



**West Lothian
Council**

LOCAL CODE OF CORPORATE GOVERNANCE (as approved by the Council Executive on 3 June 2008)

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WEST LOTHIAN COUNCIL
LOCAL CODE OF CORPORATE GOVERNANCE
FOREWORD BY THE CHIEF EXECUTIVE

Corporate governance has grown in importance over recent years for both the public and private sectors. The term first came into common usage in a company context as a result of the Cadbury Report on accountability and financial reporting in 1992. In that report, corporate governance meant the system by which organisations are directed and controlled. Subsequent issues, such as the “Enron affair” in the private sector and the developing concept of corporate responsibility for fatal accidents, has increased significantly the attention which is paid to the governance of corporate bodies.

For local government, the drive for better governance arrangements started from a CIPFA/SOLACE Working Party which produced a new governance framework for councils in 2001 and which was endorsed by the Scottish Executive, COSLA and the Accounts Commission. This framework recommended that all councils adopt a local Code of Corporate Governance.

The council's Code of Corporate Governance contained in this booklet is based on this framework which defines corporate governance as-

“the system by which local authorities direct and control their functions and relate to their communities”.

The Code sets down the fundamental principles of good governance, namely, openness and inclusivity, integrity, and accountability, and in order to apply those principles, the Code divides the council's business into five dimensions:-

- community focus
- service delivery arrangements
- structures and processes – both political and managerial
- risk management and internal control
- standards of conduct.

Each dimension has a number of specific requirements which have to be met for the council to show that it complies with the Code, and for each of those requirements a responsible officer in the council has been identified.

Compliance with the Code is monitored each year by the Working Group of officers on Corporate Governance chaired by the Chief Legal Officer who has been given responsibility for overseeing the implementation of the Code and co-ordinating and conducting an annual review. The results of this review are reported to the Council Executive each year in June, with recommendations for additions and improvements to the Code to reflect changes in the way in which the council does business or new legislation affecting the council's governance arrangements. The Working Group's assessment of compliance is reflected in the annual statement which the Leader of the Council and I are required to produce as part of the auditing of the council's annual accounts. In addition, each year the council's Internal Audit team conducts an independent audit of a different aspect of the council's compliance with the Code. As a result, the Code, while not being statutory in form, is enforced through the internal and external audit processes to the same effect.

But good governance is not merely an auditing requirement; it is crucial for effective public services and achieving the social outcomes which are the council's objective. As Sir Alan Langlands, the Chair of the Independent Commission on Good Governance in Public Services, states in his Commission's report of 11 January 2005:-

“Good governance leads to good management, good performance, good stewardship of public money, good public engagement and, ultimately, good outcomes”.

I concur with these views and cannot overstate the importance of good governance to the council. Proper systems and processes enable us to demonstrate to the community and to others that we are well organised and properly set up to provide the full range of services required by our customers.

Everyone within the council has an interest in seeing that the council has the highest possible standards of corporate governance and should be familiar with the requirements of this Code. The Code should also be of interest to the council's stakeholders who are entitled to expect the same high standards.

10 June 2008

Alex Linkston,
Chief Executive.

1. INTRODUCTION

The term corporate governance came into common usage in a company context following the Cadbury Report on accountability and financial reporting in 1992. Cadbury defined corporate governance as ‘the system by which organisations are directed and controlled’. Drawing on the work of Cadbury, the Nolan Committee, and the wider 21st century government agenda, a CIPFA / SOLACE working party produced a new corporate governance framework for councils. This framework defined corporate governance as ‘the system by which local authorities direct and control their functions and relate to their communities’. Although not mandatory the framework, which was published in May 2001, was endorsed by the Scottish Executive, the Convention of Scottish Local Authorities and the Accounts Commission.

2. FRAMEWORK FOR THE LOCAL CODE OF CORPORATE GOVERNANCE

Requirements of the Corporate Governance Framework

The framework called for all councils to:

- review existing corporate governance arrangements against the new framework
- prepare an up to date local code of corporate governance
- implement the local code and ensure its ongoing relevance
- make a statement annually in the published final accounts indicating how the authority is complying with the framework

To a significant extent West Lothian Council already conformed, in whole or in part, with the principles of good governance but this local code of corporate governance has been produced to formalise the situation in compliance with the requirements of the CIPFA / SOLACE framework.

Principles of Good Governance

West Lothian Council fully supports the fundamental principles of good corporate governance, namely, openness and inclusivity, integrity, and accountability. The above principles are defined as follows in the corporate governance framework:

- **Openness and inclusivity**

Openness is essential to ensure that all stakeholders have confidence in decision-making, management processes and individuals within the council. In addition openness involves an inclusive approach with all stakeholders having the opportunity to engage effectively with the decision making process of the council.

- **Integrity**

Integrity is based on honesty, selflessness and objectivity and involves high standards of propriety and probity in the stewardship of public funds and management of the council's affairs.

- **Accountability**

Accountability is the process by which the council, and the elected members and officers, are responsible for their actions and decisions.

Systems and Processes

West Lothian Council is committed to the integration of the above three principles of good governance with the conduct of the council's business. To further this objective, systems and processes within the council will be monitored and subject to regular review.

Leadership

The concept of leadership overarches the principles of good governance and is vital if the principles are to be adhered to. The council undertakes to exercise leadership through decision making and other actions that provide a vision and leadership for the local community and by elected members and officers conducting themselves in accordance with high standards of conduct.

Dimensions of Council Business

To achieve successful implementation it is important the principles of good governance are reflected in each dimension of the council's business. For the purposes of corporate governance the following five dimensions have been identified:

- Community Focus
- Service Delivery Arrangements

- Structures and Processes – both political and managerial
- Risk Management and Internal Control
- Standards of Conduct

3. ELEMENTS OF CORPORATE GOVERNANCE

To achieve and demonstrate adherence to the principles of good governance West Lothian Council undertakes to meet a number of specific requirements for each dimension of the council's business. The detail of each specific requirement, the criteria to be used to meet the requirement and the proposed means of demonstrating annual compliance are outlined in the table below. The table is divided into sections corresponding to each dimension of the council's business.

4. ANNUAL REVIEW AND REPORTING

The Chief Legal Officer of the council has been given specific responsibility for:

- overseeing the implementation and monitoring of the code
- co-ordinating and conducting an annual review.

The results of the review will be reported to the Council Executive no later than three months after the end of the financial year and any areas of non-compliance will be identified and commented on.

An annual statement on compliance with the local code will be signed by the Chief Executive and the Leader of the Council and will be included in the annual accounts.

In addition internal audit will independently review the adequacy, effectiveness and extent of compliance with the code.

5. CONCLUSION

This local code is part of the response by West Lothian Council to the CIPFA / SOLACE framework on corporate governance and will assist the council in continuing to achieve and demonstrate good governance.

Dated 10 June 2008

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Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available	
<u>COMMUNITY FOCUS</u>					
(a) Publish on a timely basis an annual report presenting an objective, understandable account of the authority's: - Activities and achievements - Financial position and performance - Improvement targets/requirements version 2	1	Factfile - annual public performance report and annual plan	Publication and circulation of Factfile to all homes and businesses by end of September each year - this sets out activities and achievements of previous year and the planned initiatives for the current year	Jim Mclvor	Factfile 2007 circulated to all homes and businesses, week beginning 10th September 2007 and available on WLOnline
	2	Annual accounts (financial position and performance)	Publication by 30 June of draft annual accounts that set out the financial position of the council and performance in key areas	Alan Logan	2006/07 Draft annual accounts reported to PP&R 12 June 2007. 2007/08 Draft annual accounts to be lodged with Chief Executive as Clerk to the council on 3 June 2008 and report to the Council Executive on 3 June 2008. Report on COINS.
	3	Annual accounts (financial position and performance)	Presentation of audited accounts following receipt of audit certificate and annual audit report	Alan Logan	Audited 2007/08 annual accounts will be submitted to the full council meeting in Autumn 2008. 2006/07 audited annual accounts presented to full council on 6 November 2007.
(b) Publish on a timely basis a performance plan presenting an objective, balanced and understandable account and assessment of the authority's current performance in service delivery and plans to maintain and improve service quality.	1	Factfile - annual public performance report and annual plan	Publication and circulation of factfile to all homes and businesses by the end of September each year. This sets out the targets and initiatives for the year ahead.	Jim Mclvor	Factfile 2007 circulated to all homes and businesses week beginning 10th September and available on WL Online.
(c) Put in place proper arrangements for the independent review of financial and operational reporting processes	1	Audit Committee to oversee the action plans derived from External Audit reports	Minutes of Audit Committee meetings	Graham Hope	Minutes available on COINS. Reports available in minutes held on file in Support Services and any initiatives arising held in the initiatives database.

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available	
<u>COMMUNITY FOCUS</u>					
(c) Put in place proper arrangements for the independent review of financial and operational reporting processes	2	Performance Committee to consider the performance of council services	Minutes of Performance Committee meetings	Graham Hope	Minutes of Performance Committee meetings held on COINS
	3	Independent reviews by Internal Audit	Production of annual Audit Plan by 31 March of preceding fiscal year	Kenneth Ribbons	Audit Plan for 2007/08 approved by Audit Committee on 27 March 2007. Available on COINS.
	4	Independent reviews by Internal Audit	Production of Statement of Compliance presented after the end of the previous year.	Kenneth Ribbons	Statement of compliance included in the Annual Report for 2006/07 presented to the Audit Committee in June 2007. 2007/08 report will be presented to the Audit Committee in June 2008.
	5	Independent reviews by Charter Mark and Investors in People (IIP)	Record of visits and reports by assessors and awards received	Pauline Adams	Record of awards received is updated every 6 months
	6	Independent reviews by Charter Mark and Investors in People (IIP)	Record of visits and reports by assessors and awards received	Heads of Service	Complete Head of Service checklist on compliance held by Jim McIvor (Mar 2008)

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>COMMUNITY FOCUS</u>				
(c) Put in place proper arrangements for the independent review of financial and operational reporting processes	7 Government Inspectorates - e.g. Housing, Social Work, Community Education, Schools and Benefits (Fraud)	Record of Government Inspectorates reports held by Jim Mclvor and updated every 12 months	Jim Mclvor	Record of inspections held by Jim Mclvor (updated Mar 2008)
	8 Processes assessed within West Lothian Assessment Model. The assessment is audited by Audit Scotland (BV Audit). Schools HGIOS assessment audited by HMIE and improvement plan reported to Standards Sub-committee	Assessment levels available for all services against WLAM criteria 5 - Service Processes. Improvement actions recorded in the Initiative System. Schools improvement actions reported to Standards Sub-committee and available on COINS	Sandra Aird	Assessment levels available from WLA Team, improvement actions available on Initiatives System and/or Service Improvement Plan. Performance information available on Covalent System. Schools improvement actions available on COINS
	9 Policy Development and Scrutiny Panels (PDSP) deliver and review policies.	Minutes of the PDSPs	PDSP Lead Officers	Minutes available on COINS
(d) Put in place proper arrangements designed to encourage individuals and groups from all sections of the community to engage with, contribute to and participate in the work of the authority and put in place appropriate monitoring processes to ensure that they continue to work in practice.	1 Community Planning forums and citizen consultation via the Citizens Panel, run on behalf of the West Lothian Partnership	Production of consultation programme for citizens and customers by 31 March of preceding fiscal year including a statement of compliance and rollover from the previous year's plan	Alistair Shaw	Current programme of consultation for citizens panel in place and operational Community engagement strategy developed in January 2005. Strategy published on the internet in May 2007.

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>COMMUNITY FOCUS</u>				
(d) Put in place proper arrangements designed to encourage individuals and groups from all sections of the community to engage with, contribute to and participate in the work of the authority and put in place appropriate monitoring processes to ensure that they continue to work in practice.	2 Citizen's Charter accreditation - includes customer consultation and involvement.	Maintenance of relevant accreditation	Sandra Aird	Council-wide Charter Mark attained in 2007. Schedule of Charter Mark assessment retained by Quality Development Team
	3 Hold meetings in public unless there are good reasons for confidentiality	Standing Orders for Regulating Meetings, SO24	Chief Executive	Minutes of meetings held on COINS
	4 Policy, Development and Scrutiny Panels set up to allow stakeholders and members of the public to participate in development of policy and to scrutinise implementation	Standing Orders for the Regulation of Meetings (SO50)	PDSP Lead Officers	Minutes of meetings held on COINS

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>COMMUNITY FOCUS</u>				
(e) Make an explicit commitment to openness, in all of the council's dealings, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so ,and by the council's actions and communications deliver an account against that commitment	1 Council statement of values incorporating a requirement for openness, integrity and fairness	Inclusion of statement of values in appropriate council publications such as Corporate Plan and Communications Strategy	Heads of Service	Publications such as Corporate Plan and Communications Strategy available on web site.
	2 Committee agendas and minutes	Publication within agreed timescales of a full set of agendas and minutes – verification by content management	Chief Executive	Available on COINS
	3 Level of compliance with FOI, including information required under the Code of Practice on the Discharge of FOI functions by Public Authorities	Annual review of compliance with FOI, including the monitoring information required under the Code of Practice on the Discharge of FOI functions by Public Authorities.	Gordon Blair	Annual reports to be made by June each year for the preceding financial year. Annual report made to CMT on 25 April 2007 and to Council on 1 May 2007. Annual report to be made to CMT in April 2008 and to be submitted to Council Executive on 3 June 2008.
(f) Establish clear channels of communication with all sections of the community and other stakeholders, and put in place proper monitoring arrangements to ensure that they operate effectively	1 Communications strategy, the West Lothian Way, in place	Review of communications strategy every administrative term with revisions as necessary and available on the Intranet.	Sandra Aird	Review completed 2005

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>COMMUNITY FOCUS</u>				
(f) Establish clear channels of communication with all sections of the community and other stakeholders, and put in place proper monitoring arrangements to ensure that they operate effectively	2 Identification by each service of stakeholders, and means of consultation and communication with each stakeholder	Implementation of the WLAM, sections on 'Service Planning', 'Partners and other Resources' and 'Customer Satisfaction'. BV Framework and WLAM approved by PP&R on 1-4-03 and 16-9-03 requires services to carry out customer consultation. Maintenance of Council-wide Charter Mark. Schools assessed through HGIOS and HMIE inspection but are also available for Charter Mark accreditation.	Sandra Aird	Charter mark accreditation ensures that service stakeholders communicate regularly and clearly with services. Schedule of Charter Mark assessment and WLAM scores retained by Quality Development Team
	3 Website	Monitoring on an annual basis of volume of contacts via the Website	Sandra Aird	System in place to capture contacts as part of the Customer Relationship Management system
	4 Communication routed via the call centre or CIS	Monitoring on an annual basis of volume of contacts via CSC / CIS	Sandra Aird	Information is monitored through monthly reports. CRM system monitors volume and nature of enquiries which are reported on the Performance management System
	5 Locality Planning process	Regular reports to Locality Planning Lead Officers Group and Community Planning Partnership Board	Alistair Shaw	

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>COMMUNITY FOCUS</u>				
(f) Establish clear channels of communication with all sections of the community and other stakeholders, and put in place proper monitoring arrangements to ensure that they operate effectively	6 Local Area Committees	Minutes of Local Area Committees	LAC Lead Officers	Minutes available on COINS
(g) Ensure that a vision for local communities, and strategic plans, priorities and targets are developed, clearly articulated and disseminated through robust mechanisms, involving consultation and participation of local communities and key stakeholders	1 Ten year Community Plan produced in conjunction with local partners in public services, the private sector, voluntary sector and communities. Inclusion of targets and challenges in the plan	Widespread circulation of Community Plan; Review of progress against the Community Plan targets every five years and regular reporting of review outcomes. Report annually on performance in Factfile.	Alistair Shaw	Plan reviewed mid term in 2005. Factfile 2007 available on council website. Next fact file due in 2008.
	2 Ten year Community Plan produced in conjunction with local partners in public services, the private sector, voluntary sector and communities. Inclusion of targets and challenges in the plan	Report annually in Factfile on performance against targets and challenges in the Community and Corporate Plans.	Jim McIvor	Circulated to all houses and businesses week beginning 10th September 2007.
	3 Commitment to openness in partnership working	Partnership and steering group minutes reported via the committee structure	Graham Hope	Available on COINS
	4 Review of progress of community planning	Board meeting reporting progress held annually	Alistair Shaw	Progress report available on the Internet

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>COMMUNITY FOCUS</u>				
(g) Ensure that a vision for local communities, and strategic plans, priorities and targets are developed, clearly articulated and disseminated through robust mechanisms, involving consultation and participation of local communities and key stakeholders	5 Maintenance of effective dialogue with those to whom we are accountable	List of bodies to whom we are accountable, with reporting arrangements, held by Jim Mclvor. This reflects objective 6.1 of the Good Governance Standard for Public Services	Heads of Service	Schedule held by Jim Mclvor (updated Mar 2008)

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>SERVICE DELIVERY ARRANGEMENTS</u>				
(a) Set standards and targets for performance in delivery of services on a sustainable basis and with reference to equality policies	1 Annual activity budgets setting out performance targets for the year ahead	Activity budgets prepared in conjunction with the annual revenue budget and made available in the members' lounge.	Jim Mclvor	Activity budgets for 2008/09 are held by Financial Management Unit
	2 The A to Z of public council services containing standards for all services	Maintenance and updating of A to Z of public council services reviewed annually by a designated officer	Heads of Service	Complete Head of Service checklist on compliance held by Jim Mclvor (updated Mar 2008)
	3 Corporate strategy on mainstreaming equality / service action plans on equality	Annual report on compliance with strategy and service action plans	Sandra Aird	Policies in place for Equality in Service Provision and Equal Opportunities in Employment. These policies protect from discrimination on race, disability, gender, sexual orientation, age, and religion and belief. Draft revised policy in preparation to amalgamate/update these policies. Race Equality Scheme in place (2005-08). Disability Equality Scheme approved by PP&R 14 December 2006. Gender Equality Scheme in place April 2007. A toolkit in place for assessing new HR policies for equality impact. Equality Impact Assessment programme in place
	4 Criteria assessed within West Lothian Assessment Model	Assessment levels available for all services. Improvement actions recorded in Initiatives Database and/or Service Improvement Plan. Schools assessed under HGIOS and inspected by HMIE. Service improvements reported to Standards Sub-committee and available on COINS	Heads of Service	Complete Head of Service checklist on compliance held by Jim Mclvor (updated mar 2008)

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>SERVICE DELIVERY ARRANGEMENTS</u>				
(a) Set standards and targets for performance in delivery of services on a sustainable basis and with reference to equality policies	5 Objectives of all proposed plans, programmes and strategies screened for compliance with the Environmental Assessment (Scotland) Act 2005	Annual return from Heads of Service showing level of compliance	Heads of Service	Complete Head of Service checklist on compliance held by Jim Mclvor (updated Mar 2008)
(b) Put in place sound systems for providing management information for performance measurement purposes	1 Regular reporting against action plans	Performance information available on Covalent System	Heads of Service	Complete Head of Service checklist on compliance held by Jim Mclvor (Mar 2008)
	2 Publication of Statutory performance indicators (SPI's) on an annual basis	SPI's reported to Committee and published by 30 September each year	Jim Mclvor	SPI report agreed by Performance Committee on 4th September 2007. Published by 30th September in all libraries and CIS offices and on the web
	3 Ability to produce SPI's included in system specifications	Systems that provide SPI's	Jim Mclvor	Collation Specifications available.
	4 Deal effectively with complaints, compliments and suggestions and act on them to improve the service	Enquiry Tracking System (ETS) records incoming complaints, comments, requests for service, etc., and tracks them until completed	Sandra Aird	Reports and analysis derived from ETS or Customer Relationship Management (CRM) system from 2008

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available	
<u>SERVICE DELIVERY ARRANGEMENTS</u>					
(b) Put in place sound systems for providing management information for performance measurement purposes	5	Service update reports to CMT	Monthly Service update reports to CMT	Heads of Service	CMT agendas and reports stored on "R" drive Action Notes of CMT
	1	Service plans	Record of monitoring of service plans	Heads of Service	Complete Head of Service checklist on compliance held by Jim Mclvor (updated Mar 2008)
(c) Monitor and report performance against agreed standards and targets and develop comprehensive and understandable performance plans	2	Factfile - annual public performance report and annual plan	'Publication and circulation of Factfile to all homes and businesses by end of September each year. This sets out the activities and achievements of the previous year and the planned initiatives for the current year'.	Jim Mclvor	Factfile 2007 circulated to all homes and businesses week beginning 10th September 2007 and available on WLOnline
	3	Monitoring of performance against targets by service management teams on the Covalent and Initiative Systems	Relevant documentation of service management team meetings	Heads of Service	Complete Head of Service checklist on compliance held by Jim Mclvor (updated Mar 2008)
	4	Audit Committee and Performance Committee	Minute of Audit Committee and of Performance Committee	Graham Hope	Minutes available on COINS

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>SERVICE DELIVERY ARRANGEMENTS</u>				
(c) Monitor and report performance against agreed standards and targets and develop comprehensive and understandable performance plans	5 The Performance Committee	Minutes of the Performance Committee	Graham Hope	Minutes available on COINS
	6 Produce an annual efficiency statement	Efficiency statement produced and reported to COSLA by 31 August	Alan Logan	Statement held by Alan Logan
	7 Value for Money audits	Internal Audit reports on Value for Money	Kenneth Ribbons	VFM Audit Reports held by Kenneth Ribbons. Summary available in Internal Audit Annual report
	8 Measures of efficiency and effectiveness	WLAM scores for Efficiency (9a) and effectiveness (9b)	Sandra Aird	WLAM scores held by the Quality Development Team

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available	
<u>SERVICE DELIVERY ARRANGEMENTS</u>					
(d) Put in place arrangements to allocate resources according to priorities	1	Three-year budgeting process that links priorities and resource allocation	Documentation showing budgets are allocated according to priorities	Alan Logan	Documentation held by Financial Management Unit. 2007/08 activity budgets linking activities and performance measures to resources have been prepared and issued to all services. 2008/09 activity budgets have also been prepared and are available on the intranet.
	2	Activity budgeting process	Resource allocation within Activity Plans aligns with budget allocation	Jim Mclvor	Activity Budgets held in Financial Management Unit
	3	A capital planning and budgeting process that complies with the provisions of the CIPFA Prudential Code for Capital Finance in Local Authorities.	Budget and monitoring reports to the Council and Council Executive that demonstrate compliance with the requirements of the Prudential Code and annual reporting to Local Area Committees on project performance.	Alan Logan	2007/08 capital plan approved by full council on 26 June 2007. Prudential indicators approved by Council on 8 February 2007. Reports are available on COINS.
	4	Evidence of achievement of Value for Money and Efficient Government assessed by WLAM	Assessment levels are available for all services. Reflects objective 1.3 of the Good Governance Standard for Public Services	Sandra Aird	WLAM scores available from Quality Development Team
(e) Foster relationships and partnerships with public sector agencies, and private and voluntary sectors that assist in securing Best Value	1	Council statement of values incorporating 'working in partnership'	Maintenance of schedule of partnerships / local outcome agreements	Heads of Service	Complete Head of Service checklist on compliance held by Jim Mclvor (updated Mar 2008)

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>SERVICE DELIVERY ARRANGEMENTS</u>				
(e) Foster relationships and partnerships with public sector agencies, and private and voluntary sectors that assist in securing Best Value	2 Council statement of values incorporating 'working in partnership'	Schedule of high level 'theme' plans and strategies, with appropriate review cycles	Jim Mclvor	High level theme plans and strategies available as publications on Internet website. Schedule of plans and strategies held by Jim Mclvor, updated March 2008
	3 Schedule of partnerships and outsourcing / local outcome agreements	Maintenance of schedule of partnerships / local outcome agreements	Heads of Service	Complete Head of Service checklist on compliance held by Jim Mclvor (updated Mar 2008)
	4 Organise effectively to plan for and meet, emergency situations in West Lothian or that will affect West Lothian	West Lothian Emergency Planning Group participates in area wide multi-agency working groups related to emergency planning	Colin Campbell	Emergency plans, minutes of group meetings
(f) Respond positively to the findings and recommendations of external auditors and statutory inspectors and put in place arrangements for the effective implementation of agreed actions	1 Implementation of agreed actions in audit reports	All agreed actions included on Initiative System	Heads of Service	Complete Head of Service checklist on compliance held by Jim Mclvor (updated Mar 2008) A protocol for the update of significant recommendations to the Initiative's database was issued by Jim Mclvor on 19/12/06 The Initiative System issues electronic update reminders to responsible officers

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available	
<u>SERVICE DELIVERY ARRANGEMENTS</u>					
(f) Respond positively to the findings and recommendations of external auditors and statutory inspectors and put in place arrangements for the effective implementation of agreed actions	2	Implementation of agreed actions	Report from the Initiative's database showing implementation of agreed action for significant recommendations from external audit reports.	Kenneth Ribbons	Each responsible officer is written to annually and asked for confirmation that the action has been undertaken. Actions not undertaken by due date are reported to the Audit Committee in March Each Year. A protocol for the update of significant recommendations to the Initiative's data base was issued by Jim McIvor on 19/12/06
	3	Audit action plans / inspectorate reports	Record of audit action plans / inspectorate reports held by each service. Implementation initiatives transferred to initiatives database. School initiatives on school Improvement Plan monitored by QS Officers and HMIE	Heads of Service	Complete Head of Service checklist on compliance held by Jim McIvor (updated Mar 2008)
	4	Audit Committee	Agendas / minutes of Audit Committee	Graham Hope	Available on COINS
(g) Respond positively to the findings of Internal Audit	1	Implementations of agreed actions	Annual Report to Audit Committee in June each year includes all critical items not implemented	Kenneth Ribbons	Follow up memoranda are sent to service areas. Database of Internal Audit recommendations is maintained by the Internal Audit manager

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>SERVICE DELIVERY ARRANGEMENTS</u>				
(h) Establish funding, monitoring and reporting arrangements for arms length organisations, supported by the council, that maintain control and accountability over public funds.	1 Compliance with the Code of Guidance on Funding External Bodies and Following the Public Pound issued by the Accounts Commission and COSLA	Committee reports on authorisation of funding to arms length organisations and monitoring and reporting arrangements relating to the financial position and performance of arms length organisations that meet the requirements of the Code.	Heads of Service	Committee reports will be available on COINS. Relevant documentation will be retained by Heads of Service. Complete Head of Service checklist on compliance held by Jim McIvor (updated Mar 2008)

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>STRUCTURES AND PROCESSES - Balance of Power and Authority</u>				
(a) Put in place clearly documented protocols governing relationships between members and officers	1 Protocol contained in national Code of Conduct for Councillors.	Review of operation of protocol as part of annual briefing session for Members on operation of Code.	Gordon Blair	Annual briefing session was held on 15 May 2007 as part of training of new members. Further training of members on operation of the Code given on 6 November 2007. These sessions included the member/officer interface. Annual review of operation of Code to be reported to CMT in April 2008 and to be reported to Council Executive on 3 June 2008. Complaints against councillors submitted to the Council are investigated by the appropriate officer appointed by Chief Executive e.g., (Monitoring Officer or Internal Audit Manager) on behalf of the Council.
	2 Code of Conduct for Employees	Review of code of Conduct for Employees every administrative term	Graham Hope	A code of conduct for employees was approved by the council in October 1999. The code was reviewed in March 2007 meeting the requirement to review the code each administrative term.
(b) Ensure the relative roles and responsibilities of members and senior officers are clearly defined	1 Political management structure is clear and effective	Review every administrative term and update as required	Chief Executive	Structure approved by Council on 26/06/2007

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>STRUCTURES AND PROCESSES - Balance of Power and Authority</u>				
(b) Ensure the relative roles and responsibilities of members and senior officers are clearly defined	2 Terms of reference for Committee administration	Review every administrative term and update as required	Chief Executive	Committee remits approved on 26/06/07 by Council
	3 Standing Orders contain clear scheme of Administration and Delegation to Committees and define role of Councillors in decision making process	Review every administrative term and update as required	Gordon Blair	Standing Orders regulating meetings reviewed and approved by PP&R Committee on 21 March 2006 and revised by Council on 26 June 2007, Scheme of Delegation to Officers and Standing Orders regulating contracts reviewed by PP&R Committee on 5 December 2006, and Financial Regulations on 6 February 2007. All updated in August 2007 to reflect new political management structure- available on COINS.
	4 Standard format for Committee agendas and reports that clearly sets out decisions required of members	Committee agendas comply with the standard format	Chief Executive and Directors	All agendas and reports available on COINS. Agendas structured in two sections - items for decision and items for information. Agenda setting meetings scrutinise reports, particularly recommended decisions, and required changes identified.
	5 Standard format for Committee agendas and reports that clearly sets out decisions required of members	Committee reports comply with the standard format	Heads of Service	All reports available on COINS (except private ones). Complete Head of Service checklist on compliance held by Jim McIvor (updated Mar 2008) Revised report template agreed by CMT on 30 April 2008.

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>STRUCTURES AND PROCESSES - Balance of Power and Authority</u>				
(b) Ensure the relative roles and responsibilities of members and senior officers are clearly defined	6 Council Minutes record decisions effectively	Full record of committee minutes	Chief Executive	All available on COINS
	7 Contract of employment / job outline for senior officers	Job outlines reviewed every administrative term and updated as required	Chief Executive and Directors	Job outlines for Directors and Heads of Service revised as part of the Council's Organisational Review approved in March 2002. Roles of Directors and Heads of Services now also reflected in Scheme of Delegation approved in May 2002. Job outlines for Directors were reviewed in April 2005 by the PP&R Committee in light of establishment of the West Lothian CHCP. Heads of Services' job outlines were reviewed by Directors in Summer 2005.
	8 Descriptions for Members Role	Job descriptions reviewed every administrative term and updated as required	Graham Hope	Role descriptions approved by full council on 26th June 2007. Minutes available on COINS.
(c) Ensure that members meet on a formal basis regularly to set the strategic direction of the authority and monitor service delivery	1 Schedule of main council and committee meetings	Record of council and committee meetings	Chief Executive	Available on COINS

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>STRUCTURES AND PROCESSES - Balance of Power and Authority</u>				
(c) Ensure that members meet on a formal basis regularly to set the strategic direction of the authority and monitor service delivery	2 Committee remits focusing on strategic decisions and performance monitoring	Agendas that separate items for executive decision and for information, continuous series of committee minutes	Chief Executive	Available on COINS. Agendas structured in two sections - items for decision and those for information. Covalent is available to Members and Performance Committee to review performance

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>STRUCTURES AND PROCESSES - Members</u>				
(d) Develop and maintain a scheme of delegated or reserved powers, which should include a formal schedule of those matters specifically reserved for the collective decision of the authority	1 Effective and clear scheme of delegation in place, including a formal section identifying matters reserved to Council, i.e. not delegated	Review every administrative term and update as required	Gordon Blair	Scheme of Administration containing matters reserved to full council approved by council on 26 June 2007.
(e) Put in place clearly documented and understood management processes for policy development, implementation and review and for decision making, monitoring and control, and reporting; and formal procedural and financial regulations to govern the conduct of an authority's business	1 Budgeting / service planning process	Documentation showing that the budgeting / service planning process was followed for setting the budget	Alan Logan	The Council has an integrated approach to financial and activity planning and performance monitoring. For each service, an activity budget links targets and resources, including budgets, to activities. Services also set appropriate performance measures for the activities within their service.
	2 Clear management processes to ensure compliance with Standing Orders, Scheme of Delegation Financial Regulations and Council policy	Review of Standing Orders and Financial Regulations every administrative term with update as required	Gordon Blair	Standing Orders regulating meetings reviewed and approved by PP&R Committee on 21 March 2006 and revised by Council on 26 June 2007, Scheme of Delegation to Officers and Standing Orders regulating contracts reviewed by PP&R Committee on 5 December 2006, and Financial Regulations on 6 February 2007. All updated in August 2007 to reflect new political management structure- available on COINS.
	3 Clear management processes to ensure compliance with Standing Orders, Scheme of Delegation Financial Regulations and Council policy	Review of Standing Orders and Financial Regulations every administrative term with update as required	Alan Logan	Financial regulations reviewed and approved by PP&R Committee on 6 February 2007 - available on COINS. Financial regulations updated 1 August 2007 to incorporate changes to council structure.

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>STRUCTURES AND PROCESSES - Members</u>				
(f) Put in place arrangements to ensure members are properly trained for their roles and have access to all relevant information, advice and resources as necessary to enable them to carry out their roles effectively	1 Members Induction Scheme in place	Induction scheme reviewed every administrative term. Induction training carried out for members.	Graham Hope	A councillors' ward based induction pack issued to members immediately after elections on 3 May 2007, and kept up to date and available electronically. Induction training held, starting on 8 May 2007, followed by Core Training and Ongoing Personal Development identified through individual training needs analysis. Details/evidence held by Faye Rudland.
	2 Training plan in place for elected members.	Annual review of individual training plans and record of training undertaken by elected members.	Graham Hope	A Learning Framework developed to help identify learning gaps. Training Plan available for May 2008 to April 2009 drawing from topics identified from services, individual discussions with members and results of electronic Training Needs Analysis (TNA). Record of training offered and attendance kept, and PDP's updated. Details/evidence held by Faye Rudland.
(g) Ensure that role of the committee conveners is formally defined in writing, to include responsibility for providing effective strategic leadership and for ensuring the authority successfully discharges its overall responsibilities for the activities of the organisation as a whole	1 Standing Orders	Review every administrative term and update as required	Gordon Blair	Standing Orders regulating meetings reviewed and approved by PP&R Committee on 21 March 2006, and revised by Council on 26 June 2007. Scheme of Delegation to Officers and Standing Orders regulating contracts reviewed by PP&R Committee on 5 December 2006, and Financial Regulations on 6 February 2007. All updated in August 2007 to reflect new political management structure - available on COINS.
	2 Statement of role and responsibilities	Review of role and responsibilities every administrative term and updated as required	Graham Hope	Revised role description statements approved by Council on 26 June 2007. Minutes available on COINS

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>STRUCTURES AND PROCESSES - Members</u>				
(h) Ensure that the roles and responsibilities of all Members of the authority, together with the terms of their remuneration and its review, are defined clearly in writing	1 Members' remuneration arrangements clearly set out	Arrangements approved by Council	Graham Hope	New national remuneration and expenses rules introduced following approval by full council on 10th May 2007. Guidance pack issued to each elected member outlining the scheme.
	2 Publication of remuneration and expenses	Published record of payments made.	Graham Hope	New national remuneration and expenses rules introduced following approval by full council on 10th May 2007. Available on the web site

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>STRUCTURES AND PROCESSES - Officers</u>				
(i) Ensure that the chief executive is made responsible to the authority for all aspects of operational management	1 Chief Executive appointed Head of Paid Service under s4 of the Local Government and Housing Act 1989	Appropriate provisions in Standing Orders	Gordon Blair	Contained in Standing Orders (Scheme of Delegation to Officers) available on COINS.
	2 Contract of Employment and Scheme of Delegation reflect responsibility under s4 of the Local Government and Housing Act 1989	Appropriate contract of employment in place	Graham Hope	Contract of employment reflects statutory role.
(j) Ensure that a senior officer is made responsible to the authority for ensuring that appropriate advice is given on financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal control	1 Head of Finance appointed as Proper Officer under S95 of the Local Government (Scotland) Act 1973	Appropriate provisions in Standing Orders	Gordon Blair	Contained in Standing Orders (Scheme of Delegation to Officers) available on COINS.
	2 Contract of Employment and Scheme of Delegation reflect S95 of the Local Government (Scotland) Act 1973	Appropriate contract of employment in place	Graham Hope	Contract of employment reflects statutory role
	3 Council wide financial and budget performance system in place which enables the Head of Finance to monitor and report regularly during financial year	Regular reports to committee on projected position and annual report on the draft accounts	Alan Logan	Quarterly reports to P.P. & R. Committee in 2007/08 - all revenue and capital reports presented Council Executive as required. Copies of reports on COINS and held within Financial Management Unit.

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible Officer	Documentation Available
<u>STRUCTURES AND PROCESSES - Officers</u>				
(j) Ensure that a senior officer is made responsible to the authority for ensuring that appropriate advice is given on financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal control	4 Annual accounts produced within deadline and certified without qualification	Publication by 30 June of draft annual accounts that set out the financial position and performance. Presentation of audited accounts following receipt of audit certificate and annual audit report	Alan Logan	2006/07 final accounts were reported to PP&R Committee on 12 June 2007. The audited accounts were presented to Council on 6 November 2007. 2007/08-draft final accounts will be presented to the Council Executive on 3 June 2008 with audited accounts being presented to the full Council in Autumn 2008.
(k) Ensure that a senior officer is made responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations and other relevant statements of good practice are complied with	1 Senior officer appointed as Monitoring Officer under S5 Local Government and Housing Act 1989	Appropriate provisions in Standing Orders	Chief Executive	Contained in Standing Orders (Scheme of Delegation).
	2 Contract of Employment and Scheme of Delegation reflect S5 Local Government and Housing Act 1989	Appropriate contract of employment in place	Graham Hope	Contract of employment reflects statutory role
	3 Breaches of the law or codes, cases of mal-administration	Annual review of the council's performance in relation to breaches of the law.	Gordon Blair	Statement for 2006/07 regarding any breaches of the law completed by Monitoring Officer and submitted to CMT on 25 April 2007, and referred to in annual report on corporate governance to Council on 1 May 2007. Statement for 2007/08 to be submitted to CMT on 30 April 2008.

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>STRUCTURES AND PROCESSES - Officers</u>				
(k) Ensure that a senior officer is made responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations and other relevant statements of good practice are complied with	4 Breaches of the law or codes, cases of mal-administration	Annual review of the council's performance in relation to cases of maladministration.	Chief Executive	Report to PP&R October 2006 re 2005/6. Internal records held by P Adams. New report to be developed for 7/8 on and appropriate committee agreed following changes in information provision procedures by Ombudsman.
(l) Ensure the roles and responsibilities of all senior officers, together with the terms of their remuneration and its review, are clearly defined in writing	1 Clear remits set out in Scheme of Delegation to officers	Review every administrative term and update as required	Gordon Blair	Scheme of Delegation to Officers reviewed and approved by PP&R Committee on 5 December 2006. Updated on 21 December 2006 and 1 August 2007. Available on COINS.
	2 Clear remits set out for sub-delegation by Directors and Heads of Service	Template for Scheme of Delegation to Officers is complete, agreed with Director and reviewed annually	Heads of Service	Head of Service Checklist held by Jim McIvor
	3 Clear remits set out for sub-delegation by Directors and Heads of Service	Scheme of Delegation to Officers has been communicated to staff, including those not delegated to take action	Heads of Service	Head of Service Checklist held by Jim McIvor

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>STRUCTURES AND PROCESSES - Officers</u>				
(I) Ensure the roles and responsibilities of all senior officers, together with the terms of their remuneration and its review, are clearly defined in writing	4 Clear policy decisions of Council setting levels of salary	Review every administrative term and update as required	Graham Hope	Contained in the report agreed by the P.P. & R. Committee 12th February 2002 in relation to Heads of Service. Other minuted decisions approved salary formula for Chief Executive and Directors. Role of Chief Officer in CHCP reported to PP&R committee on 8th February 2005
	5 Contract of employment / job descriptions	Review every administrative term and update as required	Graham Hope	All Directors and Heads of Service have new contracts of employment reflecting their current roles within the management structure, following the review of the management structure of the council, as agreed by PP&R Committee on 12th February 2002, the creation of a Chief Officer role for the CHCP as reported to PP&R committee on 8th February 2005 and the creation of an interim Head of Cultural Services as reported to PP&R committee on 21st March 2006. HoS statement of particulars reviewed in April 2008. Statement of particulars for directors and CE to be completed in 2008.
	6 Disclosure of senior officer emoluments	Relevant section in the annual accounts	Alan Logan	Will be contained in 2007/08 annual accounts. Has previously been included in all published annual accounts of the council.

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>RISK MANAGEMENT AND INTERNAL CONTROL</u>				
(a) Develop and maintain robust systems for identifying and evaluating all significant risks, which involve the pro-active participation of all those associated with planning and delivering services	1 Risk Management Policy	Policy reviewed at least once every administrative term	Alan Logan	Approved by PP&R, February 2007. Minor amendments to policy relating to structure changes reported to the Council Executive of 11 March 2008.
	2 Risk management strategy	Strategy reviewed annually	Alan Logan	Review undertaken and reported to the Council Executive 11 March 2008.
	3 Audit Committee	Record of committee agendas and minutes	Chief Executive	Available on COINS
	4 Financial regulations stipulate that the Head of Finance is responsible for developing and co-ordinating a risk management policy	Quarterly reviews by Risk Management Steering Group. Reports to CMT and Council Executive	Alan Logan	Reviews undertaken by Risk Management Steering group throughout 2007/08. Reports presented to the Partnership and Resources PDSP February 2008, CMT Feb 2008 and Council Executive on 11 March 2008.
	5 Service activity process	Approval of Service Activity Plans by Directors on an annual basis	Heads of Service	Head of Service checklist held by Jim McIvor

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>RISK MANAGEMENT AND INTERNAL CONTROL</u>				
(a) Develop and maintain robust systems for identifying and evaluating all significant risks, which involve the pro-active participation of all those associated with planning and delivering services	6 Internal audit plan	Production of Annual Audit Plan by 31 March of preceding fiscal year including a statement of compliance and rollover from the previous year's plan	Kenneth Ribbons	Plan for 2007/08 approved on 27 March 2007. Statement of compliance for 2006/07 presented to Audit Committee 26 June 2007. Statement of compliance for 2007/08 to be presented to Audit Committee in June 2008.
	7 Annual Statement of compliance and rollover from the previous years plan.	Statement of Compliance presented after the end of the previous year	Kenneth Ribbons	2006/07 Statement of Compliance to Audit Committee on 26 June 2007. 2007/08 statement will be submitted on 3 June 2008.
(b) Put in place effective risk management systems including systems of internal control and an internal audit function. These arrangements need to ensure compliance with all applicable statutes, regulations and relevant statements of best practice and need to ensure that public funds are properly safeguarded and are used economically, efficiently and effectively, and in accordance with the statutory and other authorities that govern their use	1 Annual audit plan based on a comprehensive assessment of risk.	Risk register to be used to inform the annual audit plan with effect from 2005/6	Kenneth Ribbons	Contained in internal audit plan for 2007/08 approved by Audit Committee on 27 March 2007 – available on COINS
	2 Corporate Risk Register	Annual audit, on a sample basis, of implementation of actions arising from the Register	Kenneth Ribbons	The audit plan for 2007/08 agreed by Audit Committee in March 2007. Copies of the Audits carried out on Asbestos, IT Services Miscellaneous Risks.

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>RISK MANAGEMENT AND INTERNAL CONTROL</u>				
(b) Put in place effective risk management systems including systems of internal control and an internal audit function. These arrangements need to ensure compliance with all applicable statutes, regulations and relevant statements of best practice and need to ensure that public funds are properly safeguarded and are used economically, efficiently and effectively, and in accordance with the statutory and other authorities that govern their use	3 Documented internal control framework	Contained in reports submitted to Full Council each year.	Chief Executive	Audited accounts for previous year submitted to full council on 06/11/2007 (report on COINS)
	4 Internal audit protocol	Review every administrative term and update as required	Kenneth Ribbons	Mission Statement approved by Audit Committee on 26th March 2002 subject to agreed changes which were incorporated into the revised statement on 26th June 2002. Report and minute in COINS. Revised statement approved by Audit Committee, 22nd June 2004
	5 Compliance with the Code of Practice for Internal Audit in Local Government in the United Kingdom Revised 2006 version.	Compliance with the new standard by 31 March 2005. The annual report will refer to the Code of Practice and continue to refer to quality standards and the ISO 9001 accreditation.	Kenneth Ribbons	Annual report to Audit committee on 26 June 2007.
	6 Implementation of System Procedures	Consultation with Internal Audit on changes to systems procedures, which involve significant risk to the council	Heads of Service	Heads of Service checklist held by Jim McIvor

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>RISK MANAGEMENT AND INTERNAL CONTROL</u>				
(b) Put in place effective risk management systems including systems of internal control and an internal audit function. These arrangements need to ensure compliance with all applicable statutes, regulations and relevant statements of best practice and need to ensure that public funds are properly safeguarded and are used economically, efficiently and effectively, and in accordance with the statutory and other authorities that govern their use	7 Scheme of delegation	Review every administrative term and update as required	Gordon Blair	Scheme of Delegation to Officers revised and approved by PP&R Committee on 5 December 2006. Updated on 21 December 2006 and 1 August 2007. Available on COINS.
	8 Register of Contracts	Register of Contracts maintained in compliance with Standing Orders - Purchasing Procedures	Heads of Service	Completed Heads of Service checklist on compliance held by Jim McIvor
	9 Compliance with EC Procurement Regulations for Construction contracts.	Annual statement of compliance to CMT	Jim Dickson	Standing orders on COINS. Notices published in OJEC. Annual statement of compliance submitted to CMT in April 2007, to be submitted April 08
	10 Compliance with EC Procurement Regulations for contracts for the supply of goods or services.	Annual statement of compliance to the CMT	Alan Logan	Standing orders on COINS, Notices posted to OJEC. Annual statement of compliance to be submitted to CMT in April 2008. 2006/07 annual statement submitted to CMT in April 2007.
	11 Financial regulations	Review every administrative term and update as required	Alan Logan	Revised Financial Regulations approved PP&R Committee on 6 February 2007. Regulations updated 1 August 2007 to reflect changes to the council structure.

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>RISK MANAGEMENT AND INTERNAL CONTROL</u>				
(b) Put in place effective risk management systems including systems of internal control and an internal audit function. These arrangements need to ensure compliance with all applicable statutes, regulations and relevant statements of best practice and need to ensure that public funds are properly safeguarded and are used economically, efficiently and effectively, and in accordance with the statutory and other authorities that govern their use	12 Anti Fraud and Corruption Policy in force	Review every administrative term. + New control Annual Statement of compliance for preceding fiscal year.	Alan Logan	Revised policy agreed by PP&R on 21 March 2006. Annual statement of compliance to be submitted to CMT in April 2008.
	13 Anti Fraud policy for Benefits Fraud and associated strategy in force	Review every administrative term. Annual statement of compliance for the preceding fiscal year.	Alan Logan	Policy agreed by PP&R on 5th December 2006. Annual Statement of Compliance submitted to CMT in April 2008 (2006/07 submitted to CMT in April 2007).
	14 Prosecution and Sanction Policy for Benefits Fraud in force	Review every administrative term. Annual statement of compliance for the preceding year.	Alan Logan	Policy agreed by PP&R on 5th December 2006. Annual Statement of Compliance to be submitted to CMT in April 2008 (2006/07 statement reported to CMT April 2007).
	15 Whistle blowing policy in place along with robust support procedures	Annual statement of compliance and review every administrative term	Graham Hope	Whistleblowing Policy and Procedure approved by P&R Committee on 21st June 2000. Policy and procedures on Intranet. Compliance statement submitted to CMT in April 08

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>RISK MANAGEMENT AND INTERNAL CONTROL</u>				
(b) Put in place effective risk management systems including systems of internal control and an internal audit function. These arrangements need to ensure compliance with all applicable statutes, regulations and relevant statements of best practice and need to ensure that public funds are properly safeguarded and are used economically, efficiently and effectively, and in accordance with the statutory and other authorities that govern their use	16 Health and Safety Policy	Annual statement of compliance and review every administrative term	Graham Hope	Policy revised December 2007. Compliance statement to CMT May 2008.
	17 Health and Safety Policy	Annual review of supplementary Health & Safety Policy and safety arrangements	Heads of Service	Head of Service checklist held by Jim McIvor
(c) Ensure that services are delivered by trained, experienced and appropriately qualified people	1 Job outlines and personal development plans	Retention of IIP Status	Graham Hope	Current certificate of IIP Status Recertification of IIP standard gained in 2004/05 and in 2007/8.
	2 Job outlines and personal development plans	Job descriptions, person specifications and personal development plans in place for all staff and reviewed as part of PRPDP process	Heads of Service	Interim self-assessments on rolling 5% of staff Complete Head of Service checklist on compliance held by Jim McIvor (updated Mar 2008)

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>RISK MANAGEMENT AND INTERNAL CONTROL</u>				
(c) Ensure that services are delivered by trained, experienced and appropriately qualified people	3 Learning and development plans.	Records of implementation of training plan	Graham Hope	"People Strategy" approved by Heads of Service in June 2004 and is in place, along with mentoring scheme, talent management strategy, and manager development programme in place.
	4 Recruitment procedures	Appropriate criteria used for recruitment.	Graham Hope	In autumn of 2007, recruitment processes reviewed by Vanguard resulting in changes to procedures to ensure vacancy management is effective and dissolution of the recruitment team. Enhanced recruitment standards put in place following the recommendations from the Care Commission audit of March 2008.
	5 Compliance with Protection of Children legislation in respect of employees and volunteers.	Pre-employment disclosure checks and risk assessment process in place. Annual statement of compliance.	Graham Hope	Enhanced recruitment standards put in place following the recommendations from the Care Commission audit of March 2008. Annual Statement of compliance submitted to CMT in April 08.
	6 Compliance with Protection of Children legislation in respect of members appointed to a childcare position	Pre-appointment disclosure checks and risk assessment process in place.	Chief Executive	Policy of disclosure agreed by WLC 28/06/05. Procedures delegated to Chief Executive and in place. Controls in Risk Register reference WLCW0059

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>RISK MANAGEMENT AND INTERNAL CONTROL</u>				
(d) Put in place effective arrangements for an objective review of risk management and internal control, including internal audit	1	Reports to Audit Committee or equivalent	Record of reports	Alan Logan On COINS
	2	Reports to Corporate Management Team or equivalent	Record of reports	Chief Executive Annual report to CMT reviewing risk management action taken and to be taken. Report to CMT February 2008
	3	External audit	External auditors reports	Heads of Service Internal Audit has copies Complete Head of Service checklist on compliance held by Jim McIvor (updated March 2008)
	4	Risk assessments	Risk Register held by Risk & insurance Unit and View copy held by Internal Audit Manager. Services manage own risks through web bases access.	Heads of Service Records of assessment held by Heads of Service and appropriate service managers. Risk register Data Base held by Risk & Insurance Unit. To be Web based 2005-6 Complete Head of Service checklist on compliance held by Jim McIvor (updated Mar 2008. Web based tool in place 2007.
(e) Maintain an objective and professional relationship with external auditors and statutory inspectors	1	Financial Statement Strategy and Audit Risk Analysis and Plan for previous year	Contents of the Financial Statement Strategy and Audit Risk Analysis and Plan for previous year	Alan Logan Audit planning letters for 2007/08 will be reported to the Audit Committee on 3 June 2008. Letters for 2006/07 reported on 26 June 2007.

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available	
<u>RISK MANAGEMENT AND INTERNAL CONTROL</u>					
(e) Maintain an objective and professional relationship with external auditors and statutory inspectors	2	Regular meetings between External and Internal Audit to co-ordinate work plans	Record of meetings	Kenneth Ribbons	Record of meetings held by Internal Audit Manager.
	3	Liaison between Finance Services and External Audit throughout the year, and particularly during the audit of the final accounts	Record of meetings	Alan Logan	Audit reports and record of meetings held in the Financial Management Unit
	4	Reports from Statutory Inspectors and External Auditors.	Record of inspection reports completed during year	Heads of Service	Action initiatives identified by the inspection reports are entered in the Initiatives System within 30 days of receipt. Complete Head of Service checklist on compliance held by Jim McIvor (updated Mar 2008)
(f) Publish on a timely basis, within the annual report, an objective, balanced and understandable assessment of the authority's risk management and internal control mechanisms and their effectiveness in practice	1	Annual report	Contained in the final accounts presented annually to the council.	Chief Executive	Statement contained in the final accounts presented to the Council in November 2007 - see reports on COINS

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>STANDARDS OF CONDUCT</u>				
(a) Develop and adopt formal codes of conduct defining the standards of personal behaviour, to which individual members, officers, and agents of the authority are required to subscribe and put in place appropriate systems and processes to ensure that they are complied with in practice	1 National Code of Conduct for Councillors in force	Annual briefing session for members and review of operation of the Code.	Gordon Blair	Annual briefing session for members held on 15 May 2007 as part of training of new members. Further training of members on operation of the Code given on 6 November 2007 covering recent Standards Commission decisions. Annual review of operation of the Code reported to CMT in April 2008 and to be reported to Council Executive on 3 June 2008. Complaints against Councillors submitted to the Council are investigated by appropriate Officer appointed by Chief Executive, eg (Monitoring Officer or Internal Audit Manager) on behalf of the Council.
	2 Guide to effective working relationships between Councillors and Officers in force	Contained in national Councillors' Code of Conduct	Chief Executive	Guide contained in national Councillors Code of Conduct introduced on 1st May 2003
	3 Code of Conduct for Employees in force	Registers kept by Heads of Service as required under code and reviewed quarterly.	Heads of Service	Complete Head of Service checklist on compliance held by Jim McIvor (updated Mar 2008)
	4 Code of Conduct for Employees in force	Audit every administrative term of registers kept by Directors or equivalent.	Kenneth Ribbons	Memorandum sent to the Chief Legal Officer on 26 March 2007. Memorandum sent to Heads of Service in April 2007. Copies of the audit reports are kept by the Internal Audit Manager.

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>STANDARDS OF CONDUCT</u>				
(a) Develop and adopt formal codes of conduct defining the standards of personal behaviour, to which individual members, officers, and agents of the authority are required to subscribe and put in place appropriate systems and processes to ensure that they are complied with in practice	5 Anti Fraud and Corruption Policy in force	Review every administrative term and annual statement of compliance	Alan Logan	Revised policy agreed by PP&R on 21 March 2006. Annual statement of compliance to be submitted to CMT in April 2008 and Executive in April 2008.
	6 Complaint procedure in place for members.	Review every administrative term	Chief Executive	Complaints made to the Council against members investigated by appropriate officer identified by Chief Executive, e.g. Monitoring Officer, or Internal Audit Manager.
	7 Discipline / Grievance Code in place for employees.	Review every administrative term and annual statement of compliance	Graham Hope	Both were reviewed and amended in March 2007 to reflect Protection of Children issues. Both were also amended to reflect the new Committee/Executive structure following the elections in 2007. Annual statement of compliance submitted to CMT in April 2008
	8 Complaints procedure in place in relation to agents of the council	Database maintained holding such complaints	Sandra Aird	Reports obtained from ETS Customer Relationship Management (CRM) system from 2008
(b) Put in place arrangements to ensure that members and employees are not influenced by prejudice, bias or conflicts of interest in dealing with stakeholders	1 Standing Orders in force dealing with those issues	Review every administrative term and update as required	Gordon Blair	Scheme of Delegation to Officers reviewed and approved by P.P.R Committee on 5 December 2006. Updated on 21 December 2006 and 1 August 2007. Available on COINS.

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>STANDARDS OF CONDUCT</u>				
(b) Put in place arrangements to ensure that members and employees are not influenced by prejudice, bias or conflicts of interest in dealing with stakeholders	2 Codes of Conduct for Councillors and Officers in force	Code of Conduct for Employees Review every administrative term and update as required.	Graham Hope	National Councillors Code of Conduct introduced with effect from 1st May 2003. Code of Conduct for Employees was reviewed and amended in March 2007 to reflect additional measures being taken for the Protection of Children and Other Vulnerable Groups..
	3 Financial Regulations in force dealing with those issues	Review every administrative term and update as required	Alan Logan	Financial Regulations reviewed and approved by PP&R Committee on 6 February 2007. Regulations updated in August 2007 to incorporate changes to council structure.
	4 Policies in force for Equality in Service Provision and Equal Opportunities in Employment.	Annual Review and update of Action Plan.	Sandra Aird	Policies in place for Equality in Service Provision and Equal Opportunities in Employment. These policies protect from discrimination on race, disability, gender, sexual orientation, age, and religion and belief. Draft revised policy in preparation to amalgamate/update these policies. Race Equality Scheme in place (2005-08). Disability Equality Scheme approved by PP&R 14 December 2006. Gender Equality Scheme in place April 2007. A toolkit in place for assessing new HR policies for equality impact. Equality Impact Assessment programme in place

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>STANDARDS OF CONDUCT</u>				
(b) Put in place arrangements to ensure that members and employees are not influenced by prejudice, bias or conflicts of interest in dealing with stakeholders	5 Register of Members Interests	Up-to-date Register available in hard copy and on the council's web site	Gordon Blair	Register in hard copy retained and up to date in Chief Executive's Office, and also web version available. 6 Monthly reminder sent to all Members on 1 November 2007.
	6 Register of Members Interests	Audit of the register once every administrative term	Kenneth Ribbons	Audit is currently in progress and draft report is to be prepared by 31 March 2008.
(c) Put in place arrangements to ensure procedures and operations are designed in accordance with appropriate ethical standards	1 Council statement of values	Review each administrative term	Chief Executive	Corporate plan for 2003/07 adopted by PP&R Committee on 10th September 2003, containing revised council values. Revised Corporate Plan for 2007/11 agreed by PP&R 12/06/07
	2 The standard format for committee reports addresses the Council Values	Committee reports comply with the standard format. Reflects objective 3.1 of the Good Governance Standard for Public Services	Heads of Service	Complete Head of Service checklist on compliance held by Jim McIvor (updated Mar 2008)
	3 Code of Conduct for Employees	Review every administrative term	Graham Hope	The Code was reviewed and amended in March 2007 to reflect additional measures being taken for the Protection of Children and Other Vulnerable Groups.

Requirement of Corporate Governance Framework	Criteria as evidence of meeting requirement	Demonstration of annual compliance	Responsible officer	Documentation Available
<u>STANDARDS OF CONDUCT</u>				
(d) Put in place arrangements for whistle blowing to which staff and all those contacting the council have access	1 Whistle blowing policy in place along with robust support procedures	Statement of compliance and review every administrative term	Graham Hope	Policy approved in 2000. Policy updated in September 2003. Procedure updated in September 2004. Annual Statement of Compliance to be submitted to CMT in April 2008.