

Code of Governance Action Plan 2008/09

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
Focussing on the purpose of the authority and on outcomes for the community, and creating and implementing a vision for the local area					
GC	Develop and promote the authority's purpose and vision	Should form a basis for: <ul style="list-style-type: none"> • Corporate and service planning • Community Strategy inputs • Local Area Agreements/ Performance Plan 	Refresh Community Strategy – Local Strategic Partnership Monitor Local Area Agreements targets	Sept '08 Ongoing	LSP Board 19 th September 2008 agreed the monitoring arrangements
GC	Regularly review the authority's vision for the area and its impact on governance arrangements	Governance Code Local Development Framework consultation work Local Strategic Partnership review of Community Strategy	Annual review by Executive of Corporate Plan targets	Feb '09	Awayday in September 2008 reviewed Corporate Plan. There will be an annual review commencing February 2009.
GC	Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties	Partnership Protocol Governance Code Local Area Agreements Governance report	Joint Local Development Framework/Local Strategic Partnership visioning event	July '08	Event took place on July 9 th at Farnham Maltings
GC/MH	Publish an annual report on a timely basis to	Annual Financial Statements Annual Business Plan	Adequate arrangements in	Done	Being included in 2008 Annual

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
	communicate the authority's activities and achievements, its financial position and performance.	Annual report Performance Plan outturn	place		Report (Oct 2008)
GC	Decide how quality of service for users is to be measured and make sure the information needed to review service quality effectively and regularly is available	Reflected in: Corporate Plan Service Plans Financial Strategy New satisfaction Local Performance Indicators Performance Management Framework maps Corporate Plan to performance measures	Adequate arrangements in place	Done	
RP	Put in place effective arrangements to identify and deal with failure in service delivery	Complaints procedure Audit Commission Risk Management Process	Reviewed - implementation June '08	June '08	Complaints procedure has been revised. Ombudsman's report was presented to Executive and O&S committees and actions identified. Target times have been agreed and a sub-group of Heads of Service Team to prepare guidelines.

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
GC	Decide how value for money is to be measured and make sure that the authority or partnership has the information to review value for money and performance effectively	Performance Plan GC report to Exec or Value for Money Strategy Star Chambers Value For Money reviews Corporate Plan priority defined	Star Chamber performance indicator targets to be disseminated and performance monitored	Nov '08	A sub group of Heads of Service Team to consider how vfm is delivered and measured
RP	Measure the environmental impacts of policies, plans and decisions		Measurement processes to be developed by Climate Change Group	Dec '08	Climate Change Group has been preparing a set of targets.
Members and officers working together to achieve a common purpose with clearly defined functions and roles					
RP	Set out a clear statement of the respective roles and responsibilities of the Executive and of the Executive's Members individually, and the authority's approach towards putting this into practice.	Constitution Record of decision making Website Committee reports	Adequate arrangements in place	N/A	
RP	Set out a clear statement of the respective roles and responsibilities of other authority Members, Members generally, and senior officers	Constitution	Adequate arrangements in place	N/A	

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
RP	Determine a scheme of delegation and reserve powers within the constitution, including a formal schedule of those matters specifically reserved for collective decision taking by the authority, taking account of relevant legislation, and ensure that it is monitored and updated when required	Constitution September Review Evidence updated Sept 07 and Jan 08	Adequate arrangements in place	N/A	
AO	Make a Chief Executive or equivalent responsible and accountable to the authority for all aspects of operational management	Conditions of Employment Chief Executive job description Appraisal with Leader Scheme of Delegation Statutory Provision Job Description/Specification Performance Management Annual appraisals identify performance issues	Adequate arrangements in place	N/A	
AO/MH	Develop protocols to ensure that the Leader and Chief Executive (or equivalent) negotiate their respective roles early in the relationship and that a shared understanding of those roles and objectives is	1:1 between new Leader/Chief Executive have taken place each week since the Chief Executive took up her post	Adequate arrangements in place	N/A	

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
	maintained				
GC	Make a senior officer (the s151 Officer) responsible to the authority for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control	Section 151 responsibilities Statutory provision Statutory reports Budget documentation Job Description/Spec Financial Regulations	Adequate arrangements in place	N/A	
MH	Make a senior officer (usually the Monitoring Officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with	Monitoring Officer appointed as separate appointment to substantive position as Head of Internal Audit. Statutory provision Job Description/Specification	Develop a Monitoring Officer protocol for approval by the Standards Committee and ratification by Council. Assimilate Monitoring Officer duties into job description for Head of Internal Audit.	Dec '08	Job description amended and passed to Head of HR for comment. Standards Committee 3 rd November to consider draft Monitoring Officer protocol.

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
MH	Develop protocols to ensure effective communication between Members and officers in their respective roles	Monitoring Officer responsible for developing and maintaining the Member/Officer protocol.	Revise Member/Officer protocol	Dec '08	Standards Committee 3 rd November to consider the draft revised Officer/Member protocol.
AO/RP	Set out the terms and conditions for remuneration of Members and officers and an effective structure for managing the process, including an effective remuneration panel where applicable	Pay and Conditions Policies and Practices Job Evaluation Panel Defined scheme of allowances for members Joint Negotiating Committee	Equal pay audit underway and resulting action plan needs to be implemented. Reconvene panel to review members' allowances	July '08	Ongoing.
GC	Ensure that effective mechanisms exist to monitor service delivery	O & S Performance Sub Committees Monitoring reports on Leisure/Hsg New Performance Management Framework Monthly reports to Corporate Management Team Quarterly report to members Risk monitoring	Revise service planning process and link to corporate plan	Aug '08	Performance management framework and reporting arrangements revised and implemented.
GC	Ensure that the organisation's vision,	Contracts Monitoring	Adequate arrangements in	N/A	

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
	strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other stakeholders, and that they are clearly articulated and disseminated	Vision Strategy Corporate Plan Budgets Performance Plan/Regime Statutory Surrey Election	place		
GC & HoS	When working in partnership, ensure that Members are clear about their roles and responsibilities – both individually and collectively – in relation to both the partnership and the authority	For each partnership: Clear statement of partnership principles and objectives Clarity of each partner's role within the partnership Definition of roles of partnership board members Line management responsibilities for staff who support the partnership A statement of funding sources for joint projects, including clear accountability for financial administration A protocol for dispute resolution within the partnership	Review existing partnerships against new code	Dec '08	Outstanding
GC	When working in partnership:	New partnerships code requires these tests to be applied	Adequate arrangements in	N/A	

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
	<p>Ensure there is clarity about the legal status of the partnership</p> <p>Ensure that representatives of organisations both understand and make clear to all other partners the extent of their authority to bind their organisations to partner decisions</p>		place		
<p>Promoting values for the authority and demonstrating the values of good governance through upholding of high standards of conduct and behaviour</p>					
RP/MH	<p>Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect</p>	<p>"Ask Mary" facility on Notes</p> <p>Corporate values</p> <p>Whistleblowing policy to Executive May 2008</p> <p>Court Papers</p> <p>Council Constitution contains relevant protocols</p>	<p>Staff training on new Whistleblowing policy</p>	Nov '08	<p>To arrange a slot on Your Shout, and a relevant cascade briefing item</p>
MH	<p>Ensure that standards of conduct and personal behaviour expected of Members and staff, of work between Members and staff, and between the authority, its partners and the community are defined and communicated through codes of conduct and</p>	<p>Members/officers Code of Conduct</p> <p>Performance appraisal</p> <p>Complaints procedures</p> <p>Anti-fraud and anti-corruption policies</p> <p>Member/Officer Protocol</p> <p>Partnership Governance framework</p>	<p>Training sessions for relevant staff and for members to be arranged</p>	Nov '08	<p>Induction course for all new members of staff.</p> <p>Monitoring Officer available for advice at all times. Training sessions offered to town and parish councils re</p>

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
	protocols				Code of Conduct. Cascade briefing via CMT used to communicate key developments e.g. new staff register of gifts and hospitality.
MH/AO	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	Standing orders Codes of Conduct for staff Financial regulations Code of Conduct for members based on national model Standards Committee Register of Interests Register of gifts and hospitality Council Constitution	Code of conduct under review (for staff)	July 2008	New Officer/Member protocol (to Standards Committee November 2008) strengthens content of previous version. New staff register of interests, gifts and hospitality. Consultation from DCLG regarding revisions to Member Code considered by Standards Committee

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
					November 2008, and regarding national employee code to appropriate committee(s) including Staffside consultation.
RP	Develop and maintain shared values, including leadership values for both the organisation and the staff reflecting public expectations and communicate these with Members, staff, the community and partners	Codes of Conduct Core values Corporate priorities	Adequate arrangements in place	N/A	
MH/LA	Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice	Codes of Conduct Members' Handbook Members' induction training Members' training programme Written guidance on specific topics e.g East Street planning application Advice available from Legal Services and other professional officers Internal Audit consulted on new	Adequate arrangements in place	N/A	

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
		systems and procedures, tendering matters and other governance-related matters			
MH	Develop and maintain an effective standards committee	Terms of reference Regular reports to Council Independent chairman Business agenda concerns complaints and conduct issues	Adequate arrangements in place	N/A	
RP	Use the organisation's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority	Decision-making practices	Adequate arrangements in place	N/A	
GC	In pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partners' behaviour, both individually and collectively	Protocol for Partnership working	Adequate arrangements in place	N/A	
Taking informed and transparent decisions that are subject to effective scrutiny and managing risk					
RP	Develop and maintain an effective scrutiny function which encourages	Scrutiny always supported by robust evidence and data	Adequate arrangements in	N/A	

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
	constructive challenge and enhances the authority's performance overall and that of any organisation for which it is responsible	analysis	place		
RP	Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based	Decision-making protocols record of decisions and supporting materials	Adequate arrangements in place	N/A	
MH	Put in place arrangements to safeguard Members and employees against conflicts of interest and put in place appropriate processes to ensure they continue to operate in practice	Members' Code of Conduct Access to Monitoring Officer for all members	Adequate arrangements in place	N/A	
MH	Develop and maintain an effective audit committee (or equivalent) which is independent of the Executive and scrutiny functions or make other appropriate arrangements for the discharge of the	Terms of reference Membership Training for Committee members	Adequate arrangements in place	N/A	

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
	functions of such a committee				
RP	Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints	Complaints procedure	Adequate arrangements in place	N/A	
RP	Ensure that those making decisions, whether for the authority or the partnership, are provided with information that is fit for purpose – relevant, timely and gives a clear explanation of technical issues and their implications	Members' Induction Scheme Training for Committee chairs Report writing guidelines	Adequate arrangements in place	N/A	
LA/GC	Ensure that proper professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately	Record of decision making and supporting materials Record kept of advice obtained Head of Legal reviews reports Corporate Management Team reviews reports Legal and financial reps on large groups Comprehensive legal/financial service available to Council members and officers alike	Adequate arrangements in place	N/A	

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
		Committee report guidance			
GC	Ensure that risk management is embedded into the culture of the authority, with Members and managers at all levels realising that risk management is a part of their jobs	Risk management protocol Financial standards and regulations Heads of Service job descriptions	Complete new Heads of Service job descriptions based on generic Job Descriptions Regular updates and reports to Corporate Management Team and members	Ongoing	Risk Management Working Group (officers) to arrange new workshop to review operational risk register in light of new Corporate Plan.
MH	Ensure that effective arrangements for whistle blowing are in place to which officers, staff, and all those contracting with or appointed to the authority have access	Whistle-Blowing Policy revised May '08	Adequate arrangements in place	N/A	
LA	Actively recognise the limits of lawful activity placed on the Council by, for example, the ultra vires doctrine, but also strive to utilise Council powers to the full benefit of the community	Constitution Monitoring Officer provisions Availability of comprehensive legal service to members and officers Committee reporting system – legal implications section of reports and blue sheet system	Continue to maintain a comprehensive internal/external legal service and keep provision under review to ensure availability of specialist	Ongoing	

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
		Obtaining expert legal advice and support as required	<p>expertise</p> <p>Ensure consistency of reporting systems (don not overlook the legal contribution required)</p> <p>Service providers to obtain legal advice at a sufficiently early stage</p> <p>Periodic review of Constitution and scheme of delegation</p>		
LA	Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on authorities by public law	Standard committee report template includes legal comment	Adequate arrangements in place	N/A	
LA	Observe all specific legislative requirements placed on the Council, as well as the requirements of	<p>Monitoring Officer role and advice to members</p> <p>Job Description/specification</p>	Adequate arrangements in place	N/A	

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
	general law, and in particular integrating the principles of good administrative law – rationality, legality and natural justice – into their procedures and decision-making processes	Member Handbook Constitution/Contract Procedure Rules and Procedure Rules Scheme of Delegation Integration of Legal Services with Democratic Services Section 151 Officer role fulfilled by named officer at director level Head of Democratic Services' role in maintaining and advising on committee and member services Training of members and officers Adoption of Member Code of Conduct			
Developing the capacity and capability of members and officers to be effective					
RP	Provide induction programmes tailored to individual needs and opportunities for Members and officers to update their knowledge on a regular basis	Training and development plans Induction programme Update courses/information Officers' annual appraisals	Member Development Charter	Feb '09	SIG has been meeting to progress the matter. Inspection will follow by SE Employers.
AO	Ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and	Job Descriptions and Person Specs Membership of the Corporate Management Team	Adequate arrangements in place	N/A	

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
	that these roles are properly understood throughout the authority	Induction booklet Annual appraisals Action learning sets			
AO/RP	Assess the skills required by Members and officers and make a commitment to develop those skills to enable roles to be carried out effectively	Training and development plan for members	Adequate arrangements in place	N/A	
GC	Develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge, and to recognise when outside expert advice is needed	Training and development plan reflects the needs of the modern councillor, including: <ul style="list-style-type: none"> • Ability to scrutinise and challenge • Ability to recognise when outside advice is required • Advice on how to act as an ambassador for the community <ul style="list-style-type: none"> • Leadership and influencing skills <p>Overview and Scrutiny performance sub committees Staff appraisals</p>	Adequate arrangements in place	N/A	
GC	Ensure that effective arrangements are in place	Performance management	Establish specific Executive briefing	Aug '08	1 st quarter PIs to Executive.

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
	for reviewing the performance of the Executive as a whole and of individual members and agreeing an action plan which might, for example, aim to address any training and development needs	system Member training programme	to focus on programme		New performance management framework was agreed by CMT in July 2008.
GC	Ensure that effective arrangements are in place, designed to encourage individuals from all sections of the community to engage with, contribute to, and participate in the work of the authority	Strategic partnership framework Stakeholders forums and terms of reference Area forums' roles and responsibilities Residents' panel structure Tenants' Panel Citizens' Panel Roles meeting – Waverley Business Forum	New member of staff (seconded from DCLG) leading on review of requirements for CMT to discuss. Re-launch engagement with businesses	Dec'08	In progress. Meeting held to discuss way ahead regarding engaging businesses.
AO/RP	Ensure that career structures are in place for Members and officers to encourage participation and development	Succession planning – associated actions on risk register Annual revision to member appointments and roles e.g. appointment to Executive, chair of committee etc Reintroduction of career grades in areas where staff shortages	Workforce plan to be revised	Sept '08	SIG does not want individual programme. Report taken to Executive July 2008.

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
		exist			
Engaging with local people and other stakeholders to ensure robust public accountability					
RP	Make clear amongst Members, officers and the communities they serve to whom the Council is accountable and for what	Community Strategy	Adequate arrangements in place	N/A	
GC	Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of relationships and any changes required	Involvement event for social inclusion Crime and Disorder Reduction Partnership Local Strategic Partnership Local Development Framework	Local Development Framework/Local Strategic Partnership joint visioning event Big Debate on housing issues	July '08	Event held 9 th July 2008. Involvement event about social inclusion strategy took place in June 2008, and strategy was agreed.
RP	Produce an annual report on the activity of the scrutiny function	Annual Report	Adequate arrangements in place	N/A	
GC	Ensure clear channels of communication are in place with all sections of the community and other stakeholders, and put in place monitoring arrangements and ensure they operate effectively	Community Strategy Processes for dealing with competing demands in the community Youth Forum Business Forum Better Government for Older People	Adequate arrangements in place	N/A	

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
RP	Hold meetings in public unless there is a good reason for confidentiality	All meetings publicised and key ones are webcast Access to archived meetings webcasts Agendas and minutes publicised on website	Adequate arrangements in place	N/A	
GC	Ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands	Citizens' Panel	Adequate arrangements in place	N/A	
GC	Establish a clear policy on the types of issues where the Council will consult meaningfully or engage with the public and service users, including a feedback mechanism for those consultees to demonstrate what has changed as a result	Partnerships framework Communication strategy	Adequate arrangements in place	N/A	

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
GC	On an annual basis, publish a performance plan giving information on the authority's vision, strategy, plans and financial statements, as well as information about its outcomes, achievements and the satisfaction of service users during the previous period	Annual Report Annual Financial Statements Corporate Plan Annual Business Plan Corporate Plan mapping document on website	Performance against Corporate Plan targets to be published each spring	N/A	
RP	Ensure that the authority as a whole is open and accessible to the community, service users and its staff, making sure that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is appropriate and proper to do so	Constitution	Adequate arrangements in place	N/A	
AO	Develop and maintain a clear policy on how staff and	Constitution	Adequate arrangements in	N/A	Terms and conditions have

Responsible Officer	Requirement	Core Evidence	Key Actions Identified	Target Date	Position as at September 2008
	their representatives are consulted and involved in decision making	Terms and conditions of employment paras 2.2, 2.3 and 2.4	place		been placed on Council's intranet