

**CORPORATE GOVERNANCE CHECKLIST****Examples of Improvements made between April 2016 and March 2017**

<b>Improvements</b>	<b>Reference</b>	<b>Requirement</b>
	<b>Principle 1</b>	<b>Focusing on the purpose of the authority and on outcomes for the community and create and implementing a vision for the local area</b>
<ul style="list-style-type: none"> <li>• Council Plan format completely reviewed to show Council wide ambitions, high level outcomes and priorities for next 4 years (NI)</li> <li>•</li> </ul>	1.1.1	Develop and promote the authority's purpose and vision
<ul style="list-style-type: none"> <li>• Recommendations and considerations from corporate peer review carried out (RF)</li> </ul>	1.1.2	Review on a regular basis the authority's vision for the local area and its implications for the authority's governance arrangements
<ul style="list-style-type: none"> <li>• Review of performance management framework and development of corporate performance, data and intelligence support carried out (GF)</li> </ul>	1.2.1	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
<ul style="list-style-type: none"> <li>• Structure and functions of traded operations within the Council (SmartSolutions) reviewed (GF)</li> </ul>	1.3	Ensuring that the authority makes best use of resources and that taxpayers and service users receive excellent value for money
	<b>Principle 2</b>	<b>Members and officers working together to achieve a common purpose with clearly defined functions and roles</b>
<ul style="list-style-type: none"> <li>• Community Engagement guidelines and toolkit reviewed and revised (NI)</li> </ul>	2.3.4	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

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	<b>Principle 3</b>	<b>Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour</b>
<ul style="list-style-type: none"> <li>• Training for Members on Registration of Interests carried out (BK)</li> <li>• Standards refresher training Standards Committee Members carried out (BK)</li> <li>• Amalgamated Whistleblowing policy (including schools) established under the Public Interest Disclosure Act 1998 and regularly publicised and updated (MT )</li> <li>• New online training package for staff re paying due regard to equality, undertaking EIAs etc plus the way cumulative equality impact is considered has been reviewed and improved. (NI)</li> <li>• Behaviours Framework for staff in place (JB)</li> </ul>	3.1.2	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
	<b>Principle 4</b>	<b>Taking informed and transparent decisions which are subject to effective scrutiny and managing risk</b>
<ul style="list-style-type: none"> <li>• Ongoing assessment of risks to inform the decision making process (FS/GF)</li> <li>• Adequate governance is ensured around County Council owned companies – CPRs in place, register of interests for conflict situations (GF/BK)</li> </ul>	4.3.1	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 job

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	<b>Principle 5</b>	<b>Developing the capacity and capability of members and officers to be effective</b>
<ul style="list-style-type: none"> <li>Further Member seminars to inform on topical issues carried out (BK)</li> </ul>	5.2.1	Assess the skills required by Members, officers and managers and make a commitment to develop those skills to enable roles to be carried out effectively
	<b>Principle 6</b>	<b>Engaging with local people and other stakeholders to ensure robust public accountability</b>
<ul style="list-style-type: none"> <li>Arrangements for future delivery of library service formalised and arranged with Local Communities (Julie B)</li> </ul>	6.2.3	Establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users including a feedback mechanism for those consultees to demonstrate what has changed as a result.
<ul style="list-style-type: none"> <li>Most relevant Partners have signed up to an agreed multi agency data sharing protocol (MT)</li> </ul>	6.2.5	Ensure that the authority as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so.
<ul style="list-style-type: none"> <li>Staff survey outcomes implemented through Organisational Development programme (JB)</li> </ul>	6.3.1	Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making

## Examples of Improvements to be made between April 2017 and March 2018

Improvements	Reference	Requirement
	<b>Principle A</b>	<b>Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law</b>
<ul style="list-style-type: none"> <li>• Further review and implement an electronic Member Register of Interests (BK) Dec 2017</li> <li>• Review and implement an electronic Officer Register of Interests (BK) Dec 2018</li> <li>• Review and distribute a decision making guidance note (BK) Mar 2017</li> <li>• Develop and implement an Officers on line learning and training package on decision making (BK) Dec 2017</li> </ul>	A1.1	Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation.
<ul style="list-style-type: none"> <li>• Carry out induction training for Members following Elections (BK) May 2017</li> </ul>	A2.2	Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation
<ul style="list-style-type: none"> <li>• Carry out review of Code of Conduct for Planning (BK) Mar 2018</li> <li>• Review, revise and gain approval of the Procurement Strategy (GF) May 2017</li> </ul>	A2.3	Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values
	<b>Principle B</b>	<b>Ensuring openness and comprehensive stakeholder engagement</b>
<ul style="list-style-type: none"> <li>• Put in place a process for co-ordinating and responding to Subject Access Requests (MT) Sept 2017</li> </ul>	B1.1	Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness

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<ul style="list-style-type: none"> <li>Develop an on line training package for consultation law and good practice (NI) Sept 2017</li> </ul>	B1.4	Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/courses of action
<ul style="list-style-type: none"> <li>Create a shareholder group (GF/BK) ??</li> <li>Appoint Chief Financial Officers (GF) ??</li> <li>Carry out training for Directors of companies (BK) ??</li> </ul>	CFO (Principle 1) B.2.2	Review partnership arrangements to ensure that the authority always has access to financial advice in relations to its role in partnership.
<ul style="list-style-type: none"> <li>Carry out a light touch audit to review the completeness of compliance with data transparency regulations (NI/MT) March 2018</li> </ul>	B.3.2	Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement
	<b>Principle C</b>	<b>Defining outcomes in terms of sustainable economic, social, and environmental benefits</b>
<ul style="list-style-type: none"> <li>No key improvements scheduled.</li> </ul>		
	<b>Principle D</b>	<b>Determining the interventions necessary to optimise the achievement of the intended outcomes</b>
<ul style="list-style-type: none"> <li>Review and revise the corporate Performance Framework to ensure more consistency in strategy, performance, data and intelligence (<i>Strategic Support</i>) (GF/NI) July 2017</li> <li>Further develop service and team plans (NI) March 2018</li> <li>Create a dashboard with realtime service data to produce more effective reporting (NI) ??</li> </ul>	D1.1	Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided.
	<b>Principle E</b>	<b>Developing the entity's capacity, including the capability of its leadership and the individuals within it</b>
<ul style="list-style-type: none"> <li>Review training and development needs for Members (BK) 2017</li> </ul>	E.2.6	Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to

Improvements	Reference	Requirement
		constructive feedback from peer review and inspections
	<b>Principle F</b>	<b>Managing risks and performance through robust internal control and strong public financial management</b>
<ul style="list-style-type: none"> <li>Review and revise arrangements to ensure compliance with the GDPR (General Data Protection Regulation) (GF/NI) May 2018</li> </ul>	F4.1	Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data
<ul style="list-style-type: none"> <li>Continue to expand the number of Data Sharing Agreements and review suitable products for conversion to an on-line platform (MT) Dec 2017</li> </ul>	F.4.2	Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies
	<b>Principle G</b>	<b>Implementing good practices in transparency, reporting, and audit to deliver effective accountability</b>
<ul style="list-style-type: none"> <li>Carry out a review of effectiveness of the Audit Committee and develop and implement an Improvement Plan (GF/MT) ??</li> </ul>	CFO Principle 3 G.3.2a	Ensure an effective internal audit function is resourced and maintained (Audit Committee review own effectiveness resulting in Improvement Plan)
<ul style="list-style-type: none"> <li>Review of future reporting arrangements as part of the upgrade of financial systems (GF) monthly</li> </ul>	CFO Principle 2 G.2.1	Ensure the provision of clear, well presented, timely, complete and accurate information and reports to budget managers and senior officers on the budgetary and financial performance of the authority and that these cover the services provided through partnership and alternative delivery models

