

APPENDIX1

West Lancashire Borough Council



Local Code of Governance

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## **INTRODUCTION**

The contents of this Code have been developed by drawing on the CIPFA/Solace publication “Delivering Good Governance in Local Government Framework” and associated guidance, which set out “proper practice” for the publication of an Annual Governance Statement as required by Regulation 4 of the Accounts and Audit Regulations 2011.

The Council has in place arrangements to govern its activities with the aim of ensuring that it is doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner.

These are comprised of the systems, processes, priorities, cultures and values by which it is directed and controlled and through which it accounts to, engages with and, where appropriate, leads its communities.

The Council’s governance framework brings together underlying legislative requirements, governance principles and management processes that enable it to pursue its vision effectively, as well as underpinning that vision with mechanisms for control and management of risk.

The publication of this document is intended to make the Council’s governance processes more transparent and increase accountability to all of the Council’s stakeholders.

The CIPFA/SOLACE framework recommends that the Council tests its arrangements against the framework principles by:

- Developing and maintaining an up to date local code of governance
- Reviewing existing governance arrangements against it
- Preparing a governance statement in which they publicly report how they have monitored their governance arrangements in the year, the extent to which they comply with their own code and any planned changes to it.

This Local Code and governance arrangements will be reviewed annually and a Governance Statement will be published each year in conjunction with its financial reports.

## **THE CORE PRINCIPLES OF GOOD GOVERNANCE**

The CIPFA/SOLACE framework sets out how good governance can be recognised by adherence to six core principles with associated supporting principles.

The six core principles are set out below in bold together with the supporting principles which underpin them:

**1. Focusing on the purpose of the Council and on outcomes for the community and creating and implementing a vision for the local area.**

Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcomes for citizens and service users

Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning

Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money

**2. Members and officers working together to achieve a common purpose with clearly defined functions and roles.**

Ensuring effective Leadership throughout the Authority and being clear about executive and non-executive functions and the roles and responsibilities of the scrutiny function

Ensuring that a constructive working relationship exists between authority Members and Officers and that the responsibilities of authority Members and Officers are carried out to a high standard

Ensuring relationships between the authority and the public are clear so each knows what to expect of the other

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

Ensuring authority Members and Officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance

Ensuring that organisational values are put into practice and are effective

**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

Having good-quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs

Ensuring that an effective risk management system is in place

Using their legal powers to the full benefit of the citizens and communities in their area.

**5. Developing the capacity and capability of Members to be effective.**

Making sure that Members and Officers have the skills, knowledge, experience and resources they need to perform well in their roles

Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group

Encouraging best use of individuals' skills and resources in balancing continuity and renewal.

**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

Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning

Making best use of human resources by taking an active and planned approach to meet responsibility to staff.

## THE COUNCIL'S APPROACH TO THE APPLICATION OF THE SIX PRINCIPLES

### Implementing a Vision for the Area

The Council's longer term vision and priorities are reviewed annually to ensure that they remain relevant. A statement of the vision, values and priorities is made available publicly in a number of formats.

#### **CORPORATE PRIORITIES**

~~The Our Council's~~ vision is to be a Council ~~to be proud of – delivering services that are lean, local and fair~~ which is ambitious for West Lancashire.

#### **OUR VALUES**

~~We will deliver our vision by continuing to be an innovative organisation~~  
which:

- ~~• Prioritises customers and the services that are most important to quality of life~~ Enterprising – being innovative and creative, delivering lasting improvements;
- ~~• Work as 'one council' to provide a joined up approach~~ Inclusive – working in partnership to benefit West Lancashire and being open and involving in the way decisions are made;
- ~~• Is open and accountable in the way that it makes decisions~~ Equality – promoting equality and reducing inequality;
- ~~• Develops and values employees~~ One Council – adopting a co-ordinated approach; and
- ~~• Promotes equality and diversity; and~~ Caring – valuing and developing employees
- ~~• Works in partnership to benefit the Borough~~

#### **OUR PRIORITIES**

~~Our values underpin the way in which we will deliver our priorities and achieve our vision. Our corporate priorities are:~~

- ~~• Balancing the budget and providing the best possible services within the resources available~~ Ambitious for our economy  
...retain and grow jobs, increase skills levels and encourage business and wealth.  
  
-This means working with businesses and partners to provide land, premises and finance for businesses to match training opportunities to 'skills needs' and improve transport.;
- ~~• Focusing upon sustainable regeneration and growth within the Borough~~ Ambitious for our environment  
...enhance the built and physical environment and its' cleanliness.

This means working with communities and partners to protect and improve our environment, keep our streets clean and tidy and combat crime and the fear of crime;

- Caring for our Borough by delivering the small improvements that can make a big difference; Ambitious for health and wellbeing ...improve the health and wellbeing of local communities.

-This means working with the West Lancashire Health and Wellbeing Partnership and with partners to provide opportunities including for leisure and culture which contribute to healthier communities. We will work to deliver housing that meets the needs of local people, including affordable housing, and aim to be a top performing landlord.

- West Lancashire Borough Council is ambitious for our businesses, our places and our people. We are committed to important projects that will benefit the borough and everyone who lives and works here. Information about the key projects that will deliver our priorities can be found in the Council Plan

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(We will minimise uncertainty for staff and stakeholders by continuing to implement a managed approach to change and explore innovation as a means to secure further value for money)

Our services will continue to prioritise the following, subject to affordability

Protect and improve the environment and keep our streets clean and tidy;  
Combat crime and the fear of crime;

Work to create opportunities for and retain good quality jobs in particular for local people;

To be a top performing landlord

Improve housing and deliver housing that meets the needs of local people, including affordable housing; and

Provide opportunities for leisure and culture that together with other council services contribute to healthier communities

## **PERFORMANCE**

We manage our performance by using performance indicators to highlight any areas of concern at the earliest opportunity. We also manage performance against a number of Priority Delivery projects (those identified in the Business Council Plan as being the most important in terms of achieving the Council's priorities). We do this by monitoring progress against key milestones and targets.

The Council has an agreed suite of Corporate Performance Indicators aimed at meeting the Borough's needs and priorities. They are key to monitoring, and thereby managing, the Council's performance in achieving the aims of

| the [Business Council Plan](#). They are monitored annually and, where appropriate, quarterly by Members.

These are supplemented by other operational and management indicators/measures (the “local” PIs) which reflect our corporate priorities and are monitored regularly by Senior Management, Portfolio Holders and within the individual service areas.

| The ~~Council’s Business Plan 2011-15~~[Council Plan 2015-18](#) is supported by a Delivery Plan which details key projects, milestones and targets. This is monitored regularly by both Chief Officers and Members. Progress against the Delivery Plan, which also contains key overarching targets for the Council, will be reported yearly to Members, partners and the public through an Annual Report.

Indicators are managed and monitored within the Council’s performance management system, Covalent. Indicators are linked to Service Priorities, Key Projects and Service Action Plans, which are also managed through the Covalent system.

Internal and External Audit regularly examine performance indicators as part of their review work.

## **GOVERNANCE**

The Council has in place a Protocol which sets out how the essential elements of local governance, accountability and transparency will be maintained within any proposed arrangements for service delivery through partnerships.

A Medium Term Financial Forecast and Treasury Management Strategy and Policy are maintained which fully assess the potential financial risks facing the Council.

The Council follows and complies with CIPFA’s Code on a Prudential Framework for Local Authority Capital Finance and CIPFA’s Treasury Management Code.

Advice from Statutory Officers, along with Member input, plays a key part in the decision making process of the Council to ensure the effective use of resources and achievement of objectives.

The Council has in place a clearly defined complaints process which enables it to identify and learn from any failings in service delivery.

## **The Roles of Members and Officers**

The Council’s [Constitution](#) clearly sets out the respective roles and responsibilities of the Council, its Executive and Overview and Scrutiny

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functions, and delegations to Committees, Portfolio Holders and Chief Officers as well as those functions which by statute are to be exercised by a designated "Proper Officer". It also delineates the Council's Management Structure.

As part of the Constitution the Council has agreed a Protocol on Member/Officer Relations and Conventions for the Management of Council Business.

## Promoting High Standards of Conduct

As part of the Constitution the Council has adopted the Members' Code of Conduct and an Officer's Code of Conduct. The Council has a Standards Committee whose role is to promote and maintain high standards of conduct by councillors and co-opted members.

The Council's Human Resources team lead and monitor on Equality issues. An Equality Scheme Action Plan ~~2011-14~~ is in place to ensure the Council conforms with the Equality Act 2010 requirements. 'Approach to Equality' and 'Equality in Employment' documents are available to all staff and an Equality and Diversity Corporate Steering Group meets periodically to monitor compliance. ~~Arrangements have recently been reviewed and new objectives put in place for 2014 and beyond~~

### SERVICE STANDARDS

We have a number of core customer service standards which apply to all customers and staff. These corporate customer care standards provide a clear commitment of our desire to attain an effective and consistent customer service making our services easier to understand and access; they include responses to letters and emails, telephone calls, complaints, visits to our offices, visits to customer's homes and out of hours emergencies; they cover targets and the attitude and behaviour of staff and customers.

We are committed to improving, front-line services for residents and visitors to the Borough. To underline this we also have a set of service standards for each key front-line service, available on the Council's [Website](#), which are linked to our priorities.

## Informed, Transparent Decision Making

The Council publishes Key Decision Forward Plans which set out those executive decisions it knows it will be considering in advance for the information of interested stakeholders. In addition, appropriate notice of meetings of Council bodies is given together with the publication of the agenda and all available reports.

It has arrangements in place to ensure that conflicts of interest for members and officers are explicitly identified and dealt with before decisions are taken.

Guidance for report authors sets out matters which must be explicitly considered in the production of any report, including financial, resource and equality implications. These provide documentary evidence of the rationale behind any recommendations.

All decisions of the Council, Cabinet and Committees are formally minuted. Information about the Council's Committees including membership, meeting timetables, Agendas and Minutes can be accessed through the Council's [Committee Information System](#).

The Council has adopted a formal Risk Management Strategy and process which is fully embedded throughout the Authority and forms an integral part of the management process. A dedicated resource is committed to this area of work to ensure consistency and compliance throughout the Authority. Cabinet receives reports against the Key Risk Register which are available for call-in through the Overview and Scrutiny process.

Guidance on effective internal financial controls are detailed within the Council's [Financial Regulations](#).

The Council has in place a Data Quality Protocol to ensure the accuracy, relevance and reliability of data produced for use by internal and external stakeholders.

## Developing Capacity to act Effectively

The ~~Managing Director (People and Places)~~ [Chief Executive](#) takes a leading role in developing Members of the Council through the Member Development Commission. ~~The Managing Director (Transformation) and~~, through the HR service, develops Officers ~~through by means of~~ the Development Appraisal Scheme which enables them to continue delivering high quality services.

Audit and Governance Committee Members receive training, in both financial and non financial matters, to support them in their role.

## Engaging with Local People and Stakeholders

West Lancashire Borough Council is committed to consulting local people and we are keen to gather your views. The Council has a consultation diary in the ["Your Views"](#) section of its website. This provides information on recent, current and future consultation activities as well as information on how you can get involved.

~~The "Duty to involve", is a statutory requirement for all Councils aimed at ensuring people have greater opportunities to have their say. The Council~~

~~has devised an Action Plan for Corporate Consultation in response to the requirements of the Duty.~~