

CABINET

9 JUNE 2010

PRINCIPAL SCRUTINY COMMITTEE

14 JUNE 2010

CORPORATE GOVERNANCE REPORT & ANNUAL GOVERNANCE STATEMENT
2009/10

REPORT OF CORPORATE GOVERNANCE GROUP

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RECENT REFERENCES:

[PS397](#): Annual Governance Statement – Issues and Risks Update on Progress 16
November 2009

EXECUTIVE SUMMARY:

This report presents the results of the work conducted by the officer Corporate Governance Group including; the proposed Annual Governance Statement for 2009/10; the Local Code of Governance, and the Council's self assessment against the core principles of governance.

The Governance Group has identified emerging issues and proposed actions/outcomes arising from the review of the previous Annual Governance Update Report ([PS397](#)) and an overall assessment of the Council's Corporate Governance Framework, including governance self assessments undertaken by the Corporate Directors and Heads of Department. The emerging issues and proposed actions/outcomes are identified in Section 5 of Appendix A are noted and any future monitoring arrangements are considered.

There is a Statutory requirement for a Committee of the Council, in this case the Statement of Accounts Committee, to approve and publish an Annual Governance Statement each year. The Statement will be included in the Statement of Accounts to be approved by the Statement of Accounts Committee by the end of June and will be signed by the Leader of the Council and the Chief Executive. It is appropriate for Principal Scrutiny Committee (as the Council's Audit Committee) to consider whether the draft statement covers risk issues adequately. Cabinet is also asked to consider whether it wishes to raise any issues.

RECOMMENDATIONS:

- 1 That Cabinet and Principal Scrutiny Committee recommend the Annual Governance Statement in Appendix A for approval for its inclusion in the Statement of Accounts.
- 2 That the emerging issues and proposed actions/outcomes identified in Section 5 of Appendix A are noted and a monitoring report be considered by Principal Scrutiny Committee in six months time.

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REPORT OF CORPORATE GOVERNANCE GROUP

1 Introduction

1.1 As set out in [PS319](#) (Delivering Good Governance in Local Government, February 2008) the role of the Principal Scrutiny Committee, acting as the Council's Audit Committee, in respect of the Annual Governance Statement is:

- To critically review the Annual Governance Statement,
- To consider the robustness of the Council's Governance arrangements including the effectiveness of the Council's governance monitoring arrangements in the year,
- To monitor any actions arising from the review arrangements, and
- To recommend the Annual Governance Statement for approval prior to its inclusion in the Statement of Accounts.

2 Report

2.1 The Corporate Governance Group has undertaken the various tasks that were planned and prepared the following documents for review:

- a) The draft Annual Governance Statement for 2009/10;
- b) The Local Code of Governance;
- c) A self assessment against the six core principles in the CIPFA/SOLACE Governance framework which has been reviewed by Internal Audit as part of the 2009/10 Annual Audit Plan, and
- d) Review of action plan for 2009/10.

2.2 These are appended (Appendices A-D). The content is self explanatory and is therefore not repeated in this report.

2.3 The officer Corporate Governance Group has the following membership:

Corporate Director (Governance) - Stephen Whetnall (Chair); Corporate Director (Operations) - Steve Tilbury; Corporate Director (Policy) - Bob Merrett; Head of Finance - Alexis Garlick; Internal Audit Manager - John Cummins; Assistant Director(Commissioning);- Jen Anderson, Principal Democratic Services Officer - Dave Shaw.

It will monitor progress throughout 2010/11 on the emerging issues and proposed actions identified in Section 5 of Appendix A. A monitoring report will also be brought to Principal Scrutiny Committee in six months time.

OTHER CONSIDERATIONS

3 SUSTAINABLE COMMUNITY STRATEGY AND CORPORATE BUSINESS PLAN (RELEVANCE TO):

Good Corporate Governance supports the achievement of the objectives of the Sustainable Community Strategy and Corporate Business Plan.

4 Resource Implications:

4.1 No direct implications. Where further work is taking place, any additional resources required to implement improvements identified will be raised separately or through the budget process.

5. Risk Management Issues

5.1 The effectiveness of Corporate Governance within the Council is a principal ingredient to the organisation's objective of being an effective Community Leader. The efficacy of the governance arrangements directly affects the Council's ability to deliver its contribution to the objectives within the Sustainable Community Strategy.

As a result, the actions and controls in implementing Corporate Governance is a key control and in the Council's arrangements to mitigate all its risks.

BACKGROUND DOCUMENTS:

Delivering Good Governance in Local Government (CIPFA/SOLACE framework);

Assurance Statements prepared by individual Heads of Division and Corporate Directors;

Internal Audit recommendations;

Internal Audit Annual Report;

The Council's Risk Register, and the Council's strategic and operational risk registers

Internal Audit Working Papers on the review of the six core principles in the CIPFA/SOLACE Governance framework;

Annual Audit and Inspection letter for 2008/09;

APPENDICES:

Appendix A: Annual Governance Statement 2009/10 - draft

Appendix B: Local Code of Governance

Appendix C: Corporate Governance Self Assessment

Appendix D: Review of Action Plan for 2009/10

ANNUAL GOVERNANCE STATEMENT 2009/10

1. Scope of Responsibility

Winchester City Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded, properly accounted for, and used economically, efficiently and effectively. Winchester City Council also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.

In discharging this overall responsibility, Winchester City Council is responsible for putting in place proper arrangements for the governance of its affairs and facilitating the effective exercise of its functions, which includes arrangements for the management of risk.

Winchester City Council has approved and adopted a code of corporate governance, which is consistent with the principles of the CIPFA/SOLACE Framework *Delivering Good Governance in Local Government*. A copy of the code is on our website or can be obtained from the Council's offices (telephone 01962 840222 or by visiting the offices at Colebrook Street, Winchester). This statement explains how Winchester City Council has complied with the code and also meets the requirements of regulation 4(2) of the Accounts and Audit Regulations 2003 as amended by the Accounts and Audit (Amendment) (England) Regulations 2006 in relation to the publication of a statement on internal control.

2. The Purpose of the Governance Framework

The purpose of the governance framework is to ensure that the authority directs and controls its activities in a way that meets standards of good governance and is accountable to the community. It does this by putting in place an organisational culture and values, supported by appropriate systems and processes, and ensuring that these work effectively. It works with the Council's Performance Management Framework to ensure that the Council has in place strategic objectives reflecting the needs of the community, is monitoring the achievement of these objectives through delivery of appropriate, cost-effective services.

The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of Winchester City Council's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically.

The governance framework has been in place at Winchester City Council for the year ended 31 March 2010 and up to the date of approval of the Statement of Accounts for the 2009/10 financial year.

3. The Governance Framework

The key elements of good governance are:-

- Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area.
- Members and Officers working together to achieve a common purpose with clearly defined functions and roles.
- Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.
- Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.
- Developing the capacity and capability of members and officers to be effective.
- Engaging with local people and other stakeholders to ensure robust public accountability.

The Council's Performance Management Framework translates the needs of the community and requirements of Government, into cost effective local services designed to deliver the shared vision for the District (economic prosperity, a high quality environment and safe and strong communities) and meet statutory requirements.

The Council engages with its communities through a number of mechanisms, including community planning, consultation events, surveys and campaigns relating to specific initiatives, and regular 'Citizens' Panel' surveys. Building on the views expressed and evidence of needs and future trends, the Council has worked with partner organisations to agree a shared vision and set of aims and objectives for the District that is documented in the Winchester District Sustainable Community Strategy (2008 Refresh).

The Council's Sustainable Community Strategy is reviewed and rolled forward on an annual basis. This is supplemented by more detailed information on the key projects and programmes of work that the authority will be delivering during the year – set out in the Corporate Business Plan. More detailed business and service plans are drawn up by each of the Council's Divisions, with targets set for individual members of staff through the annual appraisal process. This process also looks at the development and training needs of staff, with a programme of training then put in place to meet these needs.

Progress against Business Plans and budgets is monitored regularly by Corporate Management Team, Senior Managers and Portfolio Holders. Scrutiny committees receive quarterly reports focusing on delivery of key projects and programmes of work and drawing attention to other areas where progress is exceeding, or falling short of targets.

The Council's performance management arrangements were reviewed in 2009/10 to better demonstrate progress against delivering the outcomes in the Winchester District Community Strategy and the Council's Corporate Business Plan. The National Performance Framework has been fully embedded in the Council's reporting mechanisms and the Council's Annual Performance Report on 2009/10 set out performance against all available indicators for the District. Further work is planned during 2010/11 to develop performance reporting mechanisms for the Winchester District Strategic Partnership and integrate them with the Council's overview and scrutiny function.

The Council publishes the Statement of Accounts annually within the statutory timescales. Accounting Statements incorporate the full requirements of best practice guidance in relation to corporate governance, risk management and internal control.

The Council is subject to independent audit by the Audit Commission and receives ad hoc and annual reports. The Council supplements this work with a small internal audit team and ad hoc external peer reviews. The Principal Scrutiny Committee undertakes the core functions of an audit committee.

The Council's Constitution explains existing policy making and delegation procedures and the matters which must be dealt with by the full Council. It documents the role and responsibilities of Cabinet, each committee and members and officers. The Council has approved a protocol governing relationships between members and officers as part of its Constitution and has adopted codes of conduct for both officers and members which facilitate the promotion, communication and embedding of proper standards of behaviour. All officers have job descriptions and there are clearly defined schemes of delegation, all of which are reviewed from time to time.

The Council's Constitution incorporates clear guidelines to ensure that business is dealt with in an open manner except in circumstances when issues should be kept confidential. Meetings are open to the public except where personal or confidential matters are being discussed. All Cabinet /committee agendas, minutes and portfolio holder decisions are published promptly on the Council's website. In addition, senior officers of the Council can make some decisions under delegated authority. The over-arching policy of the Council is decided by the full Council. The Principal Scrutiny Committee and Scrutiny Panels hold Portfolio Holders to account for delivery of Council's policy framework within the agreed budget and protocols are in place for any departure from this to be properly examined.

Staff awareness training has been undertaken to ensure that the Council complies adequately with the provisions of the Data Protection and Freedom of Information Acts, and Equality requirements.

The Council has appointed the Head of Finance as the Section 151 officer with the statutory responsibility for the proper administration of the Council's financial affairs. CIPFA/SOLACE advise that the Chief Finance Officer should report directly to the Chief Executive and be a member of the 'Leadership Team', of equal status to other members. Winchester's organisational model has a strategic Corporate Management

Team of two Corporate Directors with responsibility for Operations and Governance, with the Head of Finance reporting to the latter. Membership of that Strategic Team is not determined by profession or qualification, nor does the Team's role require it be so.

In practice, the Head of Finance has been invited to all meetings of the Corporate Management Team where matters with financial implications are discussed, and her contribution on a broad range of matters has always been respected. The Chief Executive or Corporate Director (Governance) has ensured she is involved in any follow-up to matters discussed where appropriate – and in practice, as with most District Councils, the 'Leadership Team' is not simply confined to CMT but includes other senior officers as appropriate. From 1 June Winchester has adopted new senior management arrangements which recognise broader Leadership responsibilities. As part of these arrangements, the Head of Finance is now a member of the Council's Performance Management Team alongside the Chief Executive, Corporate Directors and Assistant Directors. She will also receive copies of agendas for bi-monthly strategic CMT meetings and has an open invitation to attend.

The Council has appointed the Corporate Director (Governance) as the statutory "Monitoring Officer" and has procedures to ensure that the Monitoring Officer is aware of any issues which may have legal implications.

All Cabinet reports are reviewed by the Head of Finance and Monitoring Officer. All reports to Cabinet are required to demonstrate how the matter links to the Council's Sustainable Community Strategy/Corporate Business Plan, and highlight resource implications. Officers are also asked to draw out risk, equality, sustainability, management and legal issues as appropriate. Similar procedures are in place for the Scrutiny and Regulatory Committees.

The Council has whistle-blowing and anti-fraud and corruption policies. It has a formal complaints procedure and seeks to address and learn from complaints. The Council's Standards Committee deals with complaints relating to the conduct of members.

Members' induction training is undertaken after each election. Members receive regular updates and training on developments in local government.

4. Review of Effectiveness

Winchester City Council has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control.

The process that has been applied in maintaining and reviewing the effectiveness of the governance arrangements includes wide input:-

INPUTS TO THE ANNUAL GOVERNANCE STATEMENT



- **Managers and staff** have responsibility for the development and maintenance of a sound governance environment.
- **Elected members** are collectively responsible for the governance of the Council and the full Council is responsible for agreeing the Constitution, policy framework and budget.
- **Internal Audit** is responsible for monitoring the quality and effectiveness of systems of internal control. The Internal Audit Plan is based on the Strategic and Operational Risks Registers. The process includes quarterly reports to the Principal Scrutiny Committee on progress of audits. Regular summaries are also produced of the outcome of each audit, together with reviews of whether agreed

recommendations have been implemented. Internal Audit provides an annual opinion on the internal control environment and issues that should be included in this statement.

Part of this review process is an annual review report by the Internal Audit Manager of the effectiveness of the Council's internal audit function. In the light of feedback we have concluded that internal audit is an effective part of the Council's governance arrangements.

- **External Audit** provides an Annual Audit Letter, which includes the results of the Use of Resources assessments and performance management. In the most recent corporate assessment the Council was scored of 2 (out of 4) for the Use of Resources assessment (satisfactory). It received 3 (out of 4) for managing performance (good).
- **Corporate Directors, Assistant Directors and Heads of Division** complete annual statements of assurance and implement action plans identified as a part of this process.
- **The Monitoring Officer** has a duty to monitor and review the operation of the Constitution to ensure its aims and principles are followed. He also reviews this statement. Amendments to the Constitution are considered by Cabinet, Principal Scrutiny Committee, the Standards Committee and Council from time to time as required to reflect managerial and operational changes.
- An officer **Risk Management Advisory Group** is responsible for monitoring risk management arrangements across the Council.
- An officer **Governance Group** co-ordinates the preparation of this statement and recommends the statement to the Corporate Management Team. The Group has undertaken a self-assessment of governance based on the Code of Corporate Governance.
- **The Corporate Management Team** reviews this statement and regularly deals with the management of risk. It has a role in setting the culture and values, agreeing the Governance Framework, and implementing the framework throughout all its work.
- **The Principal Scrutiny Committee**, in its role of Audit Committee, monitors the internal control environment through receipt of audit reports and this Statement, and keeps an overview of arrangements for risk management.
- The **Statement of Accounts Committee** approves this Statement and the Statement of Accounts.
- The **Cabinet** manages risk in making operational and governance decisions together with proposing and implementing the policy framework, budget and key strategies.
- The **Leader and Chief Executive** sign this Statement.

5. Emerging Issues

There are a number of issues which have been identified for both the current and future financial years. In identifying these issues, the Council has also stated how it plans to address them. Action is being taken to continue to address these issues and make further improvement as set out below:

2010/11 Corporate Governance Review Action Plan			
No.	Issue	Action in 2010/11	Progress/Comments/Outcomes (Lead Officer)
1.	Asset Management:	Update Asset Management Plan and ensure that financial aspects of the Council's fixed assets are appropriately incorporated into the financial planning process, taking account of the possible impact of the current economic situation on the Council's properties.	Review of Asset Management Plan and capital programme, establish a programme for any further condition surveys required, including impact of energy usage. By 31 July 2010. <i>Desired Outcome: The Council's fixed assets are employed to best effect in securing broader outcomes in the Sustainable Community Strategy and the Council has a funded three year programme for maintaining its non-housing properties . (CMT Lead: Simon Eden)</i>
2.	Setting and achieving priorities within the context of recession and reduced resources for local government.	Improved consultation on Council priorities/budget. Improvement of links between corporate and departmental business planning, aligning departmental business plans to the sustainable community strategy and corporate business plan over a five year period. The financial strategy to be more effectively linked to asset, IT and human resource strategies. Effective Flexible Resource Management to achieve target savings.	Continued development of corporate planning process by 31 December 2010. Flexibility in management of people resources to address capacity issues which might otherwise prevent delivery of priorities (ongoing). <i>Desired Outcome: Top priorities for the district achieved despite reduced resources. Savings made only at the expense of lowest priorities. (CMT Lead: Bob Merrett)</i>

2010/11 Corporate Governance Review Action Plan			
No.	Issue	Action in 2010/11	Progress/Comments/Outcomes (Lead Officer)
3.	Equality Assessments	The Council has completed all Equality Impact Assessments (EIA's) covering priority areas as set out in the programme along with a number completed in new areas of work. Work continues with the programme of EIA's and compliance with the Equality Framework.	Ongoing programme until 2011. <i>Desired Outcome: Equality Impact Assessments and work undertaken to comply with the Equality Framework identify and implement continued improvements to services. Measured through improved customer satisfaction levels and improved levels of attainment in the Equality Framework. (CMT Lead: Simon Eden)</i>
4.	Financial Management	The main financial systems were implemented in 1993, are operating with limited support and are not being developed. This is increasingly constraining the Council's ability to review and improve related business processes including; electronic procurement and other electronic processing; commitment accounting; and self service management accounting information.	It is planned to implement a new financial system for the 2010/11 financial year. <i>Desired Outcome: Secure long term functionality of Corporate Financial package. Use efficient business processes in selecting & purchasing goods. Improve reporting and enquiry facilities of financial information. Better effective control for Accounts Payable and Receivable activities. (CMT Lead: Stephen Whetnall)</i>
5.	Health and Safety	New health and safety framework now in place. Further work required to embed the health and safety culture across the council	All actions required under the 2008/09 Internal Audit report have been completed. Corporate Health and Safety Management Group continuing to meet and review progress.
6.	Housing Options	In accordance with the wishes of its tenants the Council retains its housing stock of approximately 5,000 dwellings. The Council is now considering its response to the Government's proposals for the reform	Response to Government consultation in July 2010. Government proposes implementation in April 2011.

2010/11 Corporate Governance Review Action Plan			
No.	Issue	Action in 2010/11	Progress/Comments/Outcomes (Lead Officer)
		of the housing finance system. It will then await the Government's detailed timetable for implementation which will drive its own arrangements and investment plans.	<i>Desired Outcome: Viable and sustainable Housing Landlord service benefiting tenants and the wider community. (CMT Lead: Steve Tilbury)</i>
7.	Performance Management, New National Performance Framework, and Scrutiny Development	<p>Continued development of performance measures which assess the impact of Council and its partners' programmes of work on the community. Includes arrangements for partnerships and monitoring of cross-cutting issues.</p> <p>Further development of scrutiny function, supported by new Assistant Director role and improved focus on outcomes contained in the Community Strategy.</p>	<p>By 30 March 2011</p> <p>Review scrutiny function to ensure the structure supports Members in making a positive impact for the community by reviewing the Council's and partners' services. By March 2011.</p> <p>Work with Assistant Directors to ensure the Corporate Business Plan and Outcome Plans are accompanied by appropriate outcome measures. By August 2010.</p> <p><i>Desired Outcome: Value for money and the achievement of community strategy outcomes. Progress against key indicators which will be defined in the Community Strategy 2010. (Measured via CAA and Organisational Assessment). (CMT Lead: Simon Eden)</i></p>
8.	Leading the response to Climate Change	Ensure commitment to the achievement of the Council/WDSP target on carbon reduction across the district and provide leadership to obtain commitment from key organisations currently not involved in the partnership.	<p>WDSP High Quality Environment Group Action Plan sets out the broad areas where action is required.</p> <p>Commitments to specific actions being sought from key partners across sectors.</p> <p>Interim progress reports to Scrutiny during the year.</p> <p>The Economic Strategy</p>

2010/11 Corporate Governance Review Action Plan			
No.	Issue	Action in 2010/11	Progress/Comments/Outcomes (Lead Officer)
		Make resources available to reduce the carbon footprint of the Council which will in turn impact on the efforts for reduction in the wider community.	<p>emphasises the importance of moving to a low carbon economy.</p> <p>Additional training to be provided for planners and other key professionals.</p> <p>NI 185 baseline now compiled which gives us the Council's overall carbon footprint. Actions to reduce energy consumption now required across estates management, business mileage, and procurement. Carbon Management Plan to be incorporated within proposed Outcome Delivery Plan for High Quality Environment - by 30 September 2010.</p> <p><i>Desired Outcome: Reduction in carbon footprint of the Council, and of the wider district. (Lead: Rob Heathcock)</i></p>
9.	Control weaknesses arising during audit	<p>Ensure that the additional controls over payroll and creditor procedures that have been introduced during the year, are fully effective.</p> <p>Internal Audit will review the effectiveness of the changes in procedures and the Corporate Governance Group will monitor any exceptions.</p>	<p>By 31 March 2010</p> <p><i>Desired Outcome: Ensure proper use of public money. (CMT Lead: Stephen Whetnall)</i></p>
10.	Shared Services	Continue to develop shared services where there is an efficiency and/or improvement-led case for doing so.	<p>Ongoing.</p> <p><i>Desired Outcome: Services delivered at lower costs and/or improved quality. (CMT Lead: Simon Eden)</i></p>

2010/11 Corporate Governance Review Action Plan			
No.	Issue	Action in 2010/11	Progress/Comments/Outcomes (Lead Officer)
11.	Capacity	Ensure capacity to deliver priorities and, in particular, major contract re-tendering processes.	<p><i>The annual business planning process is the formal mechanism for ensuring we have the capacity to deliver all commitments. In practice the Corporate Management Team will regularly review priorities and targets against available capacity and adjust accordingly. Two new initiatives support this:</i></p> <ul style="list-style-type: none"> • <i>Project Office: to review progress against key corporate projects and advise CMT</i> • <i>Assistant Directors: new roles with a key responsibility in corporate business planning to assist in deployment of available financial and people resource</i>
12.	Silver Hill	Action will depend upon the outcome of the administration process which is outside of the Council's control.	<p><i>Desired Outcome:</i></p> <p><i>Restart of development process with new development partner.</i></p> <p><i>CMT Lead: Steve Tilbury</i></p>
13.	South Downs National Park Authority	The proposed arrangements for planning within the NPA may have a small impact on the Council's organisational infrastructure or finance. None of the options available to the NPA are considered likely to create significant difficulties unless accompanied by disproportionate changes to Government grant.	<p><i>Desired Outcome:</i></p> <p><i>Seamless transition to new NPA planning arrangements (whatever these are) with no deleterious impact on corporate resources</i></p> <p><i>CMT Lead: Steve Tilbury</i></p>

We propose, over the coming year, to take steps to address the above matters to further enhance our governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in our review of

effectiveness and will monitor their implementation and operation as part of the Sustainable Community Strategy and Corporate Business Plan monitoring.

Signed:

Simon Eden
Chief Executive
Winchester City Council
Dated: 29th June 2010

Signed:

Councillor Kelsie Learney
Leader of the Council
Winchester City Council
Dated: 29th June 2010

Winchester City Council

Local Code of Corporate Governance

Winchester City Council's Local Code of Corporate Governance

Definition of Governance

“Governance is the system by which an organisation directs and controls its functions and relates to its community”

Good governance is central to the Audit Commission's Comprehensive Area Assessment (CAA) of the quality of services we provide. Good governance is about:

- Good management
- Good performance
- Good stewardship of public money
- Good public engagement
- Good outcomes

Good Governance Standards

Winchester City Council's good corporate governance standards are outlined below. The Council will prepare an Annual Governance Statement to evaluate its governance against the principles below:-

GOOD GOVERNANCE PRINCIPLE 1

Winchester City Council will focus on the purpose of the authority and on outcomes for the community and create and implement a vision for the local area.

We will:

- develop and promote the authority's purpose and vision
- review on a regular basis the authority's vision for the local area and its impact on the authority's governance arrangements
- ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties
- publish information on a timely basis to communicate the authority's activities and achievements, its financial position and performance
- 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
- put in place effective arrangements to identify and deal with failure in service delivery
- 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.

GOOD GOVERNANCE PRINCIPLE 2

Winchester City Council will, by Members and officers working together, achieve a common purpose with clearly defined functions and roles.

We will:

- set out a clear statement of the respective roles and responsibilities of the executive (Cabinet) and of the executive's members individually (portfolio holders) and the authority's approach towards putting this into practice
- set out a clear statement of the respective roles and responsibilities of other authority members, members generally and senior officers
- 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
- make the Chief Executive responsible and accountable to the authority for all aspects of operational management
- develop protocols to ensure that the Leader and Chief Executive negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained
- 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
- make a senior officer (the monitoring officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with
- develop protocols to ensure effective communication between members and officers in their respective roles
- set out the terms and conditions for remuneration of members and officers and an effective structure for managing the process
- ensure that effective mechanisms exist to monitor service delivery
- 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
- 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
 - ensure that there is clarity about the legal status of the partnership
 - 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.

GOOD GOVERNANCE PRINCIPLE 3

Winchester City Council will promote values for the authority and demonstrate the values of good governance through upholding high standards of conduct and behaviour.

We will:

- ensure that the authority's leadership sets a tone for the organisation by embedding and sustaining a climate of openness, support and respect
- ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols
- 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
- 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
- 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
- develop and maintain an effective 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 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.

GOOD GOVERNANCE PRINCIPLE 4

Winchester City Council will take informed and transparent decisions which are subject to effective scrutiny and managed risk.

We will:

- 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
- develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based
- 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
- develop and maintain an effective audit committee which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the functions of such a committee.
- ensure that effective, transparent and accessible arrangements are in place for dealing with complaints
- ensure that those making decisions whether for the authority or the partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications

- 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
- 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
- ensure that arrangements are in place for whistle-blowing to which staff and all those contracting with the authority have access
- actively recognise the limits of lawful activity placed on us by, for example, the ultra vires doctrine but also strive to utilise powers to the full benefit of our communities
- 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
- observe all specific legislative requirements placed upon us, 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 our procedures and decision-making processes.

GOOD GOVERNANCE PRINCIPLE 5

Winchester City Council will develop the capacity and capability of members and officers to be effective.

We will:

- provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis
- 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
- assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively
- 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
- ensure that effective arrangements are in place for reviewing the performance of the executive (Cabinet) as a whole and of individual members and agreeing an action plan to address any training or development needs
- ensure that effective arrangements designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority
- ensure that career structures are in place for members and officers to encourage participation and development.

GOOD GOVERNANCE PRINCIPLE 6

Winchester City Council will engage with local people and other stakeholders to ensure robust public accountability.

We will :

- make clear to ourselves, all staff and the community to whom we are accountable and for what
- consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required
- produce an annual report on the activity of the scrutiny function

- ensure that clear channels of communication are in place with all sections of the community and other stakeholders, and put in place monitoring arrangements to ensure that they operate effectively
- hold meetings in public unless there are good reasons for confidentiality
- ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements will recognise that different sections of the community have different priorities and we will establish explicit processes for dealing with these competing demands
- establish a clear policy on the types of issues we will meaningfully consult on or engage with the public and service users about, including a feedback mechanism for those consultees to demonstrate what has changed as a result
- on an annual basis, publish an annual report giving information on the authority's vision, strategy, performance plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period
- 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
- develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making.

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
Dimension 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			
1	Exercising strategic leadership by developing and clearly communicating the Authority's purpose and vision and its intended outcome for citizens and service users	Develop and promote the authority's purpose and vision	<p>The Winchester District Strategic Partnership (WDSP) Sustainable Community Strategy (SCS) is clearly communicated on the Council's Website and sets out the vision and outcomes for the district over the next 20 years.</p> <p>Relevant elements of the Hampshire Local Area Agreement have been integrated into the SCS.</p> <p>The Corporate Strategy has been superseded by the SCS.</p> <p>The Corporate Business plan is aligned to the SCS and together with all the business plans (divisional, by outcome, strategy and partnership) represents the Council's individual role in delivering the SCS.</p>
		Review on a regular basis the authority's vision for the local area and its implications for the Authority's governance arrangements.	<p>The SCS is currently being reviewed; medium term reviews of the strategy are planned at 3 yearly intervals with annual health checks for the interim years.</p> <p>Winchester City Council's Corporate Business Plan is reviewed annually.</p> <p>The Council has adopted a Local Code of Corporate Governance. An annual Corporate Governance report reviews how functions are directed and controlled and relate to its community using the 6 good governance standards.</p>

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
		<p>Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners.</p>	<p>The WDSP brings together a range of thematic partnerships working together to a shared vision as set out in the Sustainable Community Strategy via shared partnership action plans.</p> <p>The Community Planning Protocol, which is shared by the Council and the WDSP, sets out the role of local groups & partners in community planning initiatives.</p>
		<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 2008/09 Performance report was approved by Cabinet 16/09/09 & Council 01/10/09. District level information has been published on the internet. This report which includes performance indicators and results of "Place Survey" refers to the Corporate Strategy as the overarching document but in future will refer to the outcomes in the SCS.</p> <p>Council's Statement of Accounts 2008/09 is published on Council's website.</p>
2	<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 August 2009 Citizens' Panel was used to canvas the views of the people of Winchester. Topics included Winchester's Community Strategy.</p> <p>The Overview & Scrutiny function provides the opportunity to improve the quality of life for its residents through the in-depth review of policies and service delivery (inc partnerships).</p> <p>The Good Scrutiny Guide sets out the roles of</p>

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
			<p>scrutiny committees in reviewing performance. This includes reviewing the performance of partnerships.</p> <p>The Local Code of Governance annual report reviews performance against the 6 good governance standards.</p>
			<p>The Financial Strategy 2009/10 – 2013/14 provides the foundation for delivering the corporate business plan by enabling resourced plans to be put in place.</p>
		<p>Put in place effective arrangements to identify and deal with failure in service delivery.</p>	<p>The Complaints procedure is publicised on the Internet.</p> <p>The WDSP includes a complaints process for partners within the WDSP.</p>
3	<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>Good Scrutiny Guide – reviews are scoped and structured to ensure VFM achieved in all activities.</p> <p>Internal Audit Plan includes a programme of reviews which cover economy, effectiveness & efficiency.</p> <p>The Use of Resources assessment for 2008/09 completed by the Audit Commission concluded that the Council's arrangements for securing economy, efficiency and effectiveness meet the value for money criteria requirements. Service Reviews were completed in 2009 which focused on monetary savings, income generation and working more effectively.</p>

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
		<p>Measure the environmental impact of policies, plans and decisions.</p>	<p>Corporate Sustainability Appraisal Methodology and Sustainability Appraisal Matrix were adopted as a corporate standard from 1 April 2008. This provides a systematic process for ensuring that all strategies, policies and plans achieve the best outcome for the wellbeing of local communities assessing the strategies, policies and plans against a defined set of sustainable development objectives, in order to assess the overall impact, whether positive, negative or neutral, and how to improve this.</p> <p>There is currently no explicit link to the committee report templates or report checklists however these are currently being reviewed by the Corporate Governance Group.</p>
<p>Dimension 2 - Members and officers working together to achieve a common purpose with clearly defined functions and roles</p>			
	<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>The Council's Constitution (Part 2 – Articles, Part 3 – Responsibility for Functions and Part 4 Procedure Rules) sets out a clear statement of roles and responsibilities of the Executive (Cabinet), which is recognised as a collective as opposed to individual responsibility. The individual decision making responsibilities of portfolio holders are also set out in Part 3. Part 8 includes local guidance notes on the different roles of members.</p>

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
		Set out a clear statement of the respective roles and responsibilities of other authority members, members generally and of senior officers.	The Council's Constitution (Part 2 – Articles, Part 3 – Responsibility for Functions and Part 4 Procedure Rules) sets out a clear statement of roles and responsibilities of other authority members, specifically under , Council, Scrutiny, Regulatory Committee and Other Non-Executive Committee functions. Part 8 includes local guidance notes on the different roles of members. Article 12 and Part 3 – Functions specifies the role of senior officers.
	Ensuring that a constructive working relationship exists between authority members and officers and that the responsibilities of members and officers are carried out to a high standard.	Determine a scheme of delegation and reserve powers within the constitution, including a formal schedule of those matters specifically reserved for collective decision of the authority, taking account of relevant legislation, and ensure that it is monitored and updated when required.	<p>The Council's Constitution (Part 3 – Responsibility for Functions) defines the Scheme of Delegation for Portfolio Holders.</p> <p>Section 6 of the Council's Constitution (Part 3 – Responsibility for Functions) defines the Scheme of Delegation for Officers; this includes Corporate Management Team and Heads of Division.</p> <p>The Scheme of Delegation for Officers will be revised to account for the organisational changes resulting from the Corporate Change Programme</p>
		Make a Chief Executive or equivalent responsible and accountable to the Council for all aspects of operational management.	The Chief Executive is the Head of Paid Service, appointed under Section 4 of the Local Government and Housing Act 1989, with the responsibilities defined within that Act for overall corporate management and operational activities of the Council (as defined in Part 5 – Codes and Protocols of the Constitution specifically the Protocol for Member / Officer Relations).

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
			<p>The job description for the Chief Executive outlines the principal responsibilities and accountabilities for the post.</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>Part 5 – Codes and Protocols of the Constitution includes a specific protocol for Member / Officer Relations, including specific Statutory Officers such as the Head of Paid Service (Chief Executive).</p> <p>The Head of Paid Service’s role is also defined in the Constitution under Article 12 – Officers. Part 8 includes local guidance notes on the role of Leader.</p>
		<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>	<p>Part 5 – Codes and Protocols of the Constitution includes a specific protocol for Member Officer Relations, including specific Statutory Officers such as the S151 Officer (Head of Finance)</p> <p>The S151 Officer’s role is also defined in the Constitution under Article 12 – Officers.</p> <p>Appraisals are used for managing and monitoring performance</p>
		<p>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.</p>	<p>Part 5 – Codes and Protocols of the Constitution includes a specific protocol for Member Officer Relations, including specific Statutory Officers such as the Monitoring Officer (Corporate Director – Governance)</p> <p>The Monitoring Officer’s role is also defined in the Constitution under Article 12 – Officers.</p> <p>Appraisals are used for managing performance; the latest appraisal of the Corporate Director</p>

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
			(Governance) was conducted in 15 March 2010.
	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.	<p>Part 5 – Codes and Protocols of the Constitution includes a protocol specifically for Member / Officer relations.</p> <p>The Members’ Charter makes reference to the Access to Officers.</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 (if applicable).	<p>Part 6 – Members’ Allowances Scheme of the Constitution defines the terms and conditions for allowances paid.</p> <p>The latest Independent Remuneration Panel report was presented at Cabinet 13 December 2006. The next Independent Remuneration Panel is scheduled to report in September 2010 (within 4 years of the last review which in line with statutory guidance).</p> <p>Winchester City Council employees work under NJC (National Joint Council) for LGS (Local Government Service) conditions which are standard for Local Authorities.</p> <p>The Accounts and Audit Regulations require disclosure of employees’ remuneration which exceeds £50,000; this disclosure was included in the Statement of Accounts the year ended 31 March 2009.</p>
		Ensure that effective mechanisms exist to monitor service delivery.	Heads of Division are responsible for monitoring service delivery. Business plans are produced for each Division annually outlining their key

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			<p>objectives / priorities for both the short term and long term.</p> <p>Performance against the key priorities / objectives is monitored monthly, monitoring progress against actions and performance indicators included in the individual Divisional Business Plans.</p> <p>Scrutiny Panels receive quarterly exception reports providing them with details of projects and actions that are not on track and performance indicators which are not improving. The Scrutiny Panel has the ability to hold both the Portfolio Holder and the Head of Division to account for areas of poor performance.</p>
		<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>	<p>The Sustainable Community Strategy states both the organisation's vision and that of the WDSP. The key role of the WDSP is to create and deliver a Community Strategy that identifies the priority issues facing the district and what the partnership can do to address them.</p> <p>The Local Development Framework, which sets out how growth and development will be guided over the next 20 years, has been developed in consultation with both Statutory Consultees (e.g. Hampshire County Council) and other General Consultation bodies (e.g. Age Concern)</p> <p>The Corporate Business Plan 2000-2014 outlines the steps the council is taking as its part of the process. This plan includes a defined set of priorities and targets, stating also how they are to</p>

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
			<p>be achieved.</p> <p>Individual Business Plans are produced annually for each service which set out detailed plans for the different area of the Council's work.</p> <p>The Council's budget is produced annually for both the general fund and HRA, going through an extensive consultation process, which is finally approved by Cabinet.</p>
		<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>When working in partnership: Ensure that there is clarity about the legal status of the partnership Ensure that representatives of organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions.</p>	<p>The Partnership Toolkit includes specific guidance on the Financial and Legal requirements when entering into and maintaining a partnership.</p> <p>Part 8 – Local Guidance Notes of the Constitution includes specific guidance for members regarding serving on outside bodies, including legal responsibilities and liabilities.</p>
<p>Dimension 3 - Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour</p>			
	<p>Ensuring Council Members and Officers exercise leadership by behaving in ways that</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 Member General Principles of Conduct, which is included in Part 5 – Codes and Protocols of the Constitution specifically identifies openness, respect for others and leadership as values they</p>

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
	<p>exemplify high standards of conduct and effective governance.</p>		<p>should adopt.</p> <p>The Model Code of Conduct, which is included in Part 5 – Codes and Protocols of the Constitution clearly states to members their responsibilities with respect to declaring and registering interests openly.</p>
		<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 Members General Principles of Conduct, which is included in Part 5 - Codes and Protocols of the Constitution defines the conduct and personal behaviour expected of members (these are aligned to those expressed by the Nolan Committee).</p> <p>Training is available for all members annually (new and existing) on the Code of Conduct. The training is seen as essential for all new members and existing members are advised to attend as refresher training.</p> <p>The Employee Code of Conduct, which is included in Part 5 – Codes and Protocols of the Constitution states the expected general conduct of employees and how they conduct themselves with Councillors, the local community, service users and contractors.</p> <p>As part of the induction process new employees are made aware of the Employee Code of Conduct (this is through the e-learning portal on the intranet). There is however no refresher training for existing staff ensuring it is continuously understood by all employees. It is planned for</p>

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
			2010/11 to include this in a series of workshops to be run for management on Anti-fraud and Corruption.
		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>Defined within Part 5 – Codes and Protocols of the Constitution specifically through the Members and Employee Code of Conduct.</p> <p>Training is available for all members annually (new and existing) on the Code of Conduct. The training is seen as essential for all new members and existing members are advised to attend as refresher training.</p> <p>As part of the induction process new employees are made aware of the Employee Code of Conduct (this is through the e-learning portal on the intranet). In 2009-10 employees were reminded of the rules governing declarations of interest through the Core Brief.</p>
	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.	Winchester City Council's values are set out in the Corporate Business Plan 2009-14
		Put in place arrangements to ensure that systems and processes are designed in conformity with	The Monitoring Officer reviews Cabinet and Committee reports and decisions for conformity with ethical standards.

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
		appropriate ethical standards, and monitor their continuing effectiveness in practice.	
		Develop and maintain an effective Standards Committee.	Standards Committee meets regularly throughout the year and is chaired by an Independent member. Membership of the Committee includes four independent members and four Parish Councillors.
		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.	Both the Member Code of Conduct and Employee Code of Conduct which form part of the Constitution show a commitment to ensuring that decision making respects the Council's values.
		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 Partnership Toolkit 'Guidance on Running a Partnership' identifies the partnership agreement is essential for defining responsibilities, reporting arrangements and decision making requirements.
Dimension 4 - Taking informed and transparent decisions which are subject to effective scrutiny and managing risk			
	Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny.	Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall and that of any organisation for which it is responsible.	The Council scrutiny function encompasses a Principal Scrutiny Committee and four scrutiny panels to review, challenge and develop the delivery of the Council's policy framework.
		Develop and maintain open and effective mechanisms for	Documented evidence of decisions taken by decision making committees together with the

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
		documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based.	recording of the rationale and considerations upon which these are based are, with the exception of exempt reports available on the Council's website.
		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>The Council's Constitution incorporates comprehensive Member and Employee Codes of Conduct and protocols.</p> <p>The Standards Committee considers complaints against Members. A standard form and guidance notes are provided to consider a complaint.</p> <p>A complaints procedure is also publicised on the Council's internet site.</p> <p>Principles of Governance for the WDSP include principles of conduct of individuals involved in the partnership based upon the Nolan Principles of Public Life.</p> <p>Members declare any financial or other interests in the Authority's register by providing written notification to the Monitoring Officer.</p> <p>Training is available for all members annually (new and existing) on the Code of Conduct. The training is seen as essential for all new members and existing members are advised to attend as refresher training.</p>
		Develop and maintain an effective audit committee (or equivalent)	The Audit Committee function is undertaken by the Principal Scrutiny Committee which is independent

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
		<p>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>of the Scrutiny Panels.</p> <p>Part 4 – Rules of Procedure of the Constitution defines the arrangements for the Principal Scrutiny and the Overview and Scrutiny function.</p>
		<p>Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints.</p>	<p>The Council’s Complaints procedure is publicised on the Internet. Complaints received by the Council are included in an annual report which is presented to Principal Scrutiny Committee (Note: the latest report was presented on 21 September 2009 reporting for the 2008-09 year).</p> <p>The Winchester District Strategic Partnership includes a complaints process for partners within the Strategic Partnership.</p> <p>Complaints against Council members are included in the Standards for England – Annual Return 2010 which was presented to Standards Committee on 29 March 2010.</p>
	<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 purpose – relevant, timely and gives clear explanations of technical issues and their implications</p>	<p>The Committee timetable lists all meeting for the year with specific deadlines for submission of reports.</p> <p>The Report Checklist provides guidance for officers on general report writing techniques and requirements; this is however out of date and does not incorporate changes to templates that have taken place. This will be reviewed for the recent organisational changes.</p>

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
		<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>The committee report writing checklist instructs officers to consult the Director of Finance (on any financial or IT implication) and the City Secretary & Solicitor (on any Legal or procedural points).</p> <p>The checklist requires updating as the officers titles have changed to Head of Finance and Corporate Director (Governance).</p>
	<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>The Council has a dedicated Risk & Insurance Advisor who maintains up to date policy and guidance documentation on the Council's intranet.</p> <p>The corporate "Risk Advisory Group" aims to promote a strong risk culture across the Authority and supports a robust approach to managing the Council's risks.</p> <p>The Risk Strategy outlines the Council's arrangements to manage these risks. This includes how risk management feeds into existing processes; policy planning and operational management and Member and officer roles and responsibilities.</p> <p>Report writing template refers to Risk Management considerations but report guidance does not incorporate instruction on this.</p>

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
		<p>Ensure that arrangements are in place for whistle-blowing to which staff and all those contracting with the authority have access</p>	<p>The Anti-Fraud and Corruption Policy, which incorporates arrangements for Whistle-blowing, is part of the Council's constitution available on the Council's intranet/internet. Anti-Fraud and Corruption training was undertaken in 2008/09 which included whistle-blowing arrangements. Consideration should be given to implementing a 'Speak Up' campaign whereby posters are circulated providing officers with details about a confidential internal and external reporting line. Further training on Anti-fraud and Corruption is planned for 2010/11.</p> <p>Financial Procedure Rules require officers to notify the Head of Finance of any circumstances that may suggest the possibility of suspected fraud.</p>
	<p>Using their legal powers to the full benefit of the citizens and communities in their area.</p>	<p>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</p>	<p>It is the function of the Monitoring Officer, as set out in the Council's Constitution, to ensure lawfulness and fairness in decision making and to provide advice on the scope of powers and authority to take decisions, maladministration, financial impropriety, probity and budget and policy framework issues. The Monitoring Officer is required to report to the full Council (or to Cabinet in relation to an executive function) where it is considered that any proposal, decision, omission has given rise to maladministration.</p> <p>The committee report writing checklist is out of date and instructs officers to consult the City Secretary and Solicitor (on any Legal or procedural points).</p>

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
		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	The committee report writing checklist is out of date and instructs officers to consult the Director of Finance (on any financial or IT implication) and the City Secretary and Solicitor (on any Legal or procedural points).
		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.	It is the function of the Monitoring Officer, as set out in the Council’s Constitution, to ensure lawfulness and fairness in decision making and to provide advice on the scope of powers and authority to take decisions, maladministration, financial impropriety, probity and budget and policy framework issues. The Monitoring Officer is required to report to the full Council (or to Cabinet in relation to an executive function) where it is considered that any proposal, decision, omission has given rise to maladministration.
Dimension 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 conducted for all new members. A Members Training and Development Programme is established each year to develop the skills and knowledge of members.</p> <p>Induction checklist are used for new starters in order to familiarise themselves with the organisation. The E-Learning training portal has a module specific to induction targeted at new starters.</p> <p>The Council invests in staff training, with both corporate training programmes and funding for individual development available.</p>

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
			<p>The Council is currently accredited as an 'Investor in People'.</p>
		<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>The Head of Paid Service, Section 151 Officer and the Monitoring Officer confirmed that they have available to them appropriate courses to supplement / update knowledge as required</p> <p>The roles are specified in individual job descriptions and their roles and responsibilities are included in the Constitution.</p>
	<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>A Members Training and Development Programme is established each year to develop the skills and knowledge of members.</p> <p>Officers' performance is evaluated as part of the appraisal process</p> <p>Complaints against Council members are included in the Standards for England – Annual Return 2010 which was presented to Standards Committee on 29 March 2010.</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 Members Training and Development Programme is established each year to develop the skills and knowledge of members.</p>

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
		<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>Principal Scrutiny Committee receives the minutes from Cabinet and Scrutiny Panels relating to performance monitoring and considers any issues arising from this.</p> <p>There is no specific monitoring of individual member performance. Records are retained of attendance at committee meetings and training attended (through the Member Training Development Programme).</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>A Youth Council was launched in 2007;</p> <p>The Council is providing increased support to local groups to undertake 'community planning';</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> <p>The August 2009 Citizens' Panel was used to canvas the views of the people of Winchester. Topics covered included Winchester's Community Strategy.</p> <p>Questionnaires are now included in 'Perspectives', which is issued to all residents within the Winchester City Council boundaries.</p>
		<p>Ensure that career structures are in place for members and officers to encourage participation and development.</p>	<p>Workforce Development Plan covers the 5 year period 2005-2010</p> <p>Personal Development Plans form part of the</p>

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
			Performance Appraisal Process. The Talent Management Programme helps people develop their skills and capabilities to make the most of their potential.
Dimension 6 - Engaging with local people and other stakeholders to ensure robust public accountability			
	Exercising leadership through a robust scrutiny function, which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships	Make clear to themselves, all staff and the community to whom they are accountable and for what	<p>The Council has published a 'Good Scrutiny Guide' setting out the role of its scrutiny function;</p> <p>Scrutiny Committees are clearly aligned with the work of Portfolio Holders. Overview and scrutiny bodies are able to hold Portfolio Holders to account for the services within their areas of responsibility.</p>
		Consider those institutional stakeholders to whom the Council is accountable and assess the effectiveness of the relationships and any changes required	<p>The Council has published a 'Good Scrutiny Guide' setting out the role of its scrutiny function;</p> <p>Scrutiny Committees are clearly aligned with the work of Portfolio Holders. Overview and scrutiny bodies are able to hold Portfolio Holders to account for the services within their areas of responsibility.</p> <p>The Scrutiny Panels and Principal Scrutiny Committee can also review the City Council's partnership working in relevant areas. They are able to look at all aspects of a partnership's work including the City Council's role, performance management and monitoring of work programmes.</p>

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
		Produce an annual report on the activity of the scrutiny function.	An Annual Report is produced by the Chairman of the Principal Scrutiny Committee each year, commenting on the activity of the scrutiny function (Note the last report presented to Principal Scrutiny Committee was June 2009 which reported on 2008-09 activities)
	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 Council, 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.	<p>Council magazine 'Perspectives' is published twice a year and delivered free to all households. Effectiveness is reviewed through questionnaires in the magazine and questions to the Citizen's Panel.</p> <p>Press releases are issued regularly, with press cuttings used to monitor their take up; Council branding is used to raise public awareness of services provided by the authority; Press releases are available on the website.</p> <p>Podcasts are now being used as another form of communication with stakeholders</p> <p>The Council's website is used as a source of information to the community. Access to the Internet and use of the Council's website is monitored through the Citizens' Panel and through usage figures.</p>
		Hold meetings in public unless there are good reasons for confidentiality.	All decision making meetings and formal Scrutiny Meetings are open to the public with public participation processes, other than for items falling within exempt categories of business.
		Ensure that arrangements are in place to enable the authority to engage with all sections of the	<p>Various arrangements are in place to engage with different sections of the community, including;</p> <ul style="list-style-type: none"> • Engagement with housing tenants through

Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
		<p>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>TACT;</p> <ul style="list-style-type: none"> • Use of directed e-bulletins to keep those who ‘sign up’ aware of development – for example the ‘Live for the Future ...’ bulletins to keep interested residents aware of progress with the Core Strategy; • A ‘reference group’ to comment on disability issues relating to Council services is being set up. • Youth Council; • Community Planning exercises • Pod casts
		<p>Establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users about including a feedback mechanism for those consultees to demonstrate what has changed as a result.</p>	<p>The Council’s ‘Statement of Community Involvement’ covers both planning and wider issues.</p> <p>Winchester City Council is establishing a new consultation panel, ‘E-Panel’, which will help when consulting about Council initiatives, activities and various proposals.</p>
		<p>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>	<p>The Council’s Sustainable Community Strategy, Corporate Business Plan and budget provide information on plans for the year ahead.</p> <p>The Council’s Performance Report and Annual Statement of Accounts and more specific outturn reports report on progress to the previous year (Note the last reports were presented to Principal Scrutiny Committee in September 2009 which reported on 2008-09 activities).</p>






Ref	Supporting Principles	Specific requirements to:	Compliance Commentary
		<p>Ensure that the authority as a whole is open and accessible to the community, service users and its staff</p> <p>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 has developed 'local access points' to make it more accessible to rural areas of its community</p> <p>Constitution and Cabinet / Committee reports available on web-site (agenda and 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 website.</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 through monthly team briefings.</p>
	<p>Making best use of human resources by taking an active and planned approach to meet responsibility 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 through monthly team briefings.</p> <p>As part of the Change Programme 2010 a consultation paper has been issued to all staff which clearly outlines the proposed organisational changes which they are able to comment on, allowing them to be involved in the decision making process..</p>


Annual Governance Statement




Generated on: 24 May 2010








Key to Status Icons



Action Status	
 Action Completed	 Overdue – Due date passed before action completed
 Action In Progress within due date	 Action Cancelled
 Check Progress – action approaching due date or associated milestone not yet complete and passed due date; Action Not Started	




Action in 2009/10	Desired Outcome	Milestone	Milestone Due Date	Milestone Completed	Status	Progress	Action Due Date	Latest Status Update
Issue 1 – Asset Management <i>CMT Lead: Stephen Whetnall</i> <i>Link to Strategic Risk: SR0014</i>								
Complete review of condition of non-housing properties. Ensure that financial aspects of the Council's fixed assets are appropriately incorporated into the financial planning process, taking account of the current economic situation on the Council's properties (EST/PROJ/004)	The Council's fixed assets are employed to best effect in securing broader outcomes in the Sustainable community strategy and the council has a funded three year programme for maintaining its non-housing properties. An unqualified Use of Resources opinion will indicate our direction of travel in achieving this outcome	Phase II condition survey of non-housing related properties	31 Oct 2009	Yes		100%	31 Jul 2010	Phase I and II complete – CAB1919 12 th November 2009 refers



Action in 2009/10	Desired Outcome	Milestone	Milestone Due Date	Milestone Completed	Status	Progress	Action Due Date	Latest Status Update
		Programme for any further condition surveys required, including impact of energy usage	31 Mar 2010	Yes		100%		Programme identified, CAB 1919 12 th November 2009 and budget provision made for surveyor /energy post CAB1964 Feb 2010 refers
		Update Asset Management Plan	31 July 2010	Not yet due		75%		Updated repair schedules for Guildhall, CAB1871, 16 th Sept 2009, RPLC CAB1965, 3 rd Feb 2010 and Car Parks Capital Programme, CAB1968 all approved.
Issue 2 – Procurement Policy 2009 CMT Leads: Bob Merrett & Stephen Whetnall Link to Operational Risk: OP0095								
Procurement policy covering sustainability (incorporating equality and diversity) plus associated	Procurement practice reflects policy and helps to achieve broader Sustainable Community	Cabinet agree Procurement Policy	29 Jan 2010	Yes		50 %	30 Jul 2010	This will be addressed in the upgrade of the main



Action in 2009/10	Desired Outcome	Milestone	Milestone Due Date	Milestone Completed	Status	Progress	Action Due Date	Latest Status Update
procedural guidance and staff training to replace current procurement strategy (PCI/IPS/040)	Strategy outcomes and statutory duties	Staff guidance produced	30 Jul 2010	Not yet due				financial system "financials" which will include several
Update to the Contract Procedure Rules and prepare Guidance Notes to assist tendering procedures as identified in Internal Audit Recommendations (I.A. ref 377 and 426). (PCI/IPS/041)	Corporate Contracts Procedure Rules support officers in complying with Council policy and achieving broader community strategy outcomes when preparing, tendering and monitoring contracts.					30%	30 Jul 2010	work-streams including "Procure to Pay". Procedures will be updated in line with the system going live
Issue 3 - Setting & achieving priorities with the context of recession and reduced resources for local government <i>CMT Lead: Bob Merrett</i> <i>Link to Strategic Risk: SR009</i>								
Improved consultation on Council priorities/budget (PCI/IPS/039a)	Top priorities for the district achieved despite reduced resources. Savings made only at the expense of non-priorities	Budget and Corporate Business Plan options sent to Scrutiny Panels and Principal Scrutiny Committee	20 Nov 2009	Yes		100 %	31 Jan 2010	Following agreement with the Leader, the Sustainable Community Strategy will be refreshed in Spring 2010, therefore the Council's strategic priorities will remain the same for the current budget consultation. Draft 2010/11
		WDSP consulted on budget options	20 Nov 2009	Yes				
		Consultation with businesses	27 Jan 2010	Yes				
		Consultation with Parishes	27 Jan 2010	Yes				
Improvement of links between corporate and departmental business planning (PCI/IPS/039b)	Top priorities for the district achieved despite reduced resources. Savings made only at the expense of non-priorities	Programme of service reviews completed to inform corporate planning cycle	31 Aug 2009	Yes		100 %	31 Mar 2010	



Action in 2009/10	Desired Outcome	Milestone	Milestone Due Date	Milestone Completed	Status	Progress	Action Due Date	Latest Status Update
		Business Plan guidance provided for Divisions	30 Oct 2009	Yes				budget paper (CAB1923) reported to Cabinet 12 November 09.
Effective management of vacancies to achieve target savings (PCI/IPS/039c)	Top priorities for the district achieved despite reduced resources. Savings made only at the expense of non-priorities					100 %	31 Mar 2010	
Issue 4 – Data Quality CMT Lead: Bob Merrett Link to Strategic Risk: SR0012								
Establish range of data sets and owners, update data quality protocol and provide training (PCI/IPS/037)	Reliable data quality for good governance. Measured through improved performance in Organisational Assessment	Review of all indicators in Covalent to ensure correct officer is assigned responsibility	30 Sep 2009	Yes		100 %	31 Dec 2009	Data Quality Policy agreed and available on the Engage Winchester website. Following the recent Use of Resources inspection, the Audit Commission has recognised improvements to the Council's data quality which will feature in their formal report due summer 2010
		Data Quality Protocol disseminated to officers responsible for data quality	30 Oct 2009	Yes				
		Data Quality Protocol agreed	31 May 2009	Yes				


Action in 2009/10	Desired Outcome	Milestone	Milestone Due Date	Milestone Completed	Status	Progress	Action Due Date	Latest Status Update
Issue 5 – Equality Assessments <i>CMT Lead: Simon Eden</i> <i>Link to Operation Risk: OP0073</i>								
Equality Impact Assessments (EIA's) covering priority areas as set out in the programme and new areas of work. Work continues with the programme of EIA's and compliance with the Equality Framework. (OD/OD/012)	Equality Impact Assessments completed and work undertaken to comply with the Equality Framework to identify and implement continued improvements to services. Measured through improved customer satisfaction levels and improved levels of attainment in the Equality Framework.	Priority 1 - High	31 Mar 2009	Yes		40 %	31 Mar 2011	CMT have discussed progress against Equality Standard and agreed action plan.
		Priority 2 - High	31 Oct 2009	No				
		Priority 3 - Medium	31 Mar 2010	No				
		Priority 4 - Medium	31 Oct 2010	No				
		Low Priority areas	31 Mar 2011	No				
Issue 6 - Financial Management - including item 6A (below) that was approved as part of report PS387 <i>CMT Lead: Stephen Whetnall</i> <i>Link to Strategic Risk: SR009</i>								
Upgrade or replace core Financial system (including e-procurement) (FIN/PROJ/001)	Project completed to time and within budget – including Business Process re-engineering for “procure to pay”, and debtors.	Training of work stream members	18 Nov 2009	Yes		31 %	01 Oct 2010	Revised project plan approved by the Project Board on 21 st April 2010 with revised target implementation date of 1 October 2010
		Complete building of prototype	30 Jun 2010	Not yet due				
		System sign-off – testing complete	31 Aug 2010	Not yet due				
		Training complete	30 Sep 2010	Not yet due				
		Go live	01 Oct 2010	Not yet due				
		Contract signed		Yes				
		Installation of system		Yes				

Action in 2009/10	Desired Outcome	Milestone	Milestone Due Date	Milestone Completed	Status	Progress	Action Due Date	Latest Status Update
Review and update Capital Strategy and the Capital Programme (FIN/MAC/006)	Capital Strategy that is fit for purpose	Approval of Capital Strategy and Capital Programme	30 Jun 2009	Yes		100 %	30 Jun 2009	Revised Capital Programme prepared for consideration at Cabinet – Feb 2010, CAB 1963 refers.
Review and update the Financial Strategy and the Efficiency Strategy (FIN/MAC/007)	Strategy fit for purpose	Review Financial Strategy and Efficiency Strategy	30 Jun 2009	Yes		100 %	30 Jun 2009	VFM/NI179 target approved by Cabinet and submitted to HUB in accordance with required timescales
Issue 6A Control weaknesses arising during audit - Address the internal control weaknesses within the Payroll and Creditor payments systems								
Creditor payments system	Ensure proper use of public money	Segregation of duties within the Exchequer Team (setting up and maintaining suppliers & inputting invoices).	27 May 2010	No		0%	27 May 2010	Improved procedure implemented pending the full segregation of supplier maintenance from creditor accounts payable under the new procedures / financial system.


Action in 2009/10	Desired Outcome	Milestone	Milestone Due Date	Milestone Completed	Status	Progress	Action Due Date	Latest Status Update
Payroll	Ensure proper use of public money	Pay statements to be amended to show contracted hours	30 Oct 2009	No			30 Jun 2010	Upgrade applied to the test system. As this change is part of a wider upgrade it will be applied to the live system when HR are satisfied with the HR elements of the upgrade. Target date 30 June 2010.
Issue 7 – Health & Safety <i>CMT Lead: Simon Eden</i> <i>Link to Strategic Risk: SR0010</i>								
Embed the health and safety culture across the Council (OD/OD/012)	Compliance with Health and Safety requirements leading to safe and healthy workplace	Implement actions identified in 2008/09 Internal Audit Review	30 Sep 2009	Yes		100%	30 Sep 2009	Actions completed Corporate H&S Committee continues to meet regularly to review current H&S issues. H&S Operation Group continuing to complete agreed action plan Action plan to be


Action in 2009/10	Desired Outcome	Milestone	Milestone Due Date	Milestone Completed	Status	Progress	Action Due Date	Latest Status Update
								entered onto Covalent
Issue 8 - Housing Options CMT Lead: Steve Tilbury Link to Strategic Risk: SR001								
To complete formal review of Housing Options and recommend future management arrangements to Council (including necessary tenant consultation) (LAN/DIV/001)	Future management arrangements approved	Report offer and its implications to Cabinet/TACT	30 Apr 2010	No		0 %	31Mar 2011	
		Update 30 year financial projections once reform "offer" is known	31 May 2010	Not yet due				
		Briefing to Housing Options Steering Group	30 Jun 2010	Not yet due				
		Respond to Government with Council view on way forward	30 June 2010	Not yet due				
		Agree and implement action plan to prepare for Self Financing	31 Mar 2011	Not yet due				
Issue 9 – Partnership working CMT Lead Bob Merrett Link to Strategic Risk: SR0015								
Partnership governance review and development of guidance for partnerships on risk management.	Good governance informs all partnership working and risk is actively managed	Complete governance arrangements for all significant WDSP partnerships	30 Oct 2009	Yes		100%	31 Mar 2010	Review of partnership governance undertaken and


Action in 2009/10	Desired Outcome	Milestone	Milestone Due Date	Milestone Completed	Status	Progress	Action Due Date	Latest Status Update
(PCI/IPS/038)		Support WCC officers in ensuring good standards of partnership governance in appropriate WDSP linked partnerships	30 Nov 2009	Yes				appropriate levels of governance arrangements put in place according to partnership size and significance.
		Operational Risk Register populated with partnership risks	29 Jan 2010	Yes				
Issue 10 – Performance Management, new National Performance Framework, and Scrutiny Development CMT Lead: Bob Merrett <i>Link to Strategic Risk: SR0012</i>								
Embed the new data collection systems for National Indicator set (PCI/IPS/024)	Value for money and the achievement of community strategy outcomes. (Measured via CAA and Organisational Assessment).	National Indicator Set assigned to relevant officer (including NIs not collected by WCC)	28 Aug 2009	Yes		100%	31 Mar 2010	National Indicators being collected and reported as they come on line throughout the year. All indicators available to date to be presented as part of WCC Annual report.
		Publication of 2008/09 Annual Report of National Indicators	16 Sep 2009	Yes				
Development of performance monitoring against community strategy outcomes and integration with scrutiny process (PCI/IPS/024a)	Value for money and the achievement of community strategy outcomes	National indicators and business plan actions categorised according to Community Strategy priorities	31 Aug 2009	Yes		100%	31 Mar 2010	Work will be ongoing to ensure that relevant partnership performance information is reported to
		National indicators not collected by WCC	31 Aug 2009	Yes				

Action in 2009/10	Desired Outcome	Milestone	Milestone Due Date	Milestone Completed	Status	Progress	Action Due Date	Latest Status Update
		compiled centrally by IPS team where available						scrutiny panels. Improved links between scrutiny and the WDSP achieved via Member observers appointed to partnerships.
		Member training on scrutiny of District outcomes	31 Oct 2009	Yes				
		WDSP High Quality Environment action plan to Cabinet	12 Nov 2009	Yes				
		Scrutiny Panels to receive Place Survey and Local Area Agreement performance information	30 Nov 2009	Yes				
		Integration of partnership performance information with scrutiny panels' quarterly monitoring	26 Feb 2010	Yes				
Issue 11 – Programme and Project Management <i>CMT Lead Simon Eden</i> <i>Link to Strategic Risk: SR0019</i>								
Setting up Corporate Project Office and integration of project/programme management within existing performance	Improved use of project management information to align workload with resources leading to successful delivery of priority outcomes	Set up Project Board	06 Mar 2009	Yes		69%	30 Mar 2012	Actions from projects and programmes currently being entered onto Covalent. First
		Visit Dacorum to review their project office	23 Apr 2009	Yes				
		Meeting with	29 Apr	Yes				

Action in 2009/10	Desired Outcome	Milestone	Milestone Due Date	Milestone Completed	Status	Progress	Action Due Date	Latest Status Update
management system (IMT/IMT/010)		CMT/SMG to advise of outcome from Dacorum visit	2009					monitoring report of Corporate Business Plan including programmes and projects being presented to Cabinet on 12 November (CAB1897 refers)
		Meeting with CMT to discuss Project office	05 May 2009	Yes				
		First meeting of Programme Board	10 Jun 2009	Yes				
		List of all projects to be produced	12 Jun 2009	Yes				
		Update Project Documentation	30 Jun 2009	Yes				
		2nd meeting programme board	21 Jul 2009	Yes				
		3rd meeting of programme board	18 Aug 2009	Yes				
		Train staff on documentation	21 Aug 2009	Yes				
		Advise all Project managers of documentation	28 Aug 2009	Yes				
		4th meeting of programme board	24 Sep 2009	Yes				
		Meeting of CMT	13 Oct 2009	Yes				
		Programme Board meetings Oct, Nov, Dec, Jan, Feb, Mar, Apr, May	21 May 2010	Yes				

Action in 2009/10	Desired Outcome	Milestone	Milestone Due Date	Milestone Completed	Status	Progress	Action Due Date	Latest Status Update
		Review of Project Office	28 May 2010	Not yet due				
		Further meeting	23 Dec 2010	Not yet due				
		Project complete	30 Mar 2012	Not yet due				
Issue 12 - Risk Management <i>CMT Lead: Bob Merrett</i> <i>Link to Operational Risk: OP0051</i>								
Establish clearer links between the Strategic Risk Register and the Community Strategy, and ensure the Risk strategy is complied with and the Risk Register is maintained	Evidence of risk based decision making, improved performance and effective Corporate Governance. Risk management 'mainstreamed' so that broader outcomes can be achieved					100%	31 Dec 2009	All strategic risks have been linked to one or more of the Community Strategy outcomes .All decision making reports now include paragraph on risk management issues. Schedule of Strategic and Operational risks updated monthly and available on the intranet. Work will continue into 2010/11 to look at better

Action in 2009/10	Desired Outcome	Milestone	Milestone Due Date	Milestone Completed	Status	Progress	Action Due Date	Latest Status Update
								integrating the risk management and performance management systems of the Council.
Issue 13 – S106 Agreements <i>CMT Lead: Steve Tilbury</i> <i>Link to Strategic Risk: SR0019</i>								
To provide a S106 Monitoring database that will meet the requirements as set out in the Internal Audit report of January 2009. (PDC/PROJ/001)	Improved tracking of Planning obligation requirements including payment of financial contributions	Evaluation	05 Feb 2010	Yes		80%	31 Mar 2010	A system produced by IDOX (Obligation Tracker) has now been selected and is being installed for testing in Winchester in 18 May 2010. Go live date is now mid July.
		Testing & process mapping	31 May 2010	Not yet due				
		User training	30 June 2010	Not yet due				
		System live	16 July 2010	Not yet due				

Action in 2009/10	Desired Outcome	Milestone	Milestone Due Date	Milestone Completed	Status	Progress	Action Due Date	Latest Status Update
Issue 14 – Leading the response to Climate Change <i>CMT Lead: Bob Merrett</i> <i>Link to Strategic Risk: SR0002</i>								
<p>Ensure commitment to the achievement of the council/WDSP target on carbon reduction across the district and provide leadership to obtain commitment from key organisations currently not involved in the partnership</p> <p>Make resources available to reduce the carbon footprint of the Council which will in turn impact on the efforts for reduction in the wider community (PCI/PROG/001)</p>	<p>Progress against all 3 indicators and delivery of climate change-related actions in the High Quality Environment action plan</p>	Develop Climate change Programme	31 Mar 2010	Yes		100 %	31 Mar 2010	<p>Reports CAB1917 (12 Nov 09) and CAB1966 (17 Mar 10) agree the Climate Change Programme. Many projects are now underway, but further work is required in key areas. A report on the Council's Energy and Emissions performance was presented to Cabinet 12 November 2009 (CAB 1920) which giving details of proposals to reduce the Council's energy usage.</p>
		NI185: Carbon Management	31 Mar 2010	Yes				
		NI:188 Climate Change Adaptation Planning	31 Mar 2010	Yes				
		County Liaison on Climate Change	31 Mar 2010	Yes				