

Delivering Good Governance in Local Government – 2019/20

The new [Delivering Good Governance in Local Government: Framework](#) (CIPFA/Solace, 2016) applies to annual governance statements prepared for the financial year 2016/17 onwards.

The concept underpinning the Framework is that it is helping local government in taking responsibility for developing and shaping an informed approach to governance, aimed at achieving the highest standards in a measured and proportionate way. The Framework is intended to assist authorities individually in reviewing and accounting for their own unique approach. The overall aim is to ensure that:

- resources are directed in accordance with agreed policy and according to priorities
- there is sound and inclusive decision making
- there is clear accountability for the use of those resources in order to achieve desired outcomes for service users and communities.

North Ayrshire Council's compliance with the framework is noted below.

A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law	
Behaving with integrity	<ul style="list-style-type: none">• Media Protocol is in place• New Elected Members are provided with a full Induction programme which includes all aspects of Conduct. These sessions are provided as and when required.
Demonstrating strong commitment to ethical values	<ul style="list-style-type: none">• All Elected Members have access to CPD discussions and the opportunity to participate in self/360 assessment to review and support their ongoing development. In addition to this, a series of development events are provided to further support Elected Members Development. A calendar of events on a variety of topics are arranged and promoted to Elected Members, in addition to this, online guides and e-learning is available.• All Chief Officers, including the Chief Executive, participate in an annual Performance and Personal Development discussion to review performance.• All employees throughout the Council participate in Performance & Personal Development (PPD) or Professional Review & Development (PRD) which provides the opportunity to discuss the focus of work, how this will be done (behaviours linked to our Staff Values) and what development is required to support this. This is an annual discussion which can be supported throughout the year by 121/supervision discussions and a mid-year review as required.

	<ul style="list-style-type: none"> • The Council invests in leadership and management development by hosting a Leadership Academy. This provides aspiring, first, middle and strategic leaders, including Chief Officers and Elected Members with a variety of development interventions which enhance, re-fresh and develop their skills, knowledge and behaviour. • There is a Code of Conduct for employees. • The <u>Code of Conduct</u> for Councillors sets out the minimum standards of conduct that are expected from Councillors and provides advice and guidance on registerable interests and on the declaration of interests. The Code also sets out the sanctions that can be applied by the Standards Commission where a breach of the Code occurs. • The 2000 Act, and the Code of Conduct for Councillors, set out the categories of interests, financial or otherwise, that Councillors of Scottish Local Authorities must register. This register is available for inspection by members of the public. In compliance with the Act and relevant Regulations, the 33 Elected Members of North Ayrshire Council have registered interests with the Proper Officer of the Council. The Register of Interests and notifications of Declarations of Interest are available for inspection. Reports to Executive Leadership Team and Audit and Scrutiny Committee on Elected Member Training. • Register of Interests - Declaration of Interests is standard item on agendas. • There is a Whistle Blowing policy in place for Employees. • Our Staff Values of Focus, Passion, and Inspiration were designed by our People for our People. They are now fully embedded in everything we do each day and they are continually 'kept alive' by ensuring they are visible to our staff via PC desktops, posters/wall displays, lanyards etc. In addition to this they are embedded in our recruitment process and throughout our development interventions (such as courses and PPD discussions). Ensuring these are visible and embedded brings them to life to ensure these are at the heart of everything we do. • The People Strategy, Our People Connect, was designed by our People for our People. This outlines priorities that will engage and support the transformation of the Council to be a leaner, more efficient and high performing organisation where people can develop and thrive.
Respecting the rule of law	<ul style="list-style-type: none"> • Strategic decision-making is governed by the Council's key constitutional documents (Standing Orders Scheme of Administration and Scheme of Delegation to Officers) These documents were revised and approved by Council on 17 May 2017 and are subject to annual review. The Council considered review proposals at its meeting on 26 June 2018 and the next review is due to take place on 27 June 2019. • The Council's Cabinet is the key strategic decision-making committee, comprising the Leader of the Council, the Depute Leader and five Members of the Administration. • The roles and responsibilities of the Council's Audit and Scrutiny and Appeals Committee are set out in the approved Scheme of Administration

	<ul style="list-style-type: none"> • The Scheme of Delegation to officers (to be read alongside Standing Orders, Financial Regulations and Scheme of Administration) was revised and approved by the Council at its meeting on 17 May 2017 • Executive Director (Finance and Corporate Support) appointed as the Section '95 Officer' on 17 May 2017 and is responsible to the authority for these requirements. • Monitoring Officer appointed 17 May 2017 • All Constitutional documentation is in place • Revised Remuneration Policy Guidance in place • Counter Fraud Strategy agreed • Data Protection Officer appointed in 2014 and the role has been reviewed to ensure compliance with the General Data Protection Regulation (2018) and the Data Protection Act (2018) legislation
B. Ensuring openness and comprehensive stakeholder engagement	
Openness	<ul style="list-style-type: none"> • The Council Plan 2019/24 was approved at a special meeting of North Ayrshire Council on the 18 March 2015. The Council Plan is currently being reviewed and a new Plan will be approved during 2019/20. • Council Plan Performance Indicators have been identified to ensure that progress on the Council Plan can be monitored. Work is ongoing to ensure we have the most robust set of indicators to measure progress of our priorities. Progress on the Council Plan is also monitored through the Operational Plans. • The Council 's Annual Performance Report is published on North Ayrshire Performs on the Council's website • Financial information including annual accounts is published on North Ayrshire Performs on the Council's website • Annual Governance Statement published on the website • The current Performance Management Strategy was approved by Cabinet on the 20 April 2015. A revised framework is currently being developed and will be published on the website.

	<ul style="list-style-type: none"> • Presumption that all committee business is open to public except where required by law to be in private • The Community Planning website is designed to share information about the work of the Community Planning Partnership, especially Locality Partnerships. • The Council has a separate comments scheme and complaints scheme. • There are two 6 monthly reports submitted to Committee. Quarterly reports are produced on Pentana and are fed back to Services to enable improvement plans to be put in place. The Council has a dedicated Complaints and Feedback Manager who will liaise with Senior Managers, Elected Members and MSPs • All inspection reports are reviewed by Cabinet • Links to My Local Council website are published which provide the public with Local Government Benchmarking Framework performance information and comparisons to other Local Authorities. • The Council's Publication Scheme and guidance on submitting Freedom of Information and Environmental Information requests are available on the Council's website. • Guidance on submitting Subject Access Requests is available on the Council's website. • Open Data is published on the Council's Open Data Portal
<p>Engaging comprehensively with institutional stakeholders</p>	<ul style="list-style-type: none"> • The Council is committed to engaging in a meaningful way with its communities so that it can understand and respond effectively to local needs and it is committed to the principles of the National Standards on Community Engagement. • The CPP works closely with the Consultation Institute. Accredited training on best practice in community engagement and consultation has been given to a range of partner staff. This led to North Ayrshire being the first council in Scotland to be awarded The Consultation Institute's Quality Accreditation of Best Practice for the Locality Partnership Consultation. • The Council is committed to engaging in a meaningful way with its communities so that it can understand and respond effectively to local needs and it is committed to the principles of the National Standards on Community Engagement. • The Council is committed to supporting the establishment and work of Community Councils and their role in Locality Partnerships. • The CPP website contains a consultation calendar which brings all partner consultations together in a searchable format, and gives feedback on consultations.

	<ul style="list-style-type: none"> • A Stakeholder management framework is in place. • The Community Engagement Reference Group of the CPP has been refocused and will ensure partners meet the revised National Standards for Community Engagement. • The North Ayrshire Health and Social Care Partnership Integration Joint Board (IJB) is the governing body of the North Ayrshire Health and Social Care Partnership. It is delegated responsibilities by North Ayrshire Council and NHS Ayrshire & Arran.
<p>Engaging with individual citizens and service users effectively</p>	<ul style="list-style-type: none"> • It also uses the CPP's People's Panel to obtain the public's views on a range of issues. The People's Panel is a sample of 1000 people living in more deprived areas and 1000 residents' outwith these areas. This survey is carried out regularly to obtain views on the CPP's three key priorities, as well as surveys on particular issues, e.g. the impact of the economic recession. • A range of CPP staff are qualified in Consultation Institute accredited training. • The Council routinely engages with its customers on its services. This is also done through a range of groups such as Parents Councils, Tenants Associations, Ayrshire Ethnic Minority Community Association, and the Access Panel. • The establishment of Locality Partnerships has made Community Planning more accessible to local people. • Increased use of social media through Locality Facebook pages and partner use of Community Planning hashtag supports communication with a wider audience. • Participatory Budgeting is an approach to deepening engagement with residents which delivers real influence for individuals and communities and the Council has made significant commitment and investment in this work. In addition to Participatory Budgeting across each of our six localities we are piloting a PB approach to mainstream budgets, with communities influencing grounds maintenance services. • The North Ayrshire Community and Locality Planning Model extends and deepens engagement with individuals and participation by communities by using the following process: co-defining the issues; co-producing the responses; and co-delivering the solutions. • Application of the Place Standard allows individuals and communities to express how it feels to live in local communities and to shape the development of community and spatial planning in their area. • Use of charrettes encourages participation in local issues and involvement in identifying opportunities for local action. • Monthly customer satisfaction surveys are carried out by customer services relating to a specific service each month. A report is then produced showing the satisfaction levels and comments which are then used to form an improvement action plan.

C. Defining outcomes in terms of sustainable economic, social, and environmental benefits

<p>Defining outcomes</p>	<ul style="list-style-type: none"> • The Council’s mission and vision links strongly to the North Ayrshire Community Planning Partnership’s (CPP’s) shared vision of ‘North Ayrshire – A Better Life’. The Council Plan 2019/24 • The Council’s mission and vision in its Council Plan are: <ul style="list-style-type: none"> ○ Mission: ‘Working together to improve well-being, prosperity and equity in North Ayrshire’ ○ Vision: ‘A North Ayrshire that is ‘Fair For All’ • The Council Plan is currently being reviewed and a new Plan will be approved during 2019/20. • LOIP Progress Reports • Council Plan/Performance Management Framework six monthly reports • Use of Pentana online performance management system • Directorate Plans 2015/18 – 2018 Update • Corporate risks loaded onto Pentana • Directorate Plan risks loaded onto Pentana • Directorate Performance Reports contain benchmarks and trend information on PIs • Role of the Audit and Scrutiny Committee and Executive Leadership Team/ Extended Leadership Team • Directorate Performance Reports to Executive Leadership Team Meetings/ Cabinet/ Audit and Scrutiny Committee six monthly
<p>Sustainable economic, social and environmental benefits</p>	<ul style="list-style-type: none"> • Policy on Demonstrating Continuous Improvement and Competitiveness (Nov 2009). • Environmental Sustainability & Climate Change Strategy in place • Local Biodiversity Action Plan in place • ‘Sustainability Board’ comprising senior management representatives from each Council Directorate • Annual Climate Change Reporting Duty submitted to Scottish Government

	<ul style="list-style-type: none"> • Council Plan performance indicator in relation to carbon emissions and amount of energy generated from low carbon sources • The Council has a balanced range of cost based indicators which are reported on an annual basis through the Public Performance Report. In addition, the Council is committed to using the Local Government Benchmarking Framework (LGBF) Performance Indicators. • The Fair For All Strategy has been developed, with clear pledges agreed by Community Planning partners across themes of food, environment, children, health and economic growth. There is a focus on addressing child poverty. • The Economic Growth Service of North Ayrshire Council complies with the Scottish Regulators Strategic Code Of Practice. The integrated regulatory functions within the service (Building Standards, Environmental Health and Trading Standards) can demonstrate an effective contribution towards the Council's approach to sustainable economic growth as well as maintaining and promoting a prosperous, fair and safe society.
<p>D. Determining the interventions necessary to optimise the achievement of the intended outcomes</p>	
<p>Determining interventions</p>	<ul style="list-style-type: none"> • The information submitted to Committees is discussed in detail at Pre-Agenda meetings (except in the case of regulatory committees, where a pre-Agenda meeting would not be appropriate) held one week prior to the formal meetings and any additional information sought to allow a fully informed decision to be taken is established at that time. • Each report should indicate the justification for each action proposed, and consultations undertaken in its development, together with feedback from consultees. Reports also contain separate sections on a range of implications (financial, socio-economic duty, human resources, legal, equality, children & young people, sustainability, Council's key priorities and Community Benefit. Guidance for Report Authors provides information on the completion of these elements within these required fields in a committee report.
<p>Planning interventions</p>	<ul style="list-style-type: none"> • Council Plan/Directorate Plan/Performance Management Framework six monthly reports • Use of Pentana online performance management system • Directorate Plans 2015/18 – 2016 Update • Corporate risks loaded onto Pentana • Directorate Plan risks loaded onto Pentana • Directorate Performance Reports contain benchmarks and trend information on PIs • Risk Management Strategy

	<ul style="list-style-type: none"> • CPP Risk Register • Long Term Financial Outlook • Workforce Planning • Medium Term Financial Plan • Capital Investment Programme • Capital Investment Strategy • Asset Management Plans
Optimising achievement of intended outcomes	<ul style="list-style-type: none"> • Regular reporting of financial performance to Cabinet • Production of annual accounts • Local Financial Returns
E. Developing the entity's capacity, including the capability of its leadership and the individuals within it	
Developing the entity's capacity	<ul style="list-style-type: none"> • The Leadership Academy provides skills, knowledge and behavioural development for leaders at all levels. Managers, regardless of grade can, if committed to their continuous learning and supported by their Manager, progress through the levels of the Leadership Academy from First to Strategic. This provides an opportunity to build leadership capacity and grow our own talent.
Developing the capability of the entity's leadership and other individuals	<ul style="list-style-type: none"> • Each employee has a Role Profile which provides information on the expectations of the job. This supports the development of skills, knowledge and behaviours of our employees. • Scheme of Delegation • All employees throughout the Council participate in Performance & Personal Development (PPD) or Professional Review & Development (PRD) which provides the opportunity to discuss the focus of work, how this will be done (behaviours) and what development is required to support this. This is an annual discussion which can be supported throughout the year by 121/supervision discussions and a mid-year review as required.

	<ul style="list-style-type: none"> • Elected Members are invited to participate in an annual PDP discussion and in addition to this have an opportunity to participate in self/360 assessment. This allows identification of development activity to support their role and in addition to this provides feedback on their individual performance utilising the 360 tool. • CPP Organisational Development Plan contains leadership development. • New Elected Members are provided with a full Induction programme which includes all aspects of Conduct. • A series of development events are provided to further support Elected Members Development. A calendar of events on a variety of topics are arranged and promoted to Elected Members, in addition to this, online guides and e-learning is available.
F. Managing risks and performance through robust internal control and strong public financial management	
Managing risk	<ul style="list-style-type: none"> • Risk Management Strategy approved by Cabinet. • Strategic Risk Register refreshed annually and approved by Cabinet. • Corporate Risk Management Group, with senior representation from all Directorates, meets quarterly to review risks and is developing a risk management action plan to further embed risk management across the Council. • CPP Risk Register (revised in 2017 to tie in with Local Outcomes Improvement Plan).
Managing performance	<ul style="list-style-type: none"> • Performance Reports to Council's Cabinet and Audit and Scrutiny Committee
Robust internal control	<ul style="list-style-type: none"> • The Council has a framework of Internal Controls embedded within services, underpinned by Financial Regulations and Codes of Financial Practice which are approved by Council • Internal Audit follows an approved plan of work to review controls across the Council on a cyclical basis • All audit findings are reported to the Council's Audit and Scrutiny Committee • The Council has a Corporate Fraud Team which investigates all allegations of fraud and error against the Council • An annual report and assurance statement is provided by the Chief Auditor to the Audit and Scrutiny Committee
Managing data	<ul style="list-style-type: none"> • Strong Public Financial Management

	<ul style="list-style-type: none"> • The Council's Records Management Plan (RMP) was approved by the Keeper of the Records of Scotland in 2015 and a successful interim assessment conducted in 2018, with the outcome report published on the Council website. • The Council maintains an Information Asset Register (IAR).
G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability	
Implementing good practice in transparency	<ul style="list-style-type: none"> • Website • Committee Reports • Presumption that all committee business is open to public except where required by law to be in private • Open datasets
Implementing good practices in reporting	<ul style="list-style-type: none"> • Annual Governance Statement Check guidance • Annual Performance Report • CPP Annual Performance Report • Annual Accounts demonstrates best practice according to external auditors
Assurance and effective accountability	<ul style="list-style-type: none"> • Annual Governance Statement is approved by the Audit and Scrutiny Committee prior to inclusion within the annual accounts • Any recommendations by External Audit are reported to the Audit and Scrutiny Committee and progress with implementation is monitored by Internal Audit and also report to the Committee on a bi-annual basis. • Internal Audit work is reported to the Audit and Scrutiny Committee on a quarterly basis • The Council's Internal Audit Team has completed an External Quality Assessment in February 2017 which demonstrates compliance with the Public Sector Internal Audit Standards. • The Chief Auditor has rights of access to the Chief Executive and the Chair of Audit and Scrutiny in relation to any audit matter. • The Data Protection Officer has rights of access to the Chief Executive and the highest management in relation to any personal/sensitive data protection matters.