has the information needed to review value for money and performance effectively.</p> <p>Ensure that timely, accurate and impartial financial advice and information is provided to assist in decision making and to ensure that the authority meets its policy and service objectives and provided effective stewardship of public money and value for money in its use.</p> | <p>Progress against the achievement of the Change Plans is reported to O&SC.</p> <p>The Council previously published annual Change Plans which are subject to consultation with other partners. Portfolio Plans have now replaced the Change Plans, were approved when the Community Strategy was refreshed in January 2014.</p> <p>The Project Accountant provides support in major projects including awarding contracts and procurement.</p> <p>The Council approved the Procurement Policy 2010-13 in January 2010 which makes specific reference to ensuring its services are delivered efficiently and offering value for money.</p> <p><i>There is a clear requirement for providing VFM; however, there are no instructions on how this should be measured.</i></p> <p><i>Departments carry out benchmarking with other similar organisations but the information tends to reside at the service level.</i></p> |
| | <p>Measure the environmental impact of policies, plans and decisions.</p> | <p>Environmental Impact Assessments are completed for all projects managed by Major Projects Team.</p> <p>The Winchester District Evidence Base also covers a range of other studies and delivery plans that to varying degrees link with the Core Strategy.</p> |

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| | <p>Ensure that the authority maintains a prudential financial framework; keeps its commitments in balance with available resources; monitors income and expenditure levels to ensure this balance is maintained and takes corrective action when necessary.</p> | <p>There are a number of key Cabinet and Audit Committee reports that evidence the maintenance of a prudential financial framework – financial and capital strategies, budgets, revised estimates and treasury reports.</p> <p>The Chief Finance Officer reports to CMT/PMT/Leaders Board, Portfolio Holders and more formally to Cabinet and the Audit Committee.</p> |
| | <p>Ensure compliance with CIPFA's Code on a Prudential Framework for Local Authority Capital Finance and CIPFA's Treasury Management Code.</p> | <p>The Council has adopted the CIPFA Treasury Management in the Public Services Code of Practice.</p> <p>The Treasury Management Strategy 2013/14 (presented to Cabinet on 13 February 2013) fulfils the four key reports required by the Local Government Act 2003 including CIPFA's Prudential Code for Capital Finance in Local Authorities.</p> |

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| Core Principle 2 – Members and officers working together to achieve a common purpose with clearly defined functions and roles | | |
| <p>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.</p> | <p>Set out a clear statement of the respective roles and responsibilities of the executive and of the executive’s members individually and the authority’s approach towards putting this into practice.</p> <p>Ensure that the CFO reports directly to the chief executive and is a member of the leadership team with a status at least equivalent to other members. If different organisational arrangements are adopted, explain the reasons publicly, together with how these deliver the same impact.</p> | <p>The Constitution includes sections which clearly state the roles and responsibilities of the Executive (Cabinet); Portfolio Holders (including the Leader) and senior officers Including the Chief Executive):</p> <ul style="list-style-type: none"> • Part 1 – Summary and Explanation and Part 3 – Responsibility for Functions • Part 3 – Section 6 - The Scheme of Delegation • <p>The Overview and Scrutiny Procedures (Part 4 – Rules of Procedure) were updated in April 2011 to reflect the current scrutiny function responsibilities.</p> <p>The Annual Governance Statement publicly states the Chief Finance Officer reports to the Chief Executive and provides commentary regarding the arrangement.</p> <p>The Council’s Constitution (Part 5 – Codes and Protocols) includes the ‘Protocol for Member / Officer Relations’.</p> |
| | <p>Set out a clear statement of the respective roles and responsibilities of other authority members, members generally and of senior officers.</p> | <p>The Council’s Constitution (Part 3 – Responsibility for Functions) sets out a clear statement on the roles and responsibilities of other authority members, specifically Portfolio Holders, Regulatory Committee and Other Non-Executive Decision Making Committees.</p> <p>The Council’s Constitution (Part 3 – Section 6 - The Scheme of Delegation) clearly states the roles and responsibilities of senior officers.</p> |

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| <p>Ensuring that a constructive working relationship exists between elected members and officers and that the responsibilities of authority members and officers are carried out to a high standard.</p> | <p>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.</p> | <p>The Council's Constitution (Part 3 – Section 3) defines the Scheme of Delegation for Portfolio Holders.</p> <p>The Council's Constitution (Part 3 – Section 6 – The Scheme of Delegation to Officers) defines the delegated powers of officers. This includes members of Corporate Management Team, Assistant Directors and Heads of Team.</p> <p>Part 4 of the Constitution incorporates Financial Procedure Rules.</p> <p>Elements of the Constitution are reviewed and updated in the light of legal and organisational changes.</p> <p><i>Identified during the self-assessment that minor updates still need to be made to designated names of officers. This is in the process of being updated at the time of writing</i></p> |

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| | <p>Make a Chief Executive or equivalent responsible and accountable to the authority for all aspects of operational management.</p> <p>Ensure that the authority's governance arrangements allow the CFO direct access to the CEO and to other leadership team members.</p> | <p>The Chief Executive is the Head of Paid Service – appointed under Section 4 of the Local Government Act 1989, with the responsibilities defined within that Act for the overall corporate management and operational activities of the Council (as defined in the Part 5 of the Council's Constitution – Protocol for Member / Officer Relations and Article 12 - Officers).</p> <p>The job description for the Chief Executive recognises the post to also be the Head of Paid Service. The job description defines the main areas of accountability and responsibility covering all aspects of operational management. The Leader of the Council conducts the Chief Executive's appraisal.</p> <p>Governance arrangements allow the Chief Finance Officer direct access to the Chief Executive and other leadership team members.</p> <p>Performance Management is managed through the Performance Management Team and overseen by the Overview and Scrutiny Committee.</p> |
| | <p>Develop protocols to ensure that the Leader and Chief Executive (or equivalents) negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained.</p> | <p>The Council's Constitution (Part 5 – Codes and Protocols) includes the 'Protocol for Member / Officer Relations'.</p> <p>The Constitution includes sections which clearly state the roles and responsibilities of the Leader and the Chief Executive –</p> <ul style="list-style-type: none"> • Part 1 – Summary and Explanation and Part 3 – Responsibility for Functions • Part 3 – Section 6 - The Scheme of Delegation |

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| | <p>Make a senior Officer (the S151 Officer) responsible to the authority for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control.</p> <ul style="list-style-type: none"> • Appoint a professionally qualified CFO whose core responsibilities include those set out in the Statement on the Role of the CFO in Local Government and ensure that they are properly understood through the authority • Ensure that the CFO <ul style="list-style-type: none"> • Leads the promotion and delivery by the whole organisation of good financial management so that public money is safeguarded at all times and used appropriately, economically, efficiently and effectively • Has a line of professional accountability for finance staff throughout the organisation • Ensure that budget calculations are robust and reserves adequate, in line with CIPFA’s guidance • Ensure that appropriate management accounting systems, functions and controls are in place so that finances are kept under review on a regular basis. These systems, functions and controls should apply consistently to all activities including partnership arrangements, outsourcing or where the authority is acting in an enabling role | <p>The Chief Finance Officer, appointed under Section 151 of the Local Government Act 1972, has overall responsibility for the conduct and legality of the Council financial administration (Article 12 of the Constitution - Officers and Part 5– Protocol for Member / Officer Relations).</p> <p>The Chief Finance Officer holds the relevant professional qualification and continues with ongoing professional development. Good financial management is promoted and delivered; professional accountability for finance staff is in place; budget calculations are robust and in line with CIPFA requirements.</p> <p>Finances are reviewed through monitoring of budgets, cash flow and investments and the capital programme.</p> <p>The Internal Audit service maintains a Quality Assurance and Improvement Programme and the service is assessed against the Public Sector Internal Audit Standards and Local Government Application Noted for conformance. This review informs on the annual Effectiveness of Internal Audit report.</p> <p><i>Officers with significant financial responsibilities may be embedded with service departments with no professional accountability to the CFO.</i></p> <p><i>Compliance with the CIPFA Statement on the Role of the Chief Financial Officer in Local Government is not overtly reported on in the annual governance statement.</i></p> |

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| | Make a senior Officer (usually the Monitoring Officer) responsible to the Council for ensuring that agreed procedures are followed and that all applicable Statutes and Regulations are complied with. | The Chief Operating Officer is appointed as the Monitoring Officer under Section 5 of the Local Government and Housing Act 1989 who has responsibility for ensuring the lawfulness of any proposals, decisions or omissions of the Council and for the promotion of high standards of conduct within the Council (as defined in Part 2 Articles of the Constitution - Article 12 - Officers and in Part 5 of the Council's Constitution – Protocol for Member / Officer Relations). |
| 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. | Part 5 Codes and Protocols of the Constitution includes a specific 'Protocol for Member / Officer Relation' which provides clarity on what to expect from each party. The Members' Charter makes specific reference to Access to Officers. |

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| | <p>Set out the terms and conditions for remuneration of members and officers and an effective structure for managing the process, including an effective Remuneration Panel.</p> | <p>The Council's Constitution (Part 6 – Members Allowances Scheme) defines the terms and conditions under which allowances are paid. The Constitution also establishes an Independent Remuneration Panel.</p> <p>The latest Independent Remuneration Panel report was presented to Cabinet on 18 January 2012 and approved by Council on 23 February 2012.</p> <p>WCC employees work under NJC for LGS (National Joint for Council Local Government Service) conditions which are standard for Local Authorities. This establishes a clear pay structure. There is a process for assessing the grading of posts and an appeals process.</p> <p>The Accounts and Audit Regulations require disclosure of employees' remuneration which exceeds £50,000; this disclosure was included in the Annual Financial Report for year ended 31 March 2013.</p> |
| | <p>Ensure that effective mechanisms exist to monitor service delivery.</p> | <p>Actions are included in Change Plans and Portfolio Plans designed to deliver the priority outcomes as defined in the Winchester District Community Strategy 2010-20.</p> <p>Performance against the key priorities in the Changes Plans and Portfolio Plans are monitored throughout the year and reported to O&SC focussing on progress made on actions which contribute to achieving the agreed outcomes of the Council.</p> <p>Portfolio Holders hold regular meetings with Assistant Directors, at which time performance issues are identified and discussed.</p> |

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| | <p>Ensure that the organisation's vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated.</p> <ul style="list-style-type: none"> • Establish a medium term business and financial planning process to deliver strategic objectives including: <ul style="list-style-type: none"> ○ A medium term financial strategy to ensure sustainable finances ○ A robust annual budget process that ensures financial balance ○ A monitoring process that enables this to be delivered • Ensure that these are subject to regular review to confirm the continuing relevance of assumptions used. | <p>The Winchester District Community Strategy 2010-2020 provides a vision for the future and sets out how WCC will work with other organisations / partners to improve the quality of life for residents of the District. The Community Strategy was refreshed in January 2014 following consultation with the community and key stakeholders.</p> <p>The Change Plans and Portfolio Plans set out how the how the Winchester District Strategic Plan 2010-20 is to be delivered, including a defined set of priority actions and expected outcomes. For 2013-14 plans were approved by Full Council on 20 March 2013..</p> <p>The Council's Budget is produced annually and in consultation with key stakeholders. The general fund budget is aligned directly to the outcomes defined in the Winchester District Strategic Plan 2010-20 (plus the efficient and effective outcome).</p> <p>The Financial Strategy covers the medium term with an active focus on the current year combined with a consideration of implications for future years. The rolling strategy and the underlying assumptions are regularly reviewed.</p> |

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| | <p>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.</p> <p>Ensure that there is clarity about the legal status of the partnership.</p> <p>Ensure that 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> | <p>The Council promotes the strengths of working in partnership and commits to the principles of good governance aligned to those developed by CIPFA.</p> |
| <p>Core Principle 3 – Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour</p> | | |

| Supporting Principles | Specific requirements to: | <i>Compliance Commentary (italicised areas for improvement)</i> |
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| <p>Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance.</p> | <p>Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect.</p> | <p>The Code of Conduct for Members which is included in the Council's Constitution (Part 5 – Codes and Protocols) clearly informs members of their responsibilities for treating others with respect and to disclose personal interests.</p> <p>The Employee Code of Conduct which is included in the Council's Constitution (Part 5 – Codes and Protocols) is communicated to employees as part of the induction process and clearly defines the conduct which is expect of them including a requirement for them to declare anything which may be perceived as a conflict of interest.</p> <p>The Chairman's Guide to Procedure at Meetings, included in the Council's Constitution (Part 8 – Local Guidance Notes), establishes clear protocols for conduct of business at committee meetings.</p> <p>Members working in partnerships are expected to act in a manner consistent with the Members Code of Conduct.</p> |

| Supporting Principles | Specific requirements to: | <i>Compliance Commentary (italicised areas for improvement)</i> |
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| | <p>Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authorities, its partners and the community are defined and communicated through codes of conduct and protocols.</p> | <p>The Code of Conduct for Members, (Constitution Part 5 – Codes and Protocols) clearly informs members of their responsibilities for acting in a manner consistent with the principles referred to in the Localism Act 2011. Training on the Code of Conduct is made available annually to all elected members. The training is seen as essential for new Members and those who have not attended in past years.</p> <p>The Employee Code of Conduct, which is included in the Constitution (Part 5 – Codes and Protocols) states the expected behaviour or conduct particularly in communicating with Members, the local community, service users and contractors.</p> <p>The Anti Fraud & Corruption Policy reinforces the expectation that members and officers lead by example.</p> <p>Complaints procedures enable members of the public to raise concerns.</p> <p>Officers' performance and any specific training needs are evaluated through the Council's performance appraisal process.</p> |

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| | <p>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> | <p>Constitution Part 5 – Codes and Protocols, specifically the Members and Employee Code of Conduct.</p> <p>Training on the Code of Conduct is made available annually to all elected members. The training is seen as essential for new Members and those who have not attended in past years.</p> <p>Part 5 of the Constitution defines a protocol for the receipt of gifts and hospitality. An up to date register of gifts and hospitality is maintained.</p> <p>Councillors register their interests and this is publicly available.</p> <p>The Employee Code of Conduct, included in the Council's Constitution (Part 5 – Codes and Protocols), clearly defines the conduct expected. The Employee Code of Conduct is communicated to new employees as part of the induction process.</p> <p><i>With respect to refresher there is a management action outstanding to re-communicate the Employee Code of Conduct to existing employees.</i></p> |

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| <p>Ensuring that organisational values are put into practice and are effective.</p> | <p>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.</p> | <p>The Code of Conduct which is included in the Council's Constitution (Part 5 – Codes and Protocols) clearly informs members of their responsibilities for treating others with respect and to disclose personal interests.</p> <p>The Employee Code of Conduct, included in the Council's Constitution (Part 5 – Codes and Protocols), clearly defines the conduct which is expected of them including a requirement for them to declare anything which may be perceived as a conflict of interest.</p> <p>The Winchester District Community Strategy 2010 – 2020 (refreshed in January 2014) states as one of its principles 'to foster good relations, mutual understanding and respect and shared goals and values'.</p> <p>Whistle-blowing arrangements are included within the Anti Fraud & Corruption Policy.</p> |
| | <p>Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice.</p> <p>Ensure that systems and processes for financial administration, financial control and protection of the authority's resources and assets are designed in conformity with appropriate ethical standards and monitor their continuing effectiveness in practice.</p> | <p>The Monitoring Officer function includes support to the Standards Committee in promoting and maintaining high standards of conduct.</p> <p>The Monitoring Officer reviews Cabinet and Committee reports and decisions for conformity with ethical standards. The Monitoring Officer reviews Council Minutes and the Register of Interests for both members and officers with governance responsibilities.</p> <p>Both the Member Code of Conduct and Employee Code of Conduct communicate the ethical standards expected.</p> |

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| | Develop and maintain an effective standards committee. | The Standards Committee meets on a quarterly basis and the chairman is drawn from the Independent membership. Membership of the Committee includes and additional three Independent members three Parish representative (in line with Article 12 – The Standards Committee). |
| | 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. | <p>The Constitution includes a guide to the decision making process and Article 13 of the Constitution sets out the principles for the decision making process.</p> <p>A standard template is used for presenting papers to Committees that includes a section as a reminder to highlight the relationship with the Winchester District Community Strategy 2010-20 and Change Plans (now revised to Portfolio Plans).</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. | The Winchester District Community Strategy 2010-20 (refreshed in January 2014) defines the principles for delivering the Community Strategy, one being to foster good relations, mutual understanding and respect and shared goals and values, by promoting contact between different sections of the community. |
| Core Principle 4 – Taking informed and transparent decisions which are subject to effective scrutiny and managing risk | | |

| Supporting Principles | Specific requirements to: | <i>Compliance Commentary (italicised areas for improvement)</i> |
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| <p>Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny.</p> | <p>Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall and that of any organisation for which it is responsible.</p> <p>Maintain and resource and effective internal audit function.</p> | <p>The Council's scrutiny function operates through the O&SC and Audit Committees with clearly defined responsibilities and terms of reference.</p> <p>Prior to July 2013 the Internal audit function was delivered by Winchester City Council in partnership with two other local authorities. From July 2013 the service has been provided by Southern Internal Audit Partnership. The Head of Southern Internal Partnership has direct access to the Chief Finance Officer. Independence and objectivity is maintained by reporting to the Audit Committee. The effectiveness of the service is assessed against the Public Sector Internal Audit Standards and Local Government Application Note on an annual basis as part of the Partnership's Quality Assurance and Improvement Programme.</p> <p>Audit Committee and O&SC meetings are held in public with agendas, papers and minutes available on the WCC internet site</p> <p>The Annual Scrutiny Report will be reported to Overview and Community in June 2014 and include reference to the topics reviewed. Implicit in these reviews is the, consideration of, and improvement to proposals.</p> |

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| | <p>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> | <p>The Constitution includes a guide to the decision making process and Article 13 of the Constitution sets out the principles for the decision making process.</p> <p>Committee reports and minutes provide evidence of decisions taken with the recording of the rationale and considerations upon which these are based on. All are available, with exception to the exempt reports, through the Council's internet site.</p> <p>Every committee report and Portfolio Holder Decision notice is validated before being sent out by committee staff as legal and finance sign off is required before dispatch of all reports.</p> |

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| | <p>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> | <p>The Council's Constitution incorporates Member and Employee Codes of Conduct which both state a requirement for declarations of interests to be made.</p> <p>Members declare any financial or other interests by the completing and signing annually 'Register of Members Interests'. Any subsequent interests throughout the year are through direct notification to the Monitoring Officer.</p> <p>Committee reports and corresponding minutes provide evidence of declarations of interests. All are available, with exception to the exempt reports, through the Council's internet site.</p> <p>Training on the Code of Conduct is made available annually to all elected members. The training is seen as essential for new Members and those who have not attended in past years.</p> <p>All complaints against elected members are considered by Standards Committee. A standard form and guidance notes are available on the Council's internet which can be used should someone want to raise a complaint against an elected member.</p> |

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| | <p>Develop and maintain an effective audit committee (or equivalent) which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the functions of such a committee.</p> <p>Ensure that the authority's governance arrangements allow the CFO direct access to the audit committee and external audit.</p> | <p>The Audit Committee has terms of reference and is independent of the executive and scrutiny function.</p> <p>To assist the Audit Committee in their duties annual training events are held. In 2013-14 a workshop with members was conducted by an external consultant which focussed on completing an assessment of the effectiveness of the audit committee against CIPFA's effectiveness self-assessment template. As a result of the workshop and completed self-assessment an improvement plan was produced and approved</p> <p>The Chief Finance Officer has access to the Audit Committee and External Audit, enabled through the Whistle-blowing Policy.</p> |
| | <p>Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints.</p> | <p>All complaints about elected members are considered by Standards Committee. A standard form and guidance notes are available on the Council's internet which can be used should someone want to raise a complaint against an elected member.</p> <p>Similarly there is a standard complaints process for registering dissatisfaction with delivery of services by the Council.</p> |

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| <p>Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs.</p> | <p>Ensure that those making decisions whether for the authority or the partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical and financial issues and their implications.</p> <p>Ensure provision of clear, well presented, timely, complete and accurate information and reports to budget managers and senior officers on the budgetary and financial performance of the authority.</p> | <p>The programme of training made available to elected members included the provision of Chairman training if required.</p> <p>The Committee Timetable 2013-14 lists all the meetings for the year with specific deadlines for submission of reports.</p> <p>Standard templates exist for use ensuring consistency in presentation.</p> <p>Clear, well presented, timely and accurate financial reports are produced for Budget Holders, Performance Management Team and Leaders Board.</p> <p>Key decisions are signed off by Finance and Legal as part of the process for presenting items to Members for consideration and decision making.</p> |
| | <p>Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately.</p> <p>Ensure the authority's governance arrangements allow the CFO to bring influence to bear on all material decisions.</p> <p>Ensure that advice is provided on the levels of reserves and balances in line with good practice guidance.</p> | <p>Committee reports and corresponding minutes provide evidence of decisions taken with the recording of the rationale and considerations upon which these are based on. All are available, with exception to the exempt reports, through the Council's internet site. These indicate where advice has been given in the meeting.</p> <p>The Chief Finance Officer is included in the process leading to decisions with a material impact.</p> <p>The Treasury Management Strategy, presented annually to Audit Committee includes advice on reserves and balances.</p> |

| Supporting Principles | Specific requirements to: | <i>Compliance Commentary (italicised areas for improvement)</i> |
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| <p>Ensuring that an effective risk management system is in place.</p> | <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>Ensure the authority's arrangements for financial and internal control and managing risk are addressed in annual governance reports.</p> <p>Ensure the authority puts in place effective internal financial controls covering codified guidance, budgetary systems, supervision, management review and monitoring, physical safeguards, segregation of duties, accounting procedures, information systems and authorisation and approval processes.</p> <p>Ensuring that these controls are an integral part of the authority's underlying framework of corporate governance and that they are reflected in its local code.</p> | <p>The Risk Policy and Risk Management Statement of Practice 2013 include the roles and responsibilities of individuals and groups with respect to risk management and explain how the risk management process operates.</p> <p>The committee report template refers to risk management issues that should be considered.</p> <p>The authority's arrangements for financial and internal control and managing risk are addressed in the Annual Governance Statement.</p> <p>The Financial Instructions published on the Council's Intranet provide adequate guidance on accounting procedures.</p> |

| Supporting Principles | Specific requirements to: | <i>Compliance Commentary (italicised areas for improvement)</i> |
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| | Ensure that effective arrangements for whistle-blowing are in place to which officers, staff and all those contracting with or appointed by the authority have access. | <p>The Council's Constitution (Part 5 – Codes and Protocols) includes the whistle-blowing policy, accessible to all via the Council internet. Officers are periodically alerted of the Anti-Fraud and Corruption Policy, Whistle-Blowing Policy and the Anti-Bribery Policy through Core Brief. The whistle-blowing policy provides contact details should anyone wish to raise a concern under the Whistle Blowing Policy.</p> <p>The annual submission to the Audit Commission Fraud Survey provides an indication that whistle-blowing arrangements are effective.</p> |
| Using their legal powers to the full benefit of the citizens and communities in their area. | Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine but also strive to utilise powers to the full benefit of their communities. | The Chief Operating Officer assumes the role of Monitoring Officer (appointed under Section 5 of the Local Government and Housing Act 1989) that has responsibility for ensuring the lawfulness of any proposals, decisions or omissions of the Council and for the promotion and maintenance of high standards of conduct within the Council. |
| | Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on local authorities by public law. | Every committee report and Portfolio Holder Decision notice is reviewed for legal content and checked/amended before issue to members. Sometimes the legal advice is specifically referred to as being given by the Chief Operating Officer or by the Head of Legal and Democratic Services. In other reports the legal content is incorporated in reports without this specific reference but has still been validated before being sent out by committee staff as legal and finance sign off is required before dispatch of all reports. |

| Supporting Principles | Specific requirements to: | <i>Compliance Commentary (italicised areas for improvement)</i> |
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| | Observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justice – into their procedures and decision-making processes. | The Chief Operating Officer assumes the role of Monitoring Officer (appointed under Section 5 of the Local Government and Housing Act 1989) that has responsibility for ensuring the lawfulness of any proposals, decisions or omissions of the Council and for the promotion and maintenance of high standards of conduct within the Council. |
| Core Principle 5 – Developing the Capacity and Capability of Members and Officers to be effective | | |
| Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles. | Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis. | <p>Induction training is provided to all newly elected members, although not required in 2013 as there were no elections. There is a Members Training and Development Programme for the year to develop the skills and knowledge of new and existing members.</p> <p>An Induction Checklist is completed with new starters / employees, evidencing that they have familiarised themselves with their role. There is also a requirement for new starters to complete the e-induction course, covering various policies and procedures through the e-learning zone on the Council's Intranet.</p> <p>Ongoing training and development is available for all officers with the publication of courses via the intranet and the HR training portal page as well as more formally directed through the appraisal process</p> |

| Supporting Principles | Specific requirements to: | <i>Compliance Commentary (italicised areas for improvement)</i> |
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| | <p>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.</p> <p>Ensure the CFA has the skills, knowledge, experience and resources to perform effectively in both the financial and non financial areas of their role.</p> <p>Review the scope of the CFO's other management responsibilities to ensure financial matters are not compromised.</p> <p>Provide the finance function with the resources, expertise and systems necessary to perform its role effectively.</p> | <p>The Head of Paid Service, Monitoring Officer and S151 Officer have the necessary skills required to perform their role effectively.</p> <p>The roles and responsibilities of the Statutory Officers are clearly defined in the Constitution and included on individual job descriptions.</p> <p>Financial Services is structured to provide the necessary resources and expertise enabling it to perform its role effectively. A review of the service during 2012/13 resulted in structural changes being made to meet ongoing requirements to support the Council.</p> <p>A further review is planned in 2014.</p> |

| Supporting Principles | Specific requirements to: | <i>Compliance Commentary (italicised areas for improvement)</i> |
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| <p>Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group.</p> | <p>Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively.</p> <p>Embed financial competencies in person specifications and appraisals.</p> <p>Ensure that Councillors roles and responsibilities for monitoring financial performance / budget management are clear, that they have adequate access to financial skills and are provided with appropriate financial training on an ongoing basis to help them discharge their responsibilities.</p> <p>Assess the financial skills required by members of the Leadership Team and commit to develop those skills to enable their roles to be carried out effectively.</p> <p>Assess the financial skills required by managers and commit to develop those skills to enable their roles to be carried out effectively.</p> | <p>New Member Induction Evenings are held when required, presented by the Chief Executive, Corporate Management Team and Assistant Directors aimed at outlining the work of their respective groups.</p> <p>The Member Training and Development Programme is established each year to develop members' skills and knowledge. The programme is also designed to provide guidance on new initiatives / changes in Local Government.</p> <p>Officers' performance and any specific training needs are evaluated through the Council's performance appraisal process.</p> <p>Member training on specific financially related topics for Audit committee members has been provided during the year.</p> <p>Two VAT training sessions took place in 2013-14. The first was specifically for finance and key nominated employees, the second session for CMT.</p> |
| | <p>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> | <p>The Member Training and Development Programme is established each year to develop members' skills and knowledge. The programme is also designed to provide guidance on new initiatives / changes in Local Government.</p> <p>Officers' performance and any specific training needs are evaluated through the Council's performance appraisal process.</p> |

| Supporting Principles | Specific requirements to: | <i>Compliance Commentary (italicised areas for improvement)</i> |
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| | <p>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> | <p>The O&SC receives reports relating to performance monitoring and considers any issues arising from this.</p> <p>Informal Scrutiny Groups (task and finish groups) are appointed by the O&SC and report their findings accordingly.</p> <p>The Leader of the Council conducts the Chief Executive's appraisal. The Chief Executive conducts the Directors' appraisals.</p> <p>Officers' performance and any specific training needs are evaluated through the Council's performance appraisal process.</p> |
| <p>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.</p> | <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>The Council works with its partners in the community through when the opportunities arise and are appropriate..</p> <p>The Council works closely with its Housing Tenants, through TACT (Tenants and Council Together) to involve them in the management of its housing stock.</p> |

| Supporting Principles | Specific requirements to: | <i>Compliance Commentary (italicised areas for improvement)</i> |
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| | <p>Ensure that career structures are in place for members and officers to encourage participation and development.</p> | <p>Personal Development Plans form part of the Performance Appraisal Process.</p> <p>The 1-Team initiative enables staff skills and experience to be shared across the Council and encourages development. It makes greater use of the skills and resources of the organisation.</p> <p>The E-learning portal includes management development opportunities.</p> <p>The ASPIRE programme helps develop overall management potential.</p> |

| Core Principle 6 – Engaging with local people and other stakeholders to ensure robust public accountability | | |
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| <p>Exercising leadership through a robust scrutiny function, which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships.</p> | <p>Make clear to themselves, all staff and the community to whom they are accountable and for what.</p> | <p>The O&SC has a clearly defined scrutiny role. Members of the public can attend meetings.</p> <p>Employees are informed at Chief Executive Briefings of the overall strategy and direction of the organisation.</p> |
| <p></p> | <p>Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required.</p> | <p>The O&SC can review the City Council’s partnership working in relevant areas. The O&SC is able to look at all aspects of a partnership’s work including WCC’s role, performance management and monitoring work programmes.</p> <p>The Joint Environmental Services Scrutiny Committee was established in 2013-14 in order to scrutinise the depot services contract as well as recycling performance and joint working as part of the Project Integra Partnership..</p> <p>The commissioning process is being applied to identify different ways to engage with small businesses and voluntary sector organisations to deliver services.</p> |
| <p></p> | <p>Produce an annual report on the activity of the scrutiny function.</p> | <p>An Annual Report will be presented to the O&SC in June 2013, commenting on the activity of the scrutiny function.</p> |

| Supporting Principles | Specific requirements to: | <i>Compliance Commentary (italicised areas for improvement)</i> |
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| <p>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.</p> | <p>Ensure clear channels of communication are in place with all sections of the community and other stakeholders, including monitoring arrangements, and ensure that they operate effectively.</p> | <p>Council branding is used to raise public awareness of services provided by the authority; press releases are available on the internet site.</p> <p>The Council's internet site is used as a source of information to the community and other stakeholders as well as inviting comments to be made to the Council.</p> <p>Twitter and Facebook are being used as additional communication channels. The effective take up of these communication channels are monitored against specific performance indicators.</p> |
| | <p>Hold meetings in public unless there are good reasons for confidentiality.</p> | <p>All decision making meetings and formal Scrutiny Meetings are open to the public with public participation, other than for items falling within exempt categories of business.</p> |
| | <p>Ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands</p> | <p>Various arrangements are in place to engage with different sections of the community including direct engagement with housing tenants through TACT.</p> <p>Councillors' represent their communities.</p> <p>Previous consultations are listed on WCC internet and demonstrate that during 2013-14 there was evidence of consultations taking place.</p> |

| Supporting Principles | Specific requirements to: | <i>Compliance Commentary (italicised areas for improvement)</i> |
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| | <p>Establish a clear policy on the types of issues on which they will meaningfully consult on or engage with the public and service users, including a feedback mechanism for those consultees to demonstrate what have changed as a result.</p> | <p>Consultations can be via the WCC internet site and link to e-panel pages for interested members of the public to engage with.</p> <p>Previous consultations are listed and demonstrate that during 2013-14 there was evidence of consultations taking place.</p> <p>Feedback mechanism is less transparent, but can be discerned from policy decisions made by the Council where relevant – although the lead time between the initial consultation and the final result can be lengthy.</p> |
| | <p>Publish an annual 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> | <p>Change Plans / Portfolio Plans are in place that shows the Authority's vision and strategy. The plans are the overarching planning documents for the conduct of Council business. Performance plans are at a high level with outcomes being expressed more as aspirations rather than quantitative targets.</p> <p>The Council's Budget is produced annually and in consultation with key stakeholders. The general fund budget is aligned directly to the outcomes defined in the Winchester District Strategic Plan 2010-20 (plus the efficient and effective outcome).</p> <p>The audited Annual Financial Report 2012-13 was presented to the Audit Committee on 24 September 2013; it was published on the Council's internet.</p> <p>O&SC receives annual and mid year reports on performance against outcomes included in the approved the Change / Portfolio Plans.</p> |

| Supporting Principles | Specific requirements to: | <i>Compliance Commentary (italicised areas for improvement)</i> |
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| | <p>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.</p> | <p>The Council's Customer Service Centre provides a single point of contact for customer queries.</p> <p>The Council intranet provides staff with a wealth of information, although not all links contained in the pages work.</p> <p>Constitution and Cabinet / Committee reports are available on the Council's internet site (minutes).</p> <p>Details of the Freedom of Information Act 2003 and the right to access information held by the Council are clearly outlined on the Council's internet site.</p> <p>The Council issues the weekly newsletter 'City Voice' to all staff via the intranet.</p> <p>The Management Core Brief is communicated to all staff via their managers each month.</p> <p>Information on Council Tax is available at reception points and on the internet.</p> |

| Supporting Principles | Specific requirements to: | <i>Compliance Commentary (italicised areas for improvement)</i> |
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| <p>Making best use of human resources by taking an active and planned approach to meet responsibilities to staff.</p> | <p>Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision-making.</p> | <p>The Council issues the weekly newsletter 'City Voice' to all staff via the intranet. The Management Core Brief is communicated to all staff via their managers each month.</p> <p>The Chief Executive advises staff periodically via e-mail and by group briefings where there are important items for staff to be aware of.</p> <p>The Council participates in the 'Best Places to Work' survey that provides feedback on staff perceptions that relate (in part) to staff terms and conditions.</p> |