Section 6 Code of Corporate Governance

1. Introduction

1.1. The Council is committed to ensuring that it has adequate and effective corporate governance arrangements in place and this Local Code describes how the Council intends to achieve this in an open and explicit way. In developing this Code, the Council has considered best practice and guidance, particularly the CIPFA/SOLACE framework "Delivering Good Governance in Local Government 2016".

1.2. Good corporate governance is about how ensuring that the Council fulfils its purpose wisely and openly, with all due accountability to local people. It means that the Council takes sound and lawful decisions - decisions that take into account local people's needs, their wellbeing, and what is needed for a prosperous, caring and successful borough. It comprises the systems and processes, cultures and values, by which the Council is directed and controlled and through which it accounts to, engages with and, where appropriate, leads the community.

2. Definition

2.1. The 2014 CIPFA/IFAC International Framework – Good Governance in the Public Sector defines governance as *"Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved".*

2.2. The Framework also states that '*to deliver good governance in the public sector, both governing bodies and individuals working for public sector entities must try to achieve their entity's objectives while acting in the public interest at all times. Acting in the public interest implies primary consideration of the benefits for society, which should result in positive outcomes for service users and other stakeholders*'.

2.3. The Council has adopted the 'Strong Leader' model of governance whereby the Council Leader exercises power and delegates power to others, in particular his/her Cabinet. The Leader and Cabinet make many of the Council's decisions, but some, such as agreeing the annual budget, must be made by full Council, i.e., the whole body of elected councillors. A system of audit and scrutiny, standards and ethics ensures that decisions are made within a sound governance framework and that behaviour is monitored to ensure effective and efficient governance.

3. The Principles of Good Governance

3.1. The Council operates a governance framework that brings together an underlying set of legislative requirements, governance principles and management processes.

3.2. The Council recognises the seven core principles of good governance in the public sector as:

A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law;

B. Ensuring openness and comprehensive stakeholder engagement;

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

D. Determining the interventions necessary to optimise the achievement of the intended outcomes;

E. Developing the entity's capacity, including the capability of its leadership and the individuals within it;

F. Managing risks and performance through robust internal control and strong public financial management; and

G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability.

4. Applying the Principles of Good Governance

4.1. In order to achieve good governance, the Council will seek to apply each of the seven core principles, along with their supporting sub-principles, in accordance with recommended best practice. The Council has a governance framework in place which comprises the systems, processes, culture and values it has to ensure that the intended outcomes for stakeholders are defined and achieved.

4.2. We have identified the sources of assurance that are available against each of the seven core principles of good governance in the public sector together with the supporting principles, which allows the Council to demonstrate that it has an effective governance framework in place.

4.3. Appendix A provides a summary of how the Council meets the principles and sub-principles of this Code of Corporate Governance. Against each sub-principle the Council's evidence compared to best practice (as recommended by the CIPFA/IFAC International Framework) is recorded under the heading of "Where You Should See Governance in Action". The column entitled "How the Council Demonstrates Good Governance and Issues Identified" records the actual evidence that is available at the Council and where practicable are hyperlinked to the very latest information.

5. Review of Effectiveness

5.1. Throughout the year, Directors will report to the Chief Executive on how effectively governance is being applied in their Departments. This reporting uses the Management Accountabilities Framework (MAF).

5.2. At the end of each year the Council will produce its Annual Governance Statement (AGS), which includes reviews of MAF exception reports, end of year Directors' assurance statements, external assurance processes and Internal Audit's opinion report. The AGS will also assess the effectiveness of both this Code of Corporate Governance and its application during the year, identifying any necessary changes and making recommendations to the Executive Board.

5.3. This review of effectiveness will ensure that the sources of assurance within our Code of Corporate Governance remain current and valid. The evidence supporting this review will be summarised within Appendix A under the column entitled "How the Council Demonstrates Good Governance and Issues Identified". Where our actual evidence no longer meets best practice we highlight any improvements or changes that need to be made.

5.4. Appendix B will outline the significant governance issues identified during the last financial year and will contain an action plan and timetable to secure any required improvement in the Council's governance arrangements. This action plan should consider those significant areas highlighted in Appendix A: "How the Council Demonstrates Good Governance and Issues Identified".

5.5.   The Audit and Governance Committee is responsible for reviewing the Council's corporate governance arrangements against the good governance framework and considering annual governance reports and assurances.   This review will be informed by a report received from the Council's Primary Assurance Group.

Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law. It is essential that the Council is able to demonstrate the appropriateness of its actions across all activities and has mechanisms in place to encourage and enforce adherence to ethical values and respect to the rule of law.		
Supporting Sub-Principles	**Where You Should See Governance in Action**	**How the Council Demonstrates Good Governance and Issues Identified**
Behaving with integrity • Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation.	*Suggested examples* • Codes of conduct. • Individual sign off with regard to compliance with codes. • Protocol on Member/Officer Relations • Induction for new members and staff on standards of behaviour expected. • Performance appraisals.	Members sign up acceptance of office under the Local Government Act with Monitoring Officer at Election Count and provided with details of mandatory policies. Declarations of interests required at meetings and General Notice of Registerable Interests maintained. Members Induction and Training in place. Training throughout the year including mandatory training for all members and specific training for members of quasi-judicial committee members. New Members Induction Pack Member and Officer Codes of Conduct Council Constitution includes Member/Officer Protocol
• Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles).	• Communicating shared values with members, staff, the community and partners.	Standards Committee Member/Officer Protocol Complaints procedures for members Dignity at Work Policy
• Leading by example and using these standard operating principles or values as a framework for decision making and other actions.	• Decision making practices. • Declarations of interests made at meetings. • Conduct at meetings. • Shared values guide decision making. • Develop and maintain an effective Standards Committee.	Standards Committee Current Committees Publishing Decisions and Call-In Scrutiny (Pre and Post Decision)
• Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively.	• Anti-fraud and corruption policies are working effectively. • Up-to-date register of interests (members and staff). • Up-to-date register of gifts and hospitality. • Whistleblowing policies in place and protect	The Council is committed to the highest possible standards of openness, integrity and accountability. The Council's Whistleblowing Policy was last reviewed in August 2015, and is available to all employees, and members of the public. Teamtalk whistleblowing Internet whistleblowing

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	individuals raising concerns. • Whistleblowing policy available to members of the public, employees, partners and contractors. • Complaints policy and examples of responding to complaints about behaviour. • Changes/improvements as a result of complaints received and acted upon. • Members and officers code of conduct refers to a requirement to declare interests. • Minutes show declarations of interest were sought and appropriate declarations made.	Registers of interests and gifts and hospitality are maintained reviewed annually. 2016/2021 Counter Fraud Policy and Strategy approved. Anti-fraud and corruption-prevention and detection Standards Committee Current Committees Council Constitution updated periodically to reflect changes to Council responsibilities and procedures and to take account of legislative requirements. Council Committees, Meetings and Agendas
Demonstrating strong commitment to ethical values • Seeking to establish, monitor and maintain the organisation's ethical standards and performance • Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation • Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values. • Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with high ethical standards expected by the organisation.	• Scrutiny of ethical decision making. • Championing ethical compliance at governing body level. • Provision of ethical awareness training. • Appraisal processes take account of values and ethical behaviour. • Staff appointments policy. • Procurement policy. • Agreed values in partnership working: - Statement of business ethics communicates commitment to ethical values to external suppliers. - Ethical values feature in contracts with external service providers. • Protocols for partnership working.	The Council has implemented a Behaviour Framework which all employees are expected to work in line with. The behaviours framework is a set of core behaviours which define 'how' we are expected to approach our work and sits alongside 'what' we do, as outlined in each of our job descriptions. The framework details the behaviours and attitudes that must be reasonably applied in all situations, are required by all employees and supports the delivery of our corporate priorities. The Council's Significant Partnership Register is updated annually and audited periodically. The supporting guidance outlines the need for Terms of Reference, minutes, papers etc. Advice provided to members regarding Constitutional matters by Democratic Services and Legal staff. Mandatory training during the year for Members on areas such as Safeguarding, Data Protection and Prevent, plus specific training for members of quasi-judicial Committees. Scrutiny process in place. Transparency of Decision Making: Published Decisions

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It is essential that the Council is able to demonstrate the appropriateness of its actions across all activities and has mechanisms in place to encourage and enforce adherence to ethical values and respect to the rule of law.

		Audit & Governance Committee in place, which Internal and External Audit attend. Contract Procurement Procedure Rules, Procurement Strategy and standard procurement and contract documentation help to embed ethical values into contracts procured by the Council. The Procurement Strategy requires updating to ensure that it reflects current regulations and best practise and the Council's approach to purchasing to obtain continuous improvement and value for money reflecting the Council's current approach to the procurement of supplies and service delivery. A corporate Social Value Policy will be developed that defines social value for the Council and sets out the Council's commitment to this area through its commissioning and procurement activity.
Respecting the rule of law • Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations. • Creating the conditions to ensure that the statutory officers, other key post holders and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements. • Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders. • Dealing with breaches of legal and regulatory provisions effectively. Ensuring corruption and misuse of power are dealt with effectively.	• Statutory provisions. • Statutory guidance is followed. • Constitution in place. • Job description/specifications. • Compliance with CIPFA's Statement on the Role of the Chief Financial Officer in Local Government (CIPFA, 2015) • Terms of reference. • Committee support. • Record of legal advice provided by officers. • Monitoring Officer provisions. • Effective anti-fraud and corruption policies and procedures. Local test of assurance (where appropriate).	The Director of Finance &IT post complies with the principles and requirements set out in the CIPFA Statement on the CFO role A Counter Fraud Policy and Strategy is in place and published. Anti-fraud and corruption-prevention and detection. A Fraud Response Plan is also in place. A Whistle Blowing guidance and policy is in place and published internally and externally Teamtalk whistleblowing Internet whistleblowing A Confidential whistle blowing line is in operation. Legal advice is provided on all council decision making reports and legal staff attend to provide advice at Committees. Training is provided for officers on report writing. Positive inspection outcomes achieved e.g. RIPA compliance. The Council exercises statutory powers to prosecute and monitors prosecution outcomes. There is a low level of successful appeals on regulatory

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		committee decisions e.g. licensing and planning. Mandatory annual training for regulatory committee members. Regular legal training to members and officers e.g. members interests, health and safety sentencing guidelines. Code of conduct for members and officers. Training for designated officers e.g. access to communications. Constitution updated annually Equality Impact Assessments required for Member and Council decisions Committee minutes published Complaints process in place Standards Committee Internal Audit

Principle B: Ensuring openness and comprehensive stakeholder engagement.		
Clear and trusted channels of communication are necessary to ensure that the Council can engage effectively with all groups of stakeholders, including individual citizens, service users, local business and institutional stakeholders in the local community.		
Supporting Sub-Principles	**Where You Should See Governance in Action**	**How the Council Demonstrates Good Governance and Issues Identified**
Openness • Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness. • Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided.	*Suggested Examples* • Annual report. • Freedom of Information Act publication scheme. • Online council tax information. • Authority's goals and values. • Authority website. • Records of decision making and supporting materials.	Officers ensure that the Council website, public news website, The Shuttle and Team Talk are up to date, informative, user friendly and share information effectively with staff and the community. Council tax information leaflet provided and information published at Council tax Freedom of Information Publication Scheme in place, reviewed annually. Publication Scheme Transparency Data Share updates in line with the Transparency Code of Practice requirements. Datashare
• Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear	• Decision making protocols, including legal and finance sign off requirements. • Report pro-formas. • Record of professional advice in reaching decisions. • Meeting reports show details of advice given. • Discussion between members and officers on the information needs of members to support decision making. • Agreement on the information that will be provided and timescales. • Calendar of dates for submitting, publishing and distributing timely reports.	Corporate Plan updated annually Policy Council in November and June each year outlines the policy and performance position. Performance reporting six monthly to Executive Board. The reports are published on the Council's public CMIS website. Annual accounts report - includes a narrative summary on key performance/ deliverables Freedom of Information responses CMIS /Public documents Publicity of Decisions Signed Minutes Standard report templates and checklists for Executive Member and Executive Board reports with a requirement for Legal and Finance teams sign off to ensure legal, financial and equality requirements are met and provide assurance for Director approval. Ensures proper checks are carried out for the decision making process and publication requirements are met and provide opportunity for formal challenge.

Principle B: Ensuring openness and comprehensive stakeholder engagement.		
Clear and trusted channels of communication are necessary to ensure that the Council can engage effectively with all groups of stakeholders, including individual citizens, service users, local business and institutional stakeholders in the local community.		
• Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action	• Community strategy • Use of consultation feedback. • Citizen survey.	Internal key dates for performance data reporting are produced and circulated to staff (6 monthly) BwD Prosperity Plan produced through consultation and adopted by all stakeholders and in BwD, consultation event held in March 2014 followed by consultation feedback via email for 2 months.
Engaging comprehensively with institutional stakeholders • Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably • Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively	• Communication strategy. • Database of stakeholders with whom the authority should engage and for what purpose and a record of an assessment of the effectiveness of any changes.	The Corporate Communications Work Plan acts as the corporate communication strategy. Consultation and engagement is carried out through services and departments, as well as other forms of specific corporate consultation exercises undertaken as required (Consultations), using a range of approaches tailored to the specific exercise, including the use of on-line surveys and face to face meetings. A Corporate Plan is in place with Key priorities identified. Feedback is provided through Ward Solutions Meetings (WSM's), Your Call initiative, Budget Consultation 2012/13. Consultation with the Leader of the Council, Executive Members, the Chief Executive, Directors, staff and partners. BwD Residents Survey 2012 – includes a section on budget priorities. Residents Survey 2013 – portfolio measures were highlighted in addition to the LSP target measures and residents broad priorities from Vision 2030.

Principle B: Ensuring openness and comprehensive stakeholder engagement.		
Clear and trusted channels of communication are necessary to ensure that the Council can engage effectively with all groups of stakeholders, including individual citizens, service users, local business and institutional stakeholders in the local community.		
• Ensuring that partnerships are based on: — trust — a shared commitment to change — a culture that promotes and accepts challenge among partners and that the added value of partnership working is explicit	• Partnership framework • Partnership protocols.	Budget engagement events held in Blackburn and Darwen on Tuesday 23rd February 2016. Partnership Governance Framework and toolkit in place
Engaging stakeholders effectively, including individual citizens and service users • Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes.	• Record of public consultations • Partnership framework	The Council is committed to carrying out effective consultation exercises using the Council website and other communication channels. Communications and engagement strategies are developed for campaigns and major issues. The Corporate Communications Work Plan acts as the corporate communication strategy, with other engagement and communications devolved to services. Regular Ward Solution Meetings are held as part of the community engagement models operated by the Council. The Significant Partnership Register is updated annually and audited periodically. The Register includes details of terms of reference, minutes, papers etc. The Local Strategic Partnership (LSP) and sub-groups meet at least twice a year. These are public meetings. Agendas and minutes are available on CMIS. LSP Board events communicated and delivered – media releases, videoed, and media updates in local paper

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• Ensuring that communication methods are effective and that Members and officers are clear about their roles with regard to community engagement.	• Communications strategy.	The Executive Member for Resources meets with partner stakeholders annually re council spending plans and priorities for the financial year ahead. The last meeting was Monday 1st February 2016. There is a Budget consultation programme. Social media is used to engage with the public.
• Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs.	• Communications strategy. • Joint strategic needs assessment.	The Corporate Communications Work Plan acts as the Corporate Communications Strategy. The Council's Vision is used as the basis for working together with strategic partners to agree a shared agenda and work collectively to identify local priorities and review and steer resources.
• Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account.	• Communications strategy.	
• Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity.	• Processes for dealing with competing demands within the community, for example a consultation.	Consultations are carried out as and when required using a range of different approaches tailored to the area.
• Taking account of the interests of future generations of tax payers and service users	• Reports • Joint strategic needs assessment	Public Health Report Your Call Annual Report

Principle C: Defining outcomes in terms of sustainable economic, social, and environmental benefits. The Council needs to define and plan outcomes and ensure that these are sustainable. Decisions should further the Council's purpose, contribute to the intended benefits and outcomes and remain within the limits of the Council's authority and resources.		
Supporting Sub-Principles	**Where You Should See Governance in Action**	**How the Council Demonstrates Good Governance and Issues Identified**
Defining Outcomes • Having a clear vision which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation's overall strategy, planning and other decisions	*Suggested Examples* • Vision used as a basis for corporate and service planning.	The Council's Vision is used as the basis for the Council and strategic partners to work together to agree a shared agenda and work collectively to review and steer resources through identifying local priorities. The Council's corporate plan priorities are reviewed annually and adopted at Policy Council in December. The Borough's Plan for Prosperity was adopted by the LSP Board and launch in November 2014. A Health and Wellbeing Strategy is in place and published along with the latest Local Plan. The partnership's new branding adopted by the LSP Board and launched in March 2016.
• Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer	• Community engagement and involvement. • Corporate and service plans and strategies. • Community strategy.	Communications and engagement plans are put in place. Updates re service reviews/changes are provided to residents ranging from advertising and on-line updates, social media, and letters and councillors meetings to roadshows and public meetings.
• Delivering defined outcomes on a sustainable basis within the resources that will be available • Identifying and managing risks to the achievement of outcomes	• Regular reports on progress. • Performance trends are established and reported upon. • Risk management protocols.	Risk Management Strategy and Framework 2015/20 with supporting toolkit in place: Risk management . Corporate and departmental risk registers maintained and monitored. Management Accountabilities Framework reporting and monitoring in place with RAG rated performance Includes risk considerations.
• Managing service users expectations effectively with regard to determining priorities and making the best use of the resources available	• An agreed set of quality standard measures for each service element and included in service plans. • Processes for dealing with competing demands within the community.	Annual refresh of the Corporate Plan technical appendix – KPIs and targets for each portfolio.

Principle C: Defining outcomes in terms of sustainable economic, social, and environmental benefits. The Council needs to define and plan outcomes and ensure that these are sustainable. Decisions should further the Council's purpose, contribute to the intended benefits and outcomes and remain within the limits of the Council's authority and resources.		
Sustainable economic, social and environmental benefits • Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision	• Capital investment is structured to achieve appropriate life spans and adaptability for future use or that resources (e.g. land) are spent on optimising social, economic and environmental wellbeing: — Capital programme — Capital investment strategy	Details of capital programme included in the Annual Budget Summary Book 2016-17 Business planning guidance issued annually and departmental plans produced – team/service plans provide greater depth of key deliverables for the year ahead. Regular Chief Officers' meetings with Group Leaders, in addition to Senior Policy Team meetings provide forum for Member briefing and challenge before decisions made.
• Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints	• Discussion between Members and officers on the information needs of members to support decision making.	Briefings for executive members and SPTs are provided by departments officers
• Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs	• Record of decision making and supporting materials • Protocols for consultation	Minutes published on website (Council Decisions) in accordance with access to information provisions. Committee agendas available (Blackburn Democracy) Services and departments require service user engagement and feedback for all service reviews. The corporate intelligence team are available to support departments in producing appropriate consultation and engagement mechanisms.
• Ensuring fair access to services	• Protocols ensure fair access and statutory guidance is followed	Consultations carried out with affected parties. Opportunities for petitions and questions from the public to be submitted and considered by Council, or the appropriate Committee or Executive Member.

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Principle C: Defining outcomes in terms of sustainable economic, social, and environmental benefits. The Council needs to define and plan outcomes and ensure that these are sustainable. Decisions should further the Council's purpose, contribute to the intended benefits and outcomes and remain within the limits of the Council's authority and resources.		
		Corporate Equality and Health Impact Assessment guidance and requirements are in place. Equality Impact Assessments are required to be competed for all policy and strategy decisions and decision papers through Council Committees. Health Impact assessments are also required when relevant and needed.

Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes. Determining the right mix of actions is a critically important strategic choice that the Council has to make to ensure that the intended outcomes are achieved. Robust decision making mechanisms are required to ensure defined outcomes can be achieved balancing the various resource inputs whilst enabling the efficient and effective delivery services.		
Supporting Sub-Principles	Where You Should See Governance in Action	How the Council Demonstrates Good Governance and Issues Identified
Determining interventions • Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided	*Suggested Examples* • Discussion between members and officers on the information needs of members to support decision making. • Decision making protocols, including legal and financial sign off. • Option appraisals. • Agreement of information that will be provided and timescales.	Regular Chief Officers meetings with Group Leaders, in addition to Executive Member Briefings, Senior Policy Team meetings and Policy Development Sessions with Members and the Leader. Reporting templates and checklists in place for the Executive Board and Member reporting process to ensure financial, legal and equality requirements are met and provide assurance to Directors and Members prior to approval.
• Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts	• Financial strategy.	Reports on budget, robustness of budget, Medium Term Financial and Treasury Management Strategies and Pay Policy Statement considered annually at Finance Council
Planning Interventions • Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets	• Calendar of dates for developing and submitting plans and reports that are adhered to.	The Councils Corporate Plan priorities are reviewed and updated via all Executive Members / SPTs. Business planning guidance and support is provided through the Policy and Partnership Manager, six monthly performance framework and Management Accountabilities Framework monitoring arrangements in place. Timetables for Committees Business Plan Risk Register Corporate Plan

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• Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered	• Communication strategy	The Corporate Communications Work Plan acts as the corporate communication strategy, with other engagement and communications devolved to services. Key dates timeline produced and shared re 6 monthly performance reporting / challenge framework. Significant partnership register updated annually
• Considering and monitoring risks facing each partner when working collaboratively including shared risks	• Partnership framework • Risk management protocol	Risk management roles and responsibilities set out in Risk Management Strategy and Framework 2015/20. Corporate and departmental risk registers maintained and monitored.
• Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances.	• Planning protocols	
• Establishing appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured.	• KPIs have been established and approved for each service element, included in the service plans and are reported upon regularly.	Six monthly performance challenge framework in place, reported internally within departmental management teams, to challenge by Deputy Chief Executive and presented to Executive Board
• Ensuring capacity exists to generate the information required to review service quality regularly	• Reports include detailed performance results and highlight areas where corrective action is necessary.	
• Preparing budgets in accordance with organisational objectives, strategies and the medium term financial plan	• Evidence that budgets, plans and objectives are aligned	Revenue budget reporting in place. Monitoring reports to Council Forum and Finance Council. Quarterly reports to Executive Board Exception reports for below target KPIs are produced outlining the key issues and actions to improve.

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Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes. Determining the right mix of actions is a critically important strategic choice that the Council has to make to ensure that the intended outcomes are achieved. Robust decision making mechanisms are required to ensure defined outcomes can be achieved balancing the various resource inputs whilst enabling the efficient and effective delivery services.		
• Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy	• Budget guidance and protocols • Medium term financial plan • Corporate plans	Medium Term Financial Strategy prepared. Budget guidance included in Standing Financial Instructions and Constitution (Part 4 Financial Procedure Rules). Guidance will require updating to take account of the new Finance system being implemented during 2016/17. Corporate Plan 2016-2019 adopted by Policy Council The LSP developed and launched a medium term plan: "Plan for Prosperity 2014-20" which was endorsed by the Local Government Association Health and Wellbeing Board peer review team. The Plan for Prosperity is reported at least annually. The KPIs and targets were formally published and provided to attendees that attended the new brand launch event in March 2016. The Plan is reviewed annually to ensure KPIs and targets are relevant.
Optimising achievement of intended outcomes • Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints • Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term	• Feedback surveys and exit/decommissioning strategies • Changes are seen as a result • Budgeting guidance and • Protocols	Consideration of social value is built into procurement process through business case step that requires procuring officer to consider social value act implications. Guidance contained in Constitution (Financial Procedure Rules) and Standing Financial Instructions. These require updating to reflect the requirements of the new accounting system and related arrangements.

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• Ensuring the medium term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage	• Financial strategy	Reports on budget, robustness of budget, Medium Term Financial and Treasury Management Strategies and Pay Policy Statement considered annually at Finance Council
• Ensuring the achievement of 'social value' through service planning and commissioning. The Public Services (Social Value) Act 2012 states that this is "the additional benefit to the community...over and above the direct purchasing of goods, services and outcomes"	• Service plans demonstrate consideration of 'social value' • Achievement of 'social value' is monitored and reported upon	The Council approach is to buy local where possible whilst achieving value for money, to increase monies spent in the local economy. The Council has also introduced its own local living wage to enhance opportunities and wellbeing for its lowest paid employees. A corporate Social Value Strategy and Policy will be developed that defines social value for the Council and sets out the Council's commitment to this area with regard to the delivery of services, monitoring and reporting achievement.

Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it.		
The Council needs appropriate structures and leadership in place, with staff who possess the right skills, qualifications and approach to achieve the desired outcomes it has identified in the agreed timeframes. Capacity must be available to enable the Council to fulfil its mandate and arrangements in place that allow the continuous development of its capacity to respond to changes in individuals and the environment, as well as the skills and experience of its staff.		
Supporting Sub-Principles	**Where You Should See Governance in Action**	**How the Council Demonstrates Good Governance and Issues Identified**
Developing the entity's capacity • Reviewing operations, performance use of assets on a regular basis to ensure their continuing effectiveness	*Suggested examples* • Regular review of activities, outputs and planned outcomes.	The Council has a workforce strategy and details how we expect to attract, retain and develop our employees. Each strand of the workforce strategy takes account of how we plan to work as an organisation now and in the future. A Digital Vison and supporting strategies are also in place. These set out our approach to addressing the challenges of delivering technology across the organisation and ensuring that the maximum benefit is derived for the Council, its workforce, customers and partners. Departmental management teams reviewing progress of their service / team plans – 6 monthly directors exception report produced.
• Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority's resources are allocated so that outcomes are achieved effectively and efficiently	• Utilisation of research and benchmarking exercises.	Benchmarking data is also used across the Council to outline BwD position in relation to other authorities or other areas. i.e. Lancashire, north west. Departments utilise benchmarking where applicable to provide context to our Council's data.
• Recognising the benefits of partnerships and collaborative working where added value can be achieved	• Effective operation of partnerships which deliver agreed outcomes.	The LSP Prosperity Plan is owned by the sub-groups of the LSP Board. This identifies 31 KPIs along with targets. The Board meetings are open to the public, with papers published via CMIS. The LSP Board has held 3 key stakeholder events over the last 3 years with 150 stakeholder partners attending, and at each session included open Q&As to the LSP Board leadership.

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The Council needs appropriate structures and leadership in place, with staff who possess the right skills, qualifications and approach to achieve the desired outcomes it has identified in the agreed timeframes. Capacity must be available to enable the Council to fulfil its mandate and arrangements in place that allow the continuous development of its capacity to respond to changes in individuals and the environment, as well as the skills and experience of its staff.

• Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources	• Workforce plan. • Organisational development plan	
Developing the capability of the entity's leadership and other individuals • Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained	• Job descriptions • Chief Executive and leader pairings have considered how best to establish and maintain effective communication	A new leadership framework has been developed. There is a robust induction programme for elected members supported by an ongoing development programme. Regular joint management meetings to communicate and plan organisational developments. Regular business continuity exercises to build resilience. Effective communication methods e.g. Teamtalk, annual Chief Executive staff briefings. Setting Council priorities and reviewing. Documented objectives e.g. corporate plan. Working differently. Networking e.g. AGMA membership and building internal and external partnerships e.g. Growth Lancashire and collaborative working with other authorities. The Chief Executive also holds annual staff briefings for all council staff.
• Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body	• Scheme of Delegation reviewed at least annually in the light of legal and organisational changes. • Standing orders and financial regulations which are reviewed on a regular basis.	Scheme of Delegation contained with Constitution. Constitutional updates at least annually. North West Employers currently used for external member training and development as appropriate, with Member representation on the Board Constitution (Part 4) - Financial Procedure Rules and Standing Financial Instructions in place. These will require updating following the implementation of the new Finance system in 2016/17

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• Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure whereby the chief executive leads the authority in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority	Clear statement of respective roles and responsibilities and how they will be put into practice.	Members and officers roles are set out in the Constitution Part 5 – Section 3 Protocol of Member/Officer Relations The Leader and Executive Member functions are set out in Sections 13 & 14 of the Constitution
• Developing the capabilities of members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by: - ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged - ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis - ensuring personal, organisational and system wide development through shared learning, including lessons learnt from governance weaknesses both internal and external.	• Access to update courses/information briefings on new legislation • Induction and ongoing training programme for members. • Personal development plans for members and officers • For example, for members this may include the ability to: – scrutinise and challenge – recognise when outside expert advice is required – promote trust – work in partnership – lead the organisation – act as a community leader • Efficient systems and technology used for effective support. Arrangements for succession planning	Bite sized training programme in place for Members throughout the year. Mandatory training for members on areas such as data protection, child sexual exploitation and safeguarding. Technical training for members of quasi-judicial Committees. Members roles are set out in the Constitution Part 5 Section 3 Protocol of Members/Officer Relations. Job roles will be developed for Members following the completion of the Boundary Commission review of the Council to reflect the changes to the role of ward and community Councillors and the drive to embrace and improve the approach to agile working and the Council's digital first agenda. (Electoral Review Report)

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• Ensuring that there are structures in place to encourage public participation	• Residents' panels • Stakeholder forum terms of reference • Strategic partnership frameworks	The Council works with residents to work together through the innovative Your Call campaign. Consultation and engagement is carried out through services and departments, as well as other forms of specific corporate consultation exercises undertaken as required. Questions and petitions can be submitted by members of the public to appropriate Committee or Council meetings. Ward Solution Meetings are held on a regular basis to allow Members to discuss issues affecting the local community. The LSP Board meetings are open to the public, with papers published via CMIS. The LSP Board has held 3 key stakeholder events over the last 3 years.
• Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections	• Reviewing individual member performance on a regular basis taking account of their attendance and considering any training or development needs • Peer reviews	The Member bite sized training programme addresses training and development needs.
• Holding staff to account through regular performance reviews which take account of training or development needs	• Training and development plan • Staff development plans linked to appraisals • Implementing appropriate human resource policies and ensuring that they are working effectively	All employees are expected to have an annual appraisal as well as regular 121s. There is ongoing training and development available for all employees, with the recent development of an on-line solution.
• Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing	• Human resource policies	HR policies are regularly reviewed and update to reflect statutory and legislative requirements and best practice.

Principle F: Managing risks and performance through robust internal control and strong public financial management.		
Organisational and governance structures need to be in place which can sustain effective performance management arrangements that facilitate the effective and efficient delivery of planned services. Robust systems and arrangements for financial and risk management, and internal control, are essential elements for the achievement of intended outcomes. A culture and structure for scrutiny are key parts of accountable decision and policy making, and review.		
Supporting Sub-Principles	**Where You Should See Governance in Action**	**How the Council Demonstrates Good Governance and Issues Identified**
Managing risk • Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making • Implementing robust and integrated risk management arrangements and ensuring that they are working effectively. • Ensuring that responsibilities for managing individual risks are clearly allocated	*Suggested Examples* • Risk management protocol. • Risk management strategy/ policy formally approved and adopted and reviewed and updated on a regular basis. • Risk management protocol.	2015/20 Risk Management Strategy and Framework with supporting toolkit in place. Roles and responsibilities identified. Corporate and departmental risk registers maintained and monitored. Risk owners and key contacts identified.
Managing performance • Monitoring service delivery effectively including planning, specification, execution and independent post implementation review	• Performance map showing all key activities have performance measures • Benchmarking information • Cost performance (using inputs and outputs) • Calendar of dates for submitting, publishing and distributing timely reports that are adhered to	Management Accountabilities Framework Responses to inspection outcomes-improvements implemented. Filing statutory returns. 1 to 1s Appraisals Participation in CIPFA and other benchmarking exercises. Monitoring performance through regulatory bodies' e.g. monthly returns from General Register Office. Progress of Council's corporate plan is reported via Council's Executive Board. Progress on the previous corporate plan since 2012 was provided to Policy Council in December 2015 Performance reports on KPIs provide progress updates via RAG ratings and actual data. In addition those KPIs

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		that are red – below target, are also required to produce an exception report outlining key issues and actions to improve performance. Appraisals Benchmarking-AGMA and Electoral Administrators Timetables Access to information provisions Scrutiny Took Kit CMIS Annual Scrutiny Review
• Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook	• Discussion between members and officers on the information needs of members to support decision making • Publication of agendas and minutes of meetings • Agreement on the information that will be needed and timescales	The Senior Policy Team and Executive Board arrangements provide forums for robust review and challenge by Executive Members to ensure informed decision making by Directors and Executive Members. The Scrutiny process, presentation of motions and Members questions provide for democratic challenge.
• Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible (OR, for a committee system) Encouraging effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making	• The role and responsibility for scrutiny has been established and is clear. • Agenda and minutes of scrutiny meetings • Evidence of improvements as a result of scrutiny • Terms of reference • Training for members • Membership	Robust scrutiny arrangements operate with Scrutiny Committees, and an annual review of scrutiny in place. A Scrutiny toolkit is available to aid Members, which is reviewed regularly. There is an annual review of scrutiny in place. Governance and function arrangements are also reviewed annually by Members. The outcomes of Overview & Scrutiny are considered by the relevant Executive Member.

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• Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement	• Calendar of dates for submitting, publishing and distributing timely reports that are adhered to	Timetables
• Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (e.g. financial statements)	• Financial standards, budget guidance • Financial regulations and standing orders	Guidance contained in Constitution (Financial Procedure Rules) and Standing Financial Instructions.
Robust internal control • Aligning the risk management strategy and policies on internal control with achieving the objectives	• Risk management strategy • Audit plan • Audit reports	Risk Management Strategy & Framework 2015/20 Corporate Risk Register Approved Annual Internal Audit Plan Audit & Assurance reports on findings from individual reviews provided to Chief Officers. Progress on plan and summary of findings reported to Audit & Governance Committee and Annual Opinion Report produced.
• Evaluating and monitoring the authority's risk management and internal control on a regular basis	• Risk management strategy/ policy has been formally approved and adopted and is reviewed and updated on a regular basis	Risk Management Strategy & Framework 2015/20 approved by Executive Member for Resources. Audit Committee Scrutiny Finance Council Constitution Members Allowances Independent Remuneration Panel Advice & Guidance
• Ensuring effective counter fraud and anti-corruption arrangements are in place	• Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA, 2014)	Counter Fraud Strategy 2016/21 updated in 2015 to comply with Code. Action plan in place.

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• Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor	• Annual governance statement • Effective internal audit service is resourced and maintained.	Annual Governance Statement published with Annual Accounts: Accounts_and expenditure Peer review confirmed internal audit service complies with Public Sector Audit Standards requirements: PSIAS Compliance
• Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body: – provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment – that its recommendations are listened to and acted upon	• Audit committee complies with best practice. See Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA, 2013) • Terms of reference • Membership • Training	Review of compliance with guidance completed: Audit & Governance Committee Self-Assessment and Action Plan Committee Terms of Reference Committee members' skills and knowledge self-assessment carried out.
Managing data • Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data	• Data management framework and procedures • Designated data protection officer (DPO) • Data protection policies and procedures	The ISMS (Information Security Management Structure) Policy Framework) contains a set of defined Data Management frameworks and procedures and guidelines There is a designated DPO (under terms of the GDPR is the Senior Information Risk Owner (SIRO)). Additional roles of Caldicott Guardian and Information Asset Owner are allocated to Senior Officers. Data Protection Policy and procedures available on line at Data-protection Data Quality Policy in place File Checks are undertaken annually Data quality audit is undertaken annually – KPIs selected via a risk based approach

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• Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies	• Data sharing agreement. • Data sharing register. • Data processing agreements.	Data Sharing Agreements in use. Data Sharing initiatives are created on the Lancashire Information Sharing Gateway info-sharing-system and previous sharing agreements drafted prior to implementation of ISG are monitored on SharePoint Register (Internal only) data sharing agreements Data Processor agreements are utilised in conjunction with ISPs and Commissioned Services contracts and are held in a central repository.
• Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring	• Data quality procedures and reports • Data validation procedures	Information Asset Owners (IAO) are defined at Head of Service level within each service Area. Each IAO is responsible for the data they manage, including assurances relating to quality, validation and security. Assurances are given to SIRO on an annual basis within the Directors Report. Information Asset Register which includes Ownership, Responsibility, Data Flow, Security and Privacy Impact Assessment are located on a central repository on SharePoint. (Internal only)
Strong public financial management • Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance	• Financial management supports the delivery of services and transformational change as well as securing good stewardship	Medium Term Financial Strategy Annual Budget Annual Governance Statement – (Part of the Statement of Accounts) Statement of Accounts 2015.16 Annual Audit & Inspection Letter 2015.16 Constitution (Part 4) - Financial Procedure Rules Constitution (Part 4) - Contract & Procurement Procedure Rules Asset Management Strategy Corporate risk register Departmental risk register Standing Financial Instructions

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• Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls	• Budget monitoring reports	Monthly monitoring reports are considered by Executive Members at Senior Policy team meetings. Quarterly reports are presented to Executive Board

Principle G: Implementing good practices in transparency, reporting, and audit to deliver effective accountability. Those responsible for making decisions and delivering services must be answerable for them. To be effective stakeholders must be able to understand and respond as the Council plans and carried out its activities in a transparent manner.		
Supporting Sub-Principles	**Where You Should See Governance in Action**	**How the Council Demonstrates Good Governance and Issues Identified**
Implementing good practice in transparency • Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate	*Suggested Examples* • Website • Annual report	A Publication Scheme is in place Blackburn Website Corporate Plan Accounts Statement 2015.16 Public Health Report Blackburn Facts and Figures Blackburn Census Your Call Annual Report
• Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand	• Website • Annual report	Mandatory training exercise on effective report writing for decisions delivered by Democratic Services
Implementing good practices in reporting • Reporting at least annually on performance, value for money and the stewardship of its resources	• Formal annual report which includes key points raised by external scrutineers and service users' feedback on service delivery • Annual financial statements	Statement of Accounts 2015.16 Annual Audit Letter 2015.16 Performance reports on KPIs provide progress updates via RAG ratings and actual data. In addition those KPIs that are red – below target, are also required to produce an exception report outlining key issues and actions to improve performance.
• Ensuring members and senior management own the results	• Appropriate approvals	Reports are produced to executive board on performance reporting , policy performance updates are also provided via the leaders report at council forum meetings and updates are also provided to the annual policy council meeting

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• Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including an action plan for improvement and evidence to demonstrate good governance (annual governance statement)	• Annual governance statement	Annual Governance Statement (AGS) reviewed by External Audit and considered by Audit & Governance Committee prior to sign off and publication. Annual Governance Statement
• Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate	• Annual governance statement	
• Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations	• Format follows best practice	
Assurance and effective accountability • Ensuring that recommendations for corrective action made by external audit are acted upon	• Recommendations have informed positive improvement • Compliance with CIPFA's Statement on the Role of the Head of Internal Audit (2010).	Significant weaknesses identified in AGS and monitored. AGS Progress Report AGS Progress Report Appendix Performance data is provided as part of the annual finance report and – this is summarised into a summary at the beginning of the annual report
• Ensuring an effective internal audit service with direct access to members is in place which provides assurance with regard to governance arrangements and recommendations are acted upon	• Compliance with Public Sector Internal Audit Standards	Peer review of Audit & Assurance confirmed compliance with Standards. Reported to April 2016 Audit & Governance Committee.
• Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations	• Recommendations have informed positive improvement	

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• Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement	• Annual governance statement	Annual Governance Statement – (Part of the Statement of Accounts)
• Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met	• Community strategy	Last Corporate peer review was undertaken in July 2012 BwD Prosperity Plan is the community strategy for BwD – and all members of the LSP board are provided with the constitution which includes Terms of Reference , governance, code of conduct

Appendix B

Significant Governance Issue	CIPFA Criteria	Issue / Actions being taken	Responsible officer(s)
Procurement Strategy requires updating and corporate Social Value Policy requires development.	Robust policies and procedures in place which emphasise agreed ethical values. Ensuring external providers of services on behalf of the organisation are required to act with integrity and in compliance with high ethical standards expected by the organisation.	Procurement Strategy and Policy last revised in 2013. To prepare an updated Procurement Strategy and Policy and develop a corporate Social Value Policy for approval to ensure Council practises reflect current regulations and best practise.	Strategic Procurement Managers
Financial Procedure Rules and relevant Standing Financial Instructions do not reflect the changes arising from the implementation of the new Finance system.	Ensure consistency between specification stages (such as budgets) and post implementation reporting (e.g. financial statements)	Financial Procedure Rules and relevant Standing Financial Instructions require review and updating to take account of the new Finance system.	Head of Financial Services (Resources)
Ensuring Councillors have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities	Developing the capabilities of members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing	Develop and implement job roles for Members following the completion of the Boundary Commission review of the Council to reflect the changes to the role of ward and community Councillors and the drive to embrace and improve the approach to agile working and the Council's digital first agenda.	Head of Corporate Services