

LOCAL CODE OF CORPORATE GOVERNANCE

Corporate Governance and the Responsibilities of North Wiltshire District Council

Local authorities have to satisfy a complex range of political, economic, environmental and social objectives, which subject them to a wide variety of external constraints and influences. **Corporate Governance** comprises the systems and processes that local authorities have in place to manage both their internal affairs and their relationships with stakeholders. Stakeholders include the local electorate, local businesses, service users, other public bodies, resource providers, employees, voluntary organisations and the wider community.

The concept and principles of good corporate governance are directly linked to local democratic renewal, as this relies on the credibility of, and public confidence in, elected councillors. Good corporate governance underpins credibility and confidence.

In undertaking all its work, and in exercising its community leadership responsibilities, North Wiltshire District Council must have regard to the three principles of good corporate governance:

- **Openness and Inclusivity:**
Openness is required to ensure that stakeholders can have confidence in the decision-making and management processes of local authorities, and in the approach of the individuals within them. Being open through genuine consultation with stakeholders and providing access to full, accurate and clear information should lead to effective and timely action and lend itself to necessary scrutiny. Openness also requires an **inclusive** approach, which seeks to ensure that all stakeholders and potential stakeholders have the opportunity to engage effectively with the decision-making processes and actions of local authorities. It requires an outward focus and a commitment to partnership working. It calls for innovative approaches to consultation and to service provision.
- **Integrity:**
Integrity comprises both straightforward dealing and completeness. It is based upon honesty, selflessness and objectivity, and high standards of propriety and probity in the stewardship of public funds and management of an authority's affairs. It is dependent on the effectiveness of the control framework and on the personal standards and professionalism of the members and staff within the authority. It should be reflected in the authority's decision-making procedures, in its service delivery and in the quality of its financial and performance reporting.
- **Accountability:**
Accountability is the process whereby local authorities, and the members and staff within them, are responsible for their decisions and actions, including their stewardship of public funds and all aspects of performance, and submit themselves to appropriate external scrutiny. It is achieved by all parties having a clear understanding of those responsibilities, and having clearly defined roles through a robust structure.

Effective leadership is acknowledged as an over-arching principle to Corporate Governance and the other principles can only be achieved if effective leadership is demonstrated by North Wiltshire District Council through:

- Providing vision for its community and leading by example in its decision-making and other processes and actions.
- Members and officers conducting themselves in accordance with high standards of conduct

Local Code of Corporate Governance

This Local Code of Corporate Governance shows how the principles that underpin good governance (**openness and inclusivity; integrity; and accountability**, underpinned by **effective leadership**) are reflected in the Council's business and highlights where compliance with good governance is demonstrated.

This Local Code of Corporate Governance addresses governance from five dimensions:

1. Community Focus
2. Service Delivery Arrangements
3. Structure and Processes
4. Risk Management and Internal Control
5. Standards of Conduct

For each of the five dimensions a Corporate Governance Plan is set out in tabular form, indicating:

- What requirements need to be met to ensure good corporate governance is achieved;
- Where existing good practice is demonstrated (in systems, processes and documents);
- A view of the current compliance level (based on a 'traffic light' system where green is the highest level of compliance);
- Who is responsible for monitoring and reviewing progress with compliance; and
- Any actions that need to be addressed to ensure compliance.

Implementation of the Corporate Governance Plan and links to the Council's Corporate Plan

All actions identified within the Local Code of Corporate Governance will be clearly set out within the appropriate Service Plan, with any corporate, high level actions being shown within the Corporate Plan.

Progress made in achieving actions within the Corporate Governance Plan will be monitored as part of the service planning process, the monthly performance reports and in the Annual Statement on Internal Control.

The Council is undergoing a senior management restructure in 2007/08. New postholders - where responsibility will change – are shown in brackets after existing responsible postholders.

June 2007.

1. COMMUNITY FOCUS

Through carrying out our general and specific duties and responsibilities and our ability to exert wider influence through working in partnership with other organisations, North Wiltshire District Council will:

- Work for and with our communities, encouraging community involvement and engagement with the work of the Council;
- Exercise leadership in our local communities where appropriate
- Promote the well-being of the District, where appropriate, through:
 - Taking clear **accountability** to stakeholders and customers for our performance and **effectiveness** in the delivery of services and the sustainable use of resources
 - Demonstrating **integrity** in building effective relationships and partnerships with other public sector organisations and the private and voluntary/community sectors
 - Demonstrating **openness** and **inclusivity** by communicating and engaging all sections of our communities, to encourage active participation
 - Developing and articulating a clear long term **vision** and corporate plan, setting out priorities in response to community needs.

SIC Key Elements abbreviations used in tables, linking to Statement of Internal Control 2006/07:

O = Objectives; P&D = Policy and Decision Making; C = Compliance; R = Effective use of Resources; FM = Financial Management

| SIC Key element | | Requirement | Systems/ Processes/ Documentation demonstrating compliance | Current compliance level | Responsibility for monitoring and review | Evidence of compliance and outstanding actions |
|-----------------|----|---|---|--------------------------|---|--|
| O FM R | a. | Publish on a timely basis an annual report presenting an objective understandable account of the authority's activities and achievements and its financial position and performance | <ul style="list-style-type: none"> • Annual Statement of Accounts • Statement on Internal Control (linked to 2006/07 Statement of Accounts and to be reviewed and published annually) • Medium Term Financial Plan – reports to Executive • Best Value Performance Plan • Council Tax Leaflet (includes summary of Best Value information) • Corporate Plan (published through Committee agenda – on website) | Green | <ul style="list-style-type: none"> • CMB • s.151 Officer • Leader of the Council | <ul style="list-style-type: none"> • Corporate Plan 2007/10 approved by Council in February 2007, alongside the budget. To be published alongside the Best Value Performance Plan in June 2007. • Continue to publish Annual Statement on Internal Control summarising how requirements in Local Code of Governance have been met. Statement on Internal Control to be approved by Final Accounts & Audit Committee on 28 June 2007. |

June 2007.

| SIC Key element | | Requirement | Systems/ Processes/ Documentation demonstrating compliance | Current compliance level | Responsibility for monitoring and review | Evidence of compliance and outstanding actions |
|-----------------|----|--|---|--------------------------|--|---|
| R O | b. | Publish on a timely basis a performance plan presenting an objective, balanced and understandable account of the authority's current performance in service delivery and its plans to maintain and improve service quality | <ul style="list-style-type: none"> • Best Value Performance Plan • Council Tax Leaflet (includes summary of Best Value information) • Corporate Plan | Green | <ul style="list-style-type: none"> • CMB • Policy and Democratic Services Team Leader (Head of Policy and Performance) | <ul style="list-style-type: none"> • Best Value Performance Plan to be completed by 30 June each year • Corporate Business Plan 2007/10 was approved by Council in February 2007, alongside the budget. To be published alongside the Best Value Performance Plan in June 2007. |
| C R FM | c. | Put in place proper arrangements for the independent review of financial and operational reporting processes | <ul style="list-style-type: none"> • Audit Commission Annual Audit and Inspection Letter (and other audit and inspection reports) • Public consultation on budget setting • Overview and Scrutiny function and reports • Final Accounts and Audit Committee function and reports • Internal Audit Annual Report and other reports • Best Value Performance Plan • Performance Management Framework (monthly reports to CMB and quarterly reports to Executive and Overview and Scrutiny) | Amber | <ul style="list-style-type: none"> • CMB • Final Accounts & Audit Committee • Audit Commission | <ul style="list-style-type: none"> • Continue to embed Performance Management across the Council. • Number of members on Final Accounts & Audit Committee increased to 7 from May 2007. |

| SIC Key element | | Requirement | Systems/ Processes/ Documentation demonstrating compliance | Current compliance level | Responsibility for monitoring and review | Evidence of compliance and outstanding actions |
|-----------------|----|---|--|--------------------------|--|--|
| O | 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. | <ul style="list-style-type: none"> • Local Strategic Partnership • Young People's Council • Community Area Plans and Partnerships • Area Committees • People's Voice Panel and surveys • Tomorrow's Voice surveys • Budget consultation • Councillors' local community leadership role • Communication and Consultation Strategy • SLA with Wiltshire Racial Equality Council • Public meetings • Statement of Community Involvement | Green | <ul style="list-style-type: none"> • CMB • Lead Members • s.151 Officer | <ul style="list-style-type: none"> • Community Strategy approved in November 2005. • Communications Group in place to deliver improved Communication and Consultation. • Statement of Community Involvement published as part of Local Development Framework. • Young People's Council meets at least 3 times a year. • Wiltshire-wide member development programme to take place in 2007/08, focusing on community leadership and increasing community engagement. |

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|-----------------|----|--|---|--------------------------|---|---|
| P&D | e. | Make an explicit commitment to openness in all 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. | <ul style="list-style-type: none"> • Council Constitution and Financial Regulations • Compliance with Data Protection Act • Freedom of Information Act - Publication Scheme • Executive question time at Council meetings • Public forums for questions at all Executive, Council and Committee meetings • Code of Conduct for Councillors and associated training • Officer Code of Conduct • Training of Town/Parish Councillors on Code of Conduct | Green | <ul style="list-style-type: none"> • CMB • Monitoring Officer • s.151 Officer • nominated Data Protection Officer | <ul style="list-style-type: none"> • Co-ordination and policy guidance for Freedom of Information Act in place from January 2005. • Member induction training in May 2007 included session on Code of Conduct. • Training of Town/Parish Councillors on revised Code of Conduct to take place in Autumn 2007, linked to Area Committees. |

| SIC Key element | | Requirement | Systems/ Processes/ Documentation demonstrating compliance | Current compliance level | Responsibility for monitoring and review | Evidence of compliance and outstanding actions |
|-----------------|----|---|--|--------------------------|---|--|
| P&D R | f. | Establish clear channels of communication with all sections of the community and other stakeholders and customers, and put in place proper monitoring arrangements to ensure that they operate effectively. | <ul style="list-style-type: none"> Website: www.northwilts.gov.uk Best Value Performance Plan Council Tax Leaflet Improving North Wiltshire newsletter Press releases and media briefings Comments and Complaints system E-Government work to improve access to information and services Publication Scheme (on website) Local Strategic Partnership Investors in People Accreditation held for 3 years from November 2006 Communication and Consultation Strategy | Green | <ul style="list-style-type: none"> CMB Policy and Democratic Services Team Leader (Head of Policy & Performance) ICE (Improving the Customer Experience) officer working group | <ul style="list-style-type: none"> Communications Group in place to deliver improved Communication and Consultation. Investors in People re-accredited in November 2006. Website rated as Transactional (top 25% in country) and continues to meet Worldwide Web AA accessibility and 'See it Right' standards. Further work to be undertaken to improve communication with hard to reach groups as part of equality and diversity work. Customer Focus Inspection review commended the Council on progress made since June 2005. |
| O | g. | Ensure that a vision for local communities and strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders and customers, and that they are clearly articulated and disseminated | <ul style="list-style-type: none"> Local Strategic Partnership Communication and Consultation Strategy Community Planning Improving North Wiltshire newsletter People's Voice surveys Corporate Plan Best Value Performance Plan | Green | <ul style="list-style-type: none"> CMB Lead Members | <ul style="list-style-type: none"> 5 Community Area Plans in place. Community Strategy approved in November 2005. Council vision reviewed as part of work to completely revise Corporate Plan. Corporate Plan 2007/10 approved by Council in February 2007, alongside the budget. |

2. SERVICE DELIVERY ARRANGEMENTS

North Wiltshire District Council will ensure that continuous improvement is sought, agreed policies are implemented and decisions carried out by maintaining arrangements which:

- Discharge our **accountability** for service delivery at a local level
- Ensure **effectiveness** through setting targets and measuring performance
- Demonstrate **integrity** in dealings with service users and developing partnerships to ensure the “right” provisions of services locally
- Demonstrate **openness** and **inclusivity** through consulting with key stakeholders, including service users
- Are flexible so that they can be kept **up-to-date** and be adapted to accommodate change and meet user wishes

| SIC Key element | | Requirement | Systems/ Processes/ Documentation demonstrating compliance | Current compliance level | Responsibility for monitoring and review | Evidence of compliance and outstanding actions |
|-----------------|----|--|---|--------------------------|---|---|
| O P&D | a. | Set standards and targets for performance in the delivery of services on a sustainable basis and with reference to equality policies | <ul style="list-style-type: none"> • Best Value Performance Plan • Corporate Plan • Service Plans • Audit Commission Annual Audit and Inspection Letter • Diversity training for members and staff • Equality Impact Assessments on website • Equality and Diversity Policy plus specific statements on race equality, disability equality and gender equality in place. | Amber | <ul style="list-style-type: none"> • CMB • Lead Members • Team Leaders (Heads of Service) • Overview and Scrutiny | <ul style="list-style-type: none"> • Level 2 of the Equality Standard achieved by March 2007. • Equality and Diversity Policy and statements? • Customer charter for Customer Contact Team gained in 2006 and renewed in 2007. • Corporate Service Standards to be introduced in 2007/08. |

| SIC Key element | | Requirement | Systems/ Processes/ Documentation demonstrating compliance | Current compliance level | Responsibility for monitoring and review | Evidence of compliance and outstanding actions |
|-----------------|----|--|---|--------------------------|--|---|
| P&D | b. | Put in place sound systems for providing management information for performance management purposes | <ul style="list-style-type: none"> • Performance Indicator database • Performance Management Framework • Monthly Performance Management reports to CMB • Quarterly monitoring of Corporate Plan by Overview and Scrutiny and Executive • Monthly budget monitors – revenue and capital | Amber | <ul style="list-style-type: none"> • CMB • Team Leaders (Heads of Service) • Overview & Scrutiny Committee • Policy and Democratic Services Team Leader (Head of Policy & Performance) | <ul style="list-style-type: none"> • Key PIs agreed with CMB and linked to Corporate Plan – to be reviewed in line with new Corporate Plan 2007/10. • Regular monitoring reports on PIs and budget taken to Executive and Overview & Scrutiny Committee. • Performance measures need to be developed to monitor impact of service investment, to demonstrate value for money. • Covalent (Performance Management System) being introduced in 2007/08. |
| O R | c. | Monitor and report performance against agreed standards and targets and develop comprehensive and understandable performance plans | <ul style="list-style-type: none"> • Best Value Performance Plan • Corporate Plan • Service Plans • Performance Management Framework • Monthly Performance Reports to CMB • Overview and Scrutiny work • Performance Indicator database | Green | <ul style="list-style-type: none"> • CMB • Overview & Scrutiny Committee • Policy and Democratic Services Team Leader (Head of Policy & Performance) | <ul style="list-style-type: none"> • Continue to embed Performance Management across the Council. • New Performance Management System (Covalent) being introduced from April 2007. |

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|-----------------|----|---|--|--------------------------|---|---|
| R P&D | d. | Put in place flexible and responsive arrangements to allocate resources according to priorities | <ul style="list-style-type: none"> • Priorities set out in Corporate Plan • Medium Term Financial Plan • Service Plans • Compliance with legislation • Budget consultation • Virement arrangements and financial regulations | Green | <ul style="list-style-type: none"> • CMB • s.151 Officer • Lead Members • Leader of the Council | <ul style="list-style-type: none"> • Policy & Budget Framework approved by Council in April 2006. • Corporate Plan 2007/10 approved by Council in February 2007, alongside the budget. • Three year Revenue budget linking priorities to Medium Term Financial Plan produced as part of budget process for 2007/08. • Medium Term Planning process being introduced in 2007/08 to strengthen links between budget and strategic planning and improving value for money. |

| SIC Key element | | Requirement | Systems/ Processes/ Documentation demonstrating compliance | Current compliance level | Responsibility for monitoring and review | Evidence of compliance and outstanding actions |
|-----------------|----|---|---|--------------------------|--|--|
| O | e. | Foster effective relationships and partnerships with other public sector agencies and the private and voluntary sectors, and consider outsourcing where it is efficient and effective to do so, in delivering services to meet the needs of the local community, and put in place processes to ensure that they operate effectively in practice | <ul style="list-style-type: none"> • LSP (North Wiltshire Partnership) • Community Planning • Participation on Wiltshire Strategic Board and Wiltshire Local Area Agreement • Crime and Disorder Prevention Strategy • Young People's Council • Housing stock transferred to Westlea Housing Association • Compact with Voluntary sector in place • Area Committees • Policy on devolution of services to Town/Parish Councils • Procurement Strategy | Amber | <ul style="list-style-type: none"> • CMB • Lead Members • Leader of the Council • LSP partners • Community Safety Partnership | <ul style="list-style-type: none"> • 5 Community Area Plans in place. • Community Strategy approved in November 2005. • Council's role and contribution to key partnerships reviewed with Audit Commission in 2005/06. • Partnership reviews taking place (Review of Wiltshire Wildlife Trust and Citizens Advice Bureau completed). • Wiltshire-wide proposals for improving governance of - and between - partnerships being addressed. |
| C | 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 | <ul style="list-style-type: none"> • Audit Commission Annual Audit and Inspection Letter (and other audit and inspection reports) • CPA report and Improvement Plan • Final Accounts and Audit Committee • Corporate Plan | Green | <ul style="list-style-type: none"> • CMB • Final Accounts & Audit Committee | <ul style="list-style-type: none"> • CPA Improvement Plan actions linked to Corporate Plan. • All finalised external audit reports and associated action plans are taken to Final Accounts and Audit Committee. • Number of members on Final Accounts & Audit Committee increased to 7 from May 2007. |

3. STRUCTURES AND PROCESSES

North Wiltshire District Council recognises the need to establish effective political and managerial structures and processes to govern decision-making and the exercise of authority within the organisation. North Wiltshire District Council will maintain arrangements to:

- Define the roles and responsibilities of members and officers to ensure **accountability**, clarity and ordering of the authority's business
- Ensure that there is proper scrutiny and review of all aspects of **performance** and **effectiveness**
- Demonstrate **integrity** by ensuring a proper balance of power and authority
- Document clearly such structures and processes to ensure that they are communicated and understood to demonstrate **openness** and **inclusivity**
- Ensure such structures and processes are kept **up-to-date** and adapted to accommodate change

| SIC Key element | | Requirement | Systems/ Processes/ Documentation demonstrating compliance | Current compliance level | Responsibility for monitoring and review | Evidence of compliance and outstanding actions |
|-----------------|----|---|--|--------------------------|---|--|
| P&D | a. | Put in place clearly documented protocols governing relationships between members and officers | <ul style="list-style-type: none"> • Officer Code of Conduct • Member Code of Conduct | Green | <ul style="list-style-type: none"> • CMB | <ul style="list-style-type: none"> • Protocol on Member/Officer Relationships approved by Council in June 2006 and included in Constitution • Development Control Protocol agreed and included in Constitution. |
| P&D | b. | Ensure that the relative roles and responsibilities of Executive and other members, members generally and senior officers are clearly defined | <ul style="list-style-type: none"> • Council Constitution • Clear records of Council, Executive and Committee decisions | Amber | <ul style="list-style-type: none"> • Monitoring Officer | <ul style="list-style-type: none"> • Review as necessary. • Roles and responsibilities defined within Constitution revised during 2006. Wider Constitution review to take place in 2007/08. |
| P&D | c. | Ensure that members meet on a formal basis regularly to set the strategic direction of the authority and to monitor service delivery | <ul style="list-style-type: none"> • Agreed calendar of meetings: • Council Constitution • Executive Workplan • Overview and Scrutiny Committee Workplan | Green | <ul style="list-style-type: none"> • Monitoring Officer • CMB | <ul style="list-style-type: none"> • Revised Policy and Budget Framework approved by Council on 25 April 2006. • Cross-party Budget and Strategic Planning Working Group engaged in budget and medium term planning. |

| SIC Key element | | Requirement | Systems/ Processes/ Documentation demonstrating compliance | Current compliance level | Responsibility for monitoring and review | Evidence of compliance and outstanding actions |
|-----------------|----|---|--|--------------------------|--|--|
| P&D | 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 | <ul style="list-style-type: none"> Council Constitution sets out allocation of powers and those reserved to full Council | Amber | <ul style="list-style-type: none"> Monitoring Officer | <ul style="list-style-type: none"> Scheme of delegation being reviewed in 2006. Wider Constitution review to take place in 2007/08. |
| P&D | 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 the Authority's business | <ul style="list-style-type: none"> Council Constitution Executive Workplan (updated monthly) Financial Regulations Overview and Scrutiny reports Members' induction and training programme Communication and Consultation Strategy | Green | <ul style="list-style-type: none"> Monitoring Officer s.151 Officer CMB All members | <ul style="list-style-type: none"> Review as necessary. Revisions to financial regulations approved by Council in January 2006. Policy and Budget Framework agreed by Council in April 2006. Wider Constitution review to take place in 2007/08. |
| R P&D | f. | Put in place arrangements to ensure that members are properly trained for their roles and have access to all relevant information, advice and resource as necessary to enable them to carry out their roles effectively | <ul style="list-style-type: none"> Members' Induction Programme Members' Training Members' Training Co-ordinators' Group All members supplied with computers – all on email and all able to access intranet. | Amber | <ul style="list-style-type: none"> CMB Monitoring Officer Policy and Democratic Services Team Leader (Head of HR) | <ul style="list-style-type: none"> Member Development Charter agreed in February 2006. 31 new members following May 2007 elections. Full training and development programme in place. Wiltshire-wide member development programme, focusing on community leadership and core skills taking place in 2007/08. |

| SIC Key element | | Requirement | Systems/ Processes/ Documentation demonstrating compliance | Current compliance level | Responsibility for monitoring and review | Evidence of compliance and outstanding actions |
|-----------------|----|--|---|--------------------------|--|--|
| O P&D | g. | Ensure that the role of the Executive members is formally defined in writing, to include responsibility for providing effective strategic leadership to the Authority and for ensuring that the Authority successfully discharges its overall responsibilities for the activities of the organisation as a whole | <ul style="list-style-type: none"> • Council Constitution • Corporate Plan – priorities linked to Executive member portfolios. • Overview and Scrutiny Committee work • Member job descriptions | Amber | <ul style="list-style-type: none"> • Policy and Democratic Services Team Leader (Head of Governance) • Monitoring Officer • CMB | <ul style="list-style-type: none"> • Wider Constitution review to take place in 2007/08. |
| P&D | h. | Ensure that the roles and responsibilities of all members of the local authority, together with the terms of their remuneration and its review, are defined clearly in writing | <ul style="list-style-type: none"> • Council Constitution • Members' allowance scheme based upon Independent Panel on Members' Remuneration – reported to Council • Member job descriptions | Green | <ul style="list-style-type: none"> • Policy and Democratic Services Team Leader (Head of Governance) • Monitoring Officer | <ul style="list-style-type: none"> • Members allowances for 2007/08 agreed by Council in April 2007. • Wider Constitution review to take place in 2007/08. |
| P&D | i. | Ensure that a Chief Executive or equivalent is made responsible to the authority for all aspects of operational management | <ul style="list-style-type: none"> • Chief Executive in post • Appraisal system for Chief Executive • Scheme of delegation | Green | <ul style="list-style-type: none"> • Council • Chief Executive's Appraisal Committee | <ul style="list-style-type: none"> • Chief Executive in post. • Scheme of delegation reviewed in 2006. |

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| P&D FM | j. | Ensure that a senior officer is made responsible to the authority for ensuring that appropriate advice is given to it on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control | <ul style="list-style-type: none"> Finance Team Leader designated as Section 151 Officer (job description) Interim s.151 Officer in place for most of 2006/07 Financial Regulations Final Accounts and Audit Committee Internal and external audit reports | Amber | <ul style="list-style-type: none"> s.151 Officer CMB Final Accounts & Audit Committee Audit Manager | <ul style="list-style-type: none"> Annual Statement on Internal Control produced every year with Statement of Accounts. Audit Commission reported favourably on Internal Audit performance during 2006. Number of members on Final Accounts & Audit Committee increased to 7 from May 2007. New Head of Finance & Resources (s.151 Officer) to be recruited during 2007/08 as part of new senior management restructure. |
| P&D FM | k. | Ensure that a senior officer is made responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes, regulations and other relevant statements of good practice are complied with | <ul style="list-style-type: none"> Council Constitution sets out the functions of the Monitoring Officer. Monitoring Officer in post. | Green | <ul style="list-style-type: none"> Monitoring Officer CMB | <ul style="list-style-type: none"> Monitoring Officer in post. |
| O P&D R | l. | Ensure that the roles and responsibilities of all senior officers, together with the terms of their remuneration and its review are defined clearly in writing | <ul style="list-style-type: none"> Job descriptions Job specifications Pay and conditions of service Appraisal scheme | Green | <ul style="list-style-type: none"> CMB Human Resources Team Leader (Head of HR) | <ul style="list-style-type: none"> Pay and Rewards Project to implement new job evaluation and pay scheme in July 2007. |

| SIC Key element | | Requirement | Systems/ Processes/ Documentation demonstrating compliance | Current compliance level | Responsibility for monitoring and review | Evidence of compliance and outstanding actions |
|-----------------|---|--|---|--------------------------|--|--|
| P&D | m | Adopt clear protocols and codes of conduct to ensure that the implications for supporting community political leadership for the whole Council are acknowledged and resolved | <ul style="list-style-type: none"> • Council Constitution • Members' Code of Conduct • Code of Conduct training session held for new members after May 2007 elections • Officer Code of Conduct | Green | <ul style="list-style-type: none"> • Standards Committee • Monitoring Officer • Human Resources Team Leader (Head of HR) • CMB | <ul style="list-style-type: none"> • Protocol on Member/Officer Relationships approved by Council in June 2006 and included in Constitution • Development Control Protocol agreed and included in Constitution. • Training of Town/Parish Councillors on revised Code of Conduct to take place in Autumn 2007, linked to Area Committees. |

4. RISK MANAGEMENT AND INTERNAL CONTROL

North Wiltshire District Council will establish and maintain a systematic strategy, framework and processes for managing risk. Together, these arrangements will:

- Include making public statements to stakeholders on the authority's risk management strategy, framework and processes to demonstrate **accountability**
- Include mechanisms for monitoring and reviewing **effectiveness** against agreed standards and targets and the operation of controls in practice
- Demonstrate **integrity** by being based on robust systems for identifying, profiling, controlling and monitoring all significant strategic and operational risks
- Display **openness** and **inclusivity** by involving all those associated with planning and delivering services, including partners
- Include mechanisms to ensure that the risk management and control process is monitored for continuing compliance to ensure that changes in circumstances are accommodated and that it remains **up to date**.

| SIC Key element | | Requirement | Systems/ Processes/ Documentation demonstrating compliance | Current compliance level | Responsibility for monitoring and review | Evidence of compliance and outstanding actions |
|-----------------|----|--|---|--------------------------|---|---|
| R | a. | Develop and maintain robust systems for identifying and evaluating all significant risks which involve the proactive participation of all those associated with planning and delivering services | <ul style="list-style-type: none"> • Performance management framework. Risk is key area highlighted in monthly performance reports • Role of Overview and Scrutiny Committee and Final Accounts and Audit Committee • Internal Audit Annual Report • Budget reports • Risk Management Strategy | Green | <ul style="list-style-type: none"> • Lead CMB officer for Risk • CMB • s.151 Officer • Audit Commission • Final Accounts & Audit Committee • Internal Audit Section | <ul style="list-style-type: none"> • Monthly risk register compiled from performance reports and reviewed by CMB. • Revised Risk Management Strategy approved in 2006/07 • Number of members on Final Accounts & Audit Committee increased to 7 from May 2007. |

| SIC Key element | | Requirement | Systems/ Processes/ Documentation demonstrating compliance | Current compliance level | Responsibility for monitoring and review | Evidence of compliance and outstanding actions |
|-----------------|----|--|---|--------------------------|--|---|
| R | 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 | <ul style="list-style-type: none"> • Risk Management Strategy • Internal Audit function • Contract Procedure Rules and Financial Regulations • Appraisal System linked to performance • Corporate Plan • Service Plans • Performance Management Framework - reporting of risk as part of monthly performance reports • Internal Audit Annual Report • Treasury Management Strategy Statement/practices | Green | <ul style="list-style-type: none"> • s.151 Officer • CMB • Final Accounts & Audit Committee • Executive • Audit Manager • Audit Commission | <ul style="list-style-type: none"> • Monthly risk register compiled from performance reports and reviewed by CMB. • Revised Risk Management Strategy approved in 2006/07 • Internal Audit received favourable review by Audit Commission in 2006 as part of Annual Governance Report. • Number of members on Final Accounts & Audit Committee increased to 7 from May 2007. |
| R | c. | Ensure that services are delivered by trained and experienced people | <ul style="list-style-type: none"> • Job descriptions and person specifications accurately reflect service needs • Training and development needs identified through performance appraisal system • Corporate Induction course for all new staff • IIP accreditation held for the whole Council (last assessment November 2006) | Amber | <ul style="list-style-type: none"> • CMB • Team Leaders and other managers • Human Resources Team Leader (Head of HR) | <ul style="list-style-type: none"> • Investors in People Standard held for 3 years from November 2006. • Revised Appraisal System to be in place for manual staff in 2007/08. • Human Resources Strategy approved in 2006/07. • Governance workshops planned as part of Annual Audit Plan for 2007/08. • Corporate Training plan and appraisal links to be improved during 2007/08 |

| SIC Key element | | Requirement | Systems/ Processes/ Documentation demonstrating compliance | Current compliance level | Responsibility for monitoring and review | Evidence of compliance and outstanding actions |
|-----------------|----|---|--|--------------------------|---|---|
| R | d. | Put in place effective arrangements for an objective review of risk management and internal control, including internal audit | <ul style="list-style-type: none"> All areas subject to review by Audit Commission Outcomes of external audits and inspections reported to Final Accounts & Audit Committee Monthly performance reports include update on key risks Internal Audit Annual Report | Green | <ul style="list-style-type: none"> s.151 Officer CMB Executive Audit Commission Internal Audit section | <ul style="list-style-type: none"> Monthly risk register compiled from performance reports and reviewed by CMB. Internal Audit received favourable review by Audit Commission in 2006 as part of Annual Governance Report. Revised Risk Management Strategy approved in 2006/07 Number of members on Final Accounts & Audit Committee increased to 7 from May 2007. |
| C R FM | e. | Maintain an effective and professional relationship with external auditors and statutory inspectors | <ul style="list-style-type: none"> Annual Audit and Inspection Letter Audit Commission inspectorate reports Discussions take place with Audit Commission in relation to the planning of audits and inspections | Green | <ul style="list-style-type: none"> s.151 Officer CMB Audit Manager Final Accounts & Audit Committee | <ul style="list-style-type: none"> Appropriate contact maintained with Audit Commission e.g. regular meetings with s151 Officer and Audit Manager. Protocol for working with internal audit agreed. |

| SIC Key element | | Requirement | Systems/ Processes/ Documentation demonstrating compliance | Current compliance level | Responsibility for monitoring and review | Evidence of compliance and outstanding actions |
|--------------------------|----|--|---|--------------------------|--|--|
| O P&D C R FM | f. | Publish on a timely basis, with the annual report, an objective, balanced and understandable statement and assessment of the authority's risk management and internal control mechanisms and their effectiveness in practice | <ul style="list-style-type: none"> Statement on Internal Control in the Annual Statement of Accounts | Green | <ul style="list-style-type: none"> s.151 Officer CMB Final Accounts & Audit Committee Full Council | <ul style="list-style-type: none"> The annual Statement on Internal Control published with the Annual Statement of Accounts each year links to an update of this Local Code of Corporate Governance, setting out any planned changes in corporate governance arrangements for the forthcoming year. |

5. STANDARDS OF CONDUCT

The openness, integrity and accountability of individuals within the authority form the cornerstone of effective corporate governance. The reputation of North Wiltshire District Council depends on the standards of behaviour of everyone in it, whether members, employees or agents contracted to it.

Therefore, members and senior officers of North Wiltshire District Council will need to:

- Exercise leadership by conducting themselves as role models for others within the authority to follow
- Define the standards of personal behaviour that are expected from members and staff and all those involved in service delivery, and put in place arrangements to ensure:
 - **Accountability**, through establishing systems for investigating breaches and disciplinary problems and taking actions where appropriate, including arrangements for redress
 - **Effectiveness** in practice through monitoring their compliance
 - That objectivity and impartiality are maintained in all relationships to demonstrate **integrity**
 - That such standards are documented and clearly understood to display **openness** and **inclusivity** and are reviewed on a regular basis to ensure that they are kept **up to date**

| SIC Key element | | Requirement | Systems/ Processes/ Documentation demonstrating compliance | Current compliance level | Responsibility for monitoring and review | Evidence of compliance and outstanding actions |
|-----------------|----|---|--|--------------------------|---|--|
| C | 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 | <ul style="list-style-type: none"> • Member Code of Conduct • Anti-fraud and Corruption Strategy • Officer Code of Conduct • Relevant Contract Conditions applied pursuant to the Contract Procedural Rules for Outside Contractors • Council's Comments and Complaints Procedure • Council's Disciplinary and Grievance Procedure • Performance Management Framework • Appraisal System • Whistle-blowing Policy | Green | <ul style="list-style-type: none"> • Monitoring Officer • Standards Committee • CMB and Team Leaders (Heads of Service) • Human Resources Team Leader (Head of HR) • Audit Manager • Final Accounts & Audit Committee | <ul style="list-style-type: none"> • Revised Anti-fraud and corruption policy approved in 2006/07. • Revised Whistle-blowing Policy approved in 2006/07 • Revised Member Code of Conduct noted by Standards Committee in April 2007 and approved by Council on 16 May 2007. |

| SIC Key element | | Requirement | Systems/ Processes/ Documentation demonstrating compliance | Current compliance level | Responsibility for monitoring and review | Evidence of compliance and outstanding actions |
|-----------------|----|--|--|--------------------------|--|---|
| O P&D | b. | Put in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice | <ul style="list-style-type: none"> • Council's Constitution • Code of Conduct relating to Development Control • Financial Regulations • Register of interests • Member Code of Conduct • Standing Orders • Officer Code of Conduct • Equality and Diversity Policy and associated training | Green | <ul style="list-style-type: none"> • Monitoring Officer • s.151 Officer • Standards Committee • Human Resources Team Leader (Head of HR) | <ul style="list-style-type: none"> • Level 2 of Equality Standard for local government achieved by March 2007. • "Respect for People" diversity training carried out with all new officers and elected members. |
| P&D | c. | Put in place arrangements to ensure that procedures and operations are designed in conformity with appropriate ethical standards, and to monitor their continuing compliance in practice | <ul style="list-style-type: none"> • Member Code of Conduct • Officer Code of Conduct • Training of Councillors on Code of Conduct as part of Induction Programme • Standards Committee work and reports | Green | <ul style="list-style-type: none"> • Monitoring Officer • Standards Committee • Human Resources Team Leader (Head of HR) | <ul style="list-style-type: none"> • Training of Town/Parish Councillors on revised Code of Conduct to take place in Autumn 2007, linked to Area Committees. |
| C | d. | Put in place arrangements for whistle blowing to which staff and all those contracting with the Council have access | <ul style="list-style-type: none"> • Whistle Blowing Policy • Benefit Fraud Hotline • Officer Code of Conduct • Member Code of Conduct • Disciplinary and Grievance Procedure | Green | <ul style="list-style-type: none"> • Monitoring Officer • Human Resources Team Leader (Head of HR) • Audit Manager | <ul style="list-style-type: none"> • Revised Whistle-blowing Policy approved in 2006/07 |