

TAMWORTH BOROUGH COUNCIL

CODE OF CORPORATE GOVERNANCE 2018/19

Introduction

Good Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved.

The International Framework: Good Governance in the Public Sector (CIPFA/IFAC, 2014) (the “International Framework”), 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.

Our Commitment

The Authority is committed to upholding the highest possible standards of good corporate governance, as good governance leads to high standards of management, strong performance, effective use of resources, increased public involvement and trust in the Council and ultimately good results.

Good governance flows from shared values, culture and behaviour and from sound systems and structures. This Code of Corporate Governance is a public statement which sets out the framework through which the Council meets its commitment to good corporate governance and is based on the following principles;

- Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of the law
- Ensuring openness and comprehensive stakeholder engagement
- Defining outcomes in terms of sustainable economic, social, and environmental benefits
- Determining the interventions necessary to optimise the achievement of the intended outcomes
- Developing the entity’s capacity of its leadership and the individuals within it
- Managing risks and performance through robust internal control and strong public financial management
- Implementing good practices in transparency, reporting, and audit, to deliver effective accountability

This Code describes how the Council demonstrates its commitment to these seven principles and indicates what the Council has completed to achieve the commitment. It shows our own governance structure underpinned by the principles and demonstrated how we operate effectively.

Core Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

Supporting Principle	Ensuring members and officers behave with integrity and lead culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation.
What Assurance Do We Want	Codes of Conduct Individual sign off with regard to compliance with code Induction for new members and staff on standard of behaviours expected Performance appraisals
What Assurance Do We Get	<p>There is a Members' Code of Conduct which forms part of the Constitution and is approved on an annual basis. Each member is required to sign two copies of the Code, retain one for themselves and one is held by Democratic Services. The Code of Conduct for employees is also in the Constitution. Members are required to sign up to the Code of Conduct on annual basis. The Code of Conduct for officers is issued to employees through NetConsent on an annual basis.</p> <p>There is a protocol for Member/Officer relations detailed in the Constitution.</p> <p>The Constitution details Rules of Procedures for Committee meetings. Codes and protocols are also included in the Gifts & Hospitality Policy and Register of Interests.</p> <p>Key Officers and Members are required to complete an annual disclosure regarding any related party interests as part of the annual statement of accounts process.</p> <p>There is a Corporate training matrix detailing mandatory training required for all officers.</p> <p>Members have at least one training event each year which relates to Conduct. They have access to the Monitoring Officer at all times.</p> <p>Other protocols included in the Constitution relate to Pre-Election, Member involvement in Commercial Transactions, use of Council facilities, printing and postage, Dealing with Planning Matters and Monitoring Officer Protocol.</p> <p>The Audit and Governance Committee remit includes review of Standards of Conduct for Members as required by the Localism Act 2011 – reports are produced to the Audit and Governance Committee.</p> <p>There is a Chief Officer conduct committee and a Statutory Officer conduct committee.</p> <p>There is an E-induction programme in place which is currently being reviewed.</p> <p>There is a personal development review process in place which is currently being reviewed.</p> <p>Roll out of Corporate Values and Behaviours has commenced with officers. Following the Senior Management Review, we will commence further roll out to members</p>
What is missing	<p>Review of E-induction programme is currently being completed with roll out in 2018/19(Low)</p> <p>The Personal Development Review process is currently being reviewed (Low)</p>

Supporting Principle	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).
What Assurance Do We Want	Communicating shared values with members, staff, the community and partners.
What Assurance Do We Get	<p>The Members Code of Conduct is built upon the Seven Principles of Public Life. The Code of Conduct is included in the Constitution.</p> <p>The Corporate Plan identifies that corporate values will be co-designed by employees across the organisation and customer service standards will be co-designed with service users and will be addressed by the current development of a Community Offer project and the revision of the Organisational Development Strategy.</p> <p>In addition to the activity planned for the Tamworth Listens process / State of Tamworth debate, consultation is planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made.</p> <p>The consultation is carried out through 3 online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector.</p> <p>The online residents survey is promoted using social networking/media sites and through email contact databases.</p> <p>The business survey is promoted through business social networking sites and business email contact databases. The voluntary and community sector survey is promoted through email contact databases.</p> <p>The Customer Service strategy is under review. A Customer Access Survey was completed in March 2017 to identify what can be done to improve customer service. A Customer Standards Survey was completed in March 2018.</p>
What is missing	Nothing identified

Supporting Principle	Leading by example and using these standard operating principles or values as a framework for decision making and other actions.
What Assurance Do We Want	Decision making practices Declaration of interests made at meetings Conduct at meetings Shared values guide decision making Develop and maintain an effective standards committee
What Assurance Do We Get	Rules of procedure for Committee meetings detailed in the Constitution . Report format set out to ensure key information is provided to Members to inform decision making. Declarations of interests completed at all Committee meetings and recorded on the website. Annual declarations made by members – register of Interests. Nolan principles (values) detailed with the Code of Conduct. The Audit & Governance Committee takes on the role of Standards Committee and independent members sit on the Committee for Standards matters. Monitoring Officer dedicated to member issues with early intervention and resolution practised leading to good Member/Officer relationships. The Council's commitment to equality and diversity is demonstrated in its policy and plan (2015-19)
What is missing	Nothing identified

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Supporting Principle	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.
What Assurance Do We Want	<p>Anti-fraud and corruption policies are working effectively</p> <p>Up-to-date register of interests (members and staff)</p> <p>Up-to-date register of gifts and hospitality</p> <p>Whistleblowing policies are in place and protect individuals raising concerns</p> <p>Whistleblowing policy has been made available to members of the public, employees, partners and contractors</p> <p>Complaints policy and examples of responding to complaints about behaviour</p> <p>Changes/improvements as a result of complaints received and acted upon</p> <p>Members and officers code of conduct refers to a requirement to declare interests</p> <p>Minutes show declarations of interest were sought and appropriate declarations made.</p>
<p>What Assurance Do We Get</p> <p>Page 41</p>	<p>The Counter Fraud and Corruption Policy Statement, Strategy & Guidance Notes are reviewed and updated on an annual basis. They are approved by the Audit & Governance Committee. The Policy is made available on the intranet and issued through NetConsent for staff acceptance.</p> <p>All staff and members are required to Register their interests. Members interests are made public on the website.</p> <p>Gifts and hospitality register is maintained by the Monitoring Officer. Reminders are sent to Members and Officers on the requirement to Register Gifts & Hospitality.</p> <p>The Whistleblowing Policy is reviewed and updated on an annual basis and made available on the intranet.</p> <p>The Tell Us Policy is made available on the website and details the comments, complaints and complements process. The Tell Us Policy has been reviewed and approved by Cabinet in December 2017 for adoption in April 2018 and it includes a feedback mechanism to ensure that the action is completed. Training will be completed for staff on the adoption of the new Policy.</p> <p>The Delivering Quality Services programme identifies changes to working practices through customer demand transformation.</p> <p>Codes of Conduct require members and officer to declare interests</p> <p>Committee meeting minutes detail declarations made</p> <p>Ombudsman Investigations are reported to Audit & Governance Committee.</p> <p>There is an Anti-Money Laundering Policy in place that was reviewed and approved in February 2018 by the Audit & Governance Committee.</p>
What is missing	Nothing identified

Supporting Principle	Seeking to establish, monitor and maintain the organisation's ethical standards and performance
What Assurance Do We Want	Scrutiny of ethical decision making Championing ethical compliance at governing body level
What Assurance Do We Get	<p>The Council has in place three Scrutiny Committees –Corporate, Health & Wellbeing and Infrastructure, Safety & Growth which provide effective scrutiny to the achievement of the strategic priorities. The Scrutiny Committees join together to scrutinise the Budget.</p> <p>The Scrutiny Committees have the right to “call in” decisions made by the Executive. The Scrutiny Committees make use of the Forward Plan to shape projects and improve accountability and decision making. The Scrutiny Committee function is currently being reviewed for effectiveness by the Constitution Working Group.</p> <p>Agendas and minutes for the Scrutiny Committees are made available on the Council's website and reported to the Full Council.</p> <p>Each chair of the Scrutiny Committee reports annually to Full Council.</p> <p>There is an Audit and Governance Committee with the roles as required by the CIPFA/Solace framework (as well as the Standards function).</p> <p>The Constitution Working Group meets at the beginning of each year to discuss the Constitution and focuses on the Scrutiny function,</p> <p>The Deputy leader of the Council and Portfolio holder for Assets & Finance is the Governance lead in the Authority.</p> <p>Roll out of Corporate Values and Behaviours has commenced with officers. Following the Senior Management Review, we will commence further roll out to members</p>
What is missing	On-going review of the effectiveness/process of the Scrutiny Committees More co-ordinated approach required. Training for members to improve effectiveness (Medium)

Supporting Principle	Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation
What Assurance Do We Want	Provision of ethical awareness training
What Assurance Do We Get	<p>Members receive induction training which covers expected behaviours and ethics. Complaints received about Members Conduct are administered by the Monitoring Officer. Following the Localism Act, the Standards Committee has been abolished. Issues in relation to Members Standards of Conduct are now operated in terms of the Localism Act 2011. A Code of Practice approved by Council is in place which outlines the process to be followed in relation to complaints of members conduct. It also provides the procedure for complaints that are to be dealt with by the Audit & Governance Committee. Two independent persons have been appointed and provided with training on the function.</p> <p>Training is provided on a periodic basis for:</p> <ul style="list-style-type: none"> Equalities (MERIT); Situational awareness / HAT; Customer Service; RESPECT <p>Roll out of Corporate Values and Behaviours has commenced with officers. Following the Senior Management Review, we will commence further roll out to members</p>
What is missing	Nothing identified
Supporting Principle	Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values.
What Assurance Do We Want	<p>Appraisal processes take account of values and ethical behaviour</p> <p>Staff appointments policy</p> <p>Procurement policy</p>
What Assurance Do We Get	<p>PDR's take into account corporate priorities. The PDR process identifies training needs required by the officer for continued professional development and in order to deliver the vision and priorities of the Authority. New and vacant post procedure in place.</p> <p>Recruitment processes are carried out by trained officers.</p> <p>Procurement Policy in place which requires compliance standards that apply to procurement, including:</p> <ul style="list-style-type: none"> • Compliance with National and European legislation; all procurement will be undertaken in accordance with UK and European statutes and regulations; • Financial regulations external and internal; all procurement will be undertaken in accordance with the

<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 4</p>	<p>Council's Standing Orders and Financial Regulations;</p> <ul style="list-style-type: none"> • Health & Safety standards; • Environmental Impact and Sustainability; the Council will aim to procure from suppliers and to use goods and services which have the least impact on the environment and minimise energy consumption whilst maintaining quality and value for money; • Equality and Diversity – the Council is committed to eliminating inequalities in all areas of activity including procurement, and the procurement process will not discriminate on the grounds of age, disability, gender, race, religion or sexuality; • Safeguarding Children & Adults at Risk of Abuse & Neglect standards <p>Social Value is included within the Procurement Strategy which requires Officers to consider social value issues in the procurement of major works or services i.e. impact on local labour, local economy/businesses, apprenticeships etc.</p> <p>Under the requirements of the Modern Slavery Act 2015, suitability questionnaires for tenderers need to be completed to ensure that the commercial organisations confirm that they are compliant with the annual reporting requirements contained with Section 54 (transparency in supply chains etc) of the Act.</p>
<p>What is missing</p>	<p>Nothing identified</p>
<p>Supporting Principle</p>	<p>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.</p>
<p>What Assurance Do We Want</p>	<p>Agreed values in partnership working:</p> <ul style="list-style-type: none"> - Statement of business ethics communicates commitment to ethical values to external suppliers - Ethical values feature in contracts with external service providers <p>Protocols for partnership working</p>
<p>What Assurance Do We Get</p>	<p>Conditions of contract for provision of service details bribery and corruption. This is available on the website Partnership Guidance Policy and toolkit in place</p> <p>This is designed to help the Council work with its partners to ensure that all partnerships have good systems of governance. We define governance as the processes, procedures and policies that deal with important issues like accountability, probity and audit. It is crucial that all members of partnerships should conform to codes of practice for the good of all involved. The toolkit ensures that:</p>

	<p>The Council is clear about its purpose and can clearly define its expected outcomes for the people of Tamworth when entering into partnerships; The Council's own agreed priorities and objectives are being met; There is clarity about accountability and responsibility for outcomes; Partnership activity and outcomes are monitored, reviewed and evaluated; Risks for the Council and for the Partnership are assessed and agreed; Each Partnership has a clear focus during its lifetime and has in place an effective exit strategy; Partnerships are empowered and their legal status understood; Reviews are undertaken to evaluate success and promote progression and improved effectiveness. The Seven Principles of Public Life are detailed within the Counter Fraud & Corruption Policy Statement, Strategy & Guidance Notes which has been issued to staff through NetConsent. They are also detailed in the Members Code of Conduct.</p>
What is missing	Nothing identified

Supporting Principle	Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations.
What Assurance Do We Want	Statutory provisions Statutory guidance is followed Constitution
What Assurance Do We Get	The Solicitor to the Council provides legal advice to the Authority and has access to additional Legal support from neighbouring authorities and private practice. . Monitoring Officer and Section 151 Officer roles in place – review key decisions for legal and financial compliance. Legal updates from officers regarding changes to legislation, regulations, codes of practice, etc. are provided Statutory guidance is followed by all departments. The Constitution, which includes the Scheme of Delegation to Officers is reviewed and approved annually by Full Council. Any substantial amendments required are approved by the Full Council.
What is missing	Nothing identified
Supporting Principle	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.
What Assurance Do We Want	Job descriptions/specifications Compliance with the CIPFA Statement on the Role of the Chief Finance Officer in Local Government (2015) Terms of reference Committee support
What Assurance Do We Get	Job descriptions and personal specifications in place Compliance with the CIPFA Statement on the Role of the Chief Finance Officer in Local Government Statutory officers terms of reference detailed with the Constitution Democratic support provided for Committee including a Scrutiny Officer to support Members.
What is missing	Nothing identified

Supporting Principle	Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders
What Assurance Do We Want	Record of legal advice provided by officers
What Assurance Do We Get	<p>Details of legal advice provided to officers is maintained where appropriate and an electronic file created. Officers have the relevant training in their service sector appropriate to their position to ensure advice provided to citizens is correct, relevant and accurate.</p> <p>Committee reports require legal and risk implications to be identified as part of the decision making process. All Cabinet Reports are approved by the Monitoring Officer and the S151 Officer.</p>
What is missing	Nothing identified
Supporting Principle	Dealing with breaches of legal and regulatory provisions effectively
What Assurance Do We Want	<p>Monitoring officer provisions</p> <p>Record of legal advice provided by officers</p> <p>Statutory provisions</p>
What Assurance Do We Get	<p>The Solicitor to the Council is responsible for the legal operation of the Council. The post holder is also the designated Monitoring Officer for member issues. Committee reports require legal and risk implications to be identified as part of the decision making process.</p> <p>Statutory provisions are followed and preserved</p>
What is missing	Nothing identified

Supporting Principle	Ensuring corruption and misuse of power are dealt with effectively.
What Assurance Do We Want	Effective anti-fraud and corruption policies and procedures Local test of assurance (where appropriate)
What Assurance Do We Get	<p>The Counter Fraud and Corruption Policy Statement, Strategy and & Guidance Notes are reviewed and updated on annual basis and approved by the Audit & Governance Committee. The document is made available on the Authority's website and the Intranet and has been issued to staff through NetConsent (Policy acceptance system)</p> <p>The Whistleblowing Policy is approved on an annual basis by the Audit & Governance Committee and made available on the Authority's website and the intranet.</p> <p>Managers are required to complete annual assurance statements to confirm compliance or otherwise with laid down expected principles and policy.</p>
What is missing	Nothing identified

Core Principle B: Ensuring openness and comprehensive stakeholder engagement

Supporting Principle	Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness
What Assurance Do We Want	Annual report Freedom of Information Act publication scheme Online council tax information Authority's goals and values Authority website
What Assurance Do We Get	<p>The Corporate Plan is published on the website</p> <p>There is a publication scheme in place. FOI disclosures are recorded on the website.</p> <p>On-line Council Tax information is made available – as well as published financial information in line with the Transparency Code of Practice (Accounts, budget, pay Policy etc.)</p> <p>The Authority's goals and values are detailed in the performance information and Corporate Plan.</p> <p>The share vision "One Tamworth, Perfectly Placed" – Open for business since the 7th Century A.D. and corporate priorities have been developed with our partner organisations so that the strategic priorities of all organisations are more closely aligned to the needs of the community based upon the most recent data and intelligence provided by each organisation. In addition, the views of Tamworth residents helped shape the priorities. During 2015/16, the vision and corporate priorities and objectives were reviewed and updated to give the Authority direction and focus and refreshed in 2018/19.</p> <p>Each service area develops a business plan with outcomes, and performance indicators linked to the vision and priorities.</p> <p>The website is fully functional and has available information to aid citizens.</p>
What is missing	Nothing identified

Supporting Principle	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.
What Assurance Do We Want	Record of decision making and supporting materials
What Assurance Do We Get	<p>The Forward Plan is maintained for all key decisions and follows the access to information rules and regulations regarding publication and notice.</p> <p>All agenda items (reports) are made available on the website 5 working days prior to the meeting. Minutes are published on the website;</p> <p>All reports identify restrictions on publication;</p> <p>An Annual Report from the Leader of the Council detailing any reports that have not met the required notice is made in accordance with the Access to Information Regulations; and</p> <p>The budget process aims to be open and transparent with an initial Process Plan approved in July, detailed base budget in November and Policy changes to arrive at the following years budget approved in February. Appropriate action is taken and relevant Notices published in terms of the access to information rules and regulations when urgent items and private items are considered</p>
What is missing	Nothing identified
Supporting Principle	Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rational and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear.
What Assurance Do We Want	<p>Decision making protocols</p> <p>Report pro-formas</p> <p>Record of professional advice in reaching decisions</p> <p>Meeting reports show detail of advice given</p> <p>Discussions between members and officers on the information needs of members to support decision making</p> <p>Agreement on the information that will be provided and timescales</p> <p>Calendar of dates for submitting, publishing and distributing timely reports is adhered to</p>
What Assurance Do We Get	<p>All decisions are made in accordance with the protocol as per the Constitution</p> <p>Report formats are set on ModGov including key information to make informed decisions</p> <p>The report author is noted on the report and is normally an officer.</p> <p>Reports require legal and financial sign off.</p> <p>Portfolio holders / Cabinet are required to sign off the reports before publication / consideration – following</p>

	<p>discussions / agreement.</p> <p>A Forward Plan is produced detailing the key decisions that will be made over the following one to four months. The forward plan is published on a regular basis and at least monthly.</p> <p>A calendar of meetings is published annually.</p> <p>All Agendas and Minutes of meetings are published in accordance with statutory requirements</p>
What is missing	Nothing identified
Supporting Principle	Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/course of action.
What Assurance Do We Want	<p>Community strategy</p> <p>Use of consultation feedback</p> <p>Citizen survey</p>
What Assurance Do We Get	<p>The Tamworth Strategic Partnership (TSP) brings together key local organisations from the public, private, voluntary and community sectors. All organisations work together to address the often complicated challenges needed to improve the quality of life for Tamworth communities.</p> <p>The partnership provides a platform to discuss, debate and progress issues and it is structured to deliver our Vision and Priorities for Tamworth. The TSP also works to the Tamworth Strategic Plan.</p> <p>A review of the TSP has been undertaken and the outcomes will be implemented later in the current financial year including the development of a new multi-agency Partnership Plan</p> <p>Various consultations exercises are completed throughout the year. Details of the consultations are made available on the website and the results are published.</p> <p>Citizens panel in place.</p> <p>As part of the Tamworth Listens process – a Tamworth Question Time event takes place which a panel of local leaders attend and members of the public can ask questions. These are then fed into the State of Tamworth Debate</p> <p>In addition to the activity planned for the Tamworth Listens process / State of Tamworth debate, consultation is planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made.</p> <p>The consultation is carried out through 3 online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector.</p> <p>The online residents survey is promoted using social networking/media sites and through email contact databases.</p> <p>The business survey is promoted through business social networking sites and business email contact databases. The voluntary and community sector survey is promoted through email contact databases.</p> <p>The Customer Service Strategy is under review. A Customer Access Survey was completed in March 2017</p>

	<p>to identify what can be done to improve customer services and A Customer Standards Survey was completed in March 2018.</p> <p>Social media channels are being used to encourage more participation.</p> <p>There is a Tenant Involvement Strategy in place and various forms of tenant involvement takes place throughout the year.</p> <p>Statement of Community Involvement in place for the Local Plan.</p> <p>There is a Community Safety Website for the Community Safety Partnership</p>
What is missing	Nothing identified

Supporting Principle	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
What Assurance Do We Want	Communication strategy
What Assurance Do We Get	Tenant Involvement and Consultation Strategy in place in Housing Communication Strategy currently being reviewed Partnership Guidance Policy and Toolkit in place This is designed to help the Council work with its partners to ensure that all partnerships have good systems of governance. We define governance as the processes, procedures and policies that deal with important issues like accountability, probity and audit. It is crucial that all members of partnerships should conform to codes of practice for the good of all involved.
What is missing	Communication Strategy currently being reviewed (Medium)
Supporting Principle	Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively.
What Assurance Do We Want	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
What Assurance Do We Get	There is a citizen's panel in place and citizens can join the panel at any time. The panel is actively encouraged to take part in consultation exercises throughout the year. Partnership Guidance Policy and Toolkit in place This is designed to help the Council work with its partners to ensure that all partnerships have good systems of governance. We define governance as the processes, procedures and policies that deal with important issues like accountability, probity and audit. It is crucial that all members of partnerships should conform to codes of practice for the good of all involved.
What is missing	Nothing identified

Supporting Principle	Ensuring that partnerships are based on: <ul style="list-style-type: none"> - 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
What Assurance Do We Want	Partnership framework Partnership protocols
What Assurance Do We Get	Memorandum of Understanding in place with Lichfield District Council for the provision of shared services. Tamworth Strategic Partnership in place Local Enterprise Partnership Combined Authority Partnership Guidance Policy and Toolkit in place This is designed to help the Council work with its partners to ensure that all partnerships have good systems of governance. We define governance as the processes, procedures and policies that deal with important issues like accountability, probity and audit. It is crucial that all members of partnerships should conform to codes of practice for the good of all involved.
What is missing	Nothing identified
Supporting Principle	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
What Assurance Do We Want	Record of public consultations Partnership framework
What Assurance Do We Get	Results of Public consultations are made available on the website. Tamworth Strategic Partnership Partnership Guidance Policy and Toolkit in place This is designed to help the Council work with its partners to ensure that all partnerships have good systems of governance. We define governance as the processes, procedures and policies that deal with important issues like accountability, probity and audit. It is crucial that all members of partnerships should conform to codes of practice for the good of all involved.
What is missing	Nothing identified

Supporting Principle	Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement
What Assurance Do We Want	Communications strategy
What Assurance Do We Get	<p>The Tamworth Strategic Partnership (TSP) brings together key local organisations from the public, private, voluntary and community sectors. All the organisation's work together to address the often complicated challenges needed to improve the quality of life for Tamworth communities.</p> <p>The partnership provides a platform to discuss, debate and progress issues and it is structured to deliver our Vision and Priorities for Tamworth. The TSP also works to the Tamworth Strategic Plan</p> <p>Various consultations exercises are completed throughout the year. Details of the consultations are made available on the website and the results are published.</p> <p>There is a citizen's panel in place and citizens can join the panel at any time. The panel is actively encouraged to take part in consultation exercises throughout the year.</p> <p>Tamworth Question Time event – an annual event which a panel of local leaders attend and members of the public can ask questions. These are then fed into the State of Tamworth Debate</p> <p>In addition to the activity planned for the Tamworth Listens process / State of Tamworth debate, consultation is planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made.</p> <p>The consultation is carried out through 3 online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector.</p> <p>The online residents survey is promoted using social networking/media sites and through email contact databases.</p> <p>The business survey is promoted through business social networking sites and business email contact databases. The voluntary and community sector survey is promoted through email contact databases.</p> <p>The Customer Service strategy is under review. A Customer Access Survey was completed in March 2017 to identify what can be done to improve customer service and a Customer Standards Survey was completed in March 2018.</p> <p>Social media channels are being used to encourage more participation.</p> <p>There is a Tenant Involvement Strategy in place and various forms of tenant involvement takes place throughout the year.</p> <p>Statement of Community Involvement in place for the Local Plan.</p>
What is missing	Nothing identified

Supporting Principle	Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs.
What Assurance Do We Want	Communications strategy Joint strategic needs assessment
What Assurance Do We Get	<p>There is a citizen's panel in place and members are invited to take part in surveys. Typically, those citizens that will contribute to the survey are from the older generation.</p> <p>The Tamworth Strategic Partnership (TSP) brings together key local organisations from the public, private, voluntary and community sectors. All organisations work together to address the often complicated challenges needed to improve the quality of life for Tamworth communities.</p> <p>The partnership provides a platform to discuss, debate and progress issues and it is structured to deliver our Vision and Priorities for Tamworth. The TSP also works to the Tamworth Strategic Plan</p> <p>Various consultations exercises are completed throughout the year. Details of the consultations are made available on the website and the results are published.</p> <p>Citizens panel in place.</p> <p>Tamworth Question Time event – an annual event which a panel of local leaders attend and members of the public can ask questions. These are then fed into the State of Tamworth Debate which discussed securing services for future generations</p> <p>In addition to the activity planned for the Tamworth Listens process / State of Tamworth debate, consultation is planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made.</p> <p>The consultation is carried out through 3 online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector.</p> <p>The online residents survey is promoted using social networking/media sites and through email contact databases.</p> <p>The business survey is promoted through business social networking sites and business email contact databases. The voluntary and community sector survey is promoted through email contact databases.</p> <p>The Customer Service strategy is under review. A Customer Access Survey was completed in March 2017 to identify what can be done to improve customer service and a Customer Standards Survey was completed in March 2018.</p> <p>Social media channels are being used to encourage more participation.</p> <p>There is a Tenant Involvement Strategy in place and various forms of tenant involvement takes place throughout the year.</p> <p>Statement of Community Involvement in place for the Local Plan.</p>

	Tamworth Listens annual event (currently being reviewed for this year) Tamworth Community Offer (RB)
What is missing	Nothing identified
Supporting Principle	Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account
What Assurance Do We Want	Communications strategy
What Assurance Do We Get	<p>The Tamworth Strategic Partnership (TSP) brings together key local organisations from the public, private, voluntary and community sectors. All the organisations work together to address the often complicated challenges needed to improve the quality of life for Tamworth communities.</p> <p>The partnership provides a platform to discuss, debate and progress issues and it is structured to deliver our Vision and Priorities for Tamworth. The TSP also works to the Tamworth Strategic Plan</p> <p>Various consultations exercises are completed throughout the year. Details of the consultations are made available on the website and the results are published.</p> <p>Citizens panel in place.</p> <p>Tamworth Question Time event – an annual event which a panel of local leaders attend and members of the public can ask questions. These are then fed into the State of Tamworth Debate</p> <p>In addition to the activity planned for the Tamworth Listens process / State of Tamworth debate, consultation is planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made.</p> <p>The consultation is carried out through 3 online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector.</p> <p>The online residents survey is promoted using social networking/media sites and through email contact databases.</p> <p>The business survey is promoted through business social networking sites and business email contact databases. The voluntary and community sector survey is promoted through email contact databases.</p> <p>The Customer Service strategy is under review. A Customer Access Survey was completed in March 2017 to identify what can be done to improve customer service and a Customer Standards Survey was completed in March 2018.</p> <p>Social media channels as well as e-enabled services are being used to encourage more participation.</p> <p>There is a Tenant Involvement Strategy in place and various forms of tenant involvement takes place throughout the year.</p> <p>Statement of Community Involvement in place for the Local Plan.</p>
What is missing	Nothing identified

Supporting Principle	Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity
What Assurance Do We Want	Processes for dealing with competing demands within the community, for example a consultation
What Assurance Do We Get	Tamworth Listens includes consultation with residents, businesses, and the voluntary sector (including budget consultation). Promotion of the consultation exercise is completed through press releases, active promotion on the website, and through social media. The citizens panel are invited and businesses and the voluntary sector are emailed to encourage them to participate. The majority of the responses came from residents and were over representative of the over 55 age group.
What is missing	
Supporting Principle	Taking accounts of the interests of future generations of tax payers and service users
What Assurance Do We Want	Reports Joint strategic needs assessment
What Assurance Do We Get Age 58	Citizens panel in place. Tamworth Question Time event – an annual event which a panel of local leaders attend and members of the public can ask questions. These are then fed into the State of Tamworth Debate In addition to the activity planned for the Tamworth Listens process / State of Tamworth debate, consultation is planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made. The consultation is carried out through 3 online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector. The online residents survey is promoted using social networking/media sites and through email contact databases. The business survey is promoted through business social networking sites and business email contact databases. The voluntary and community sector survey is promoted through email contact databases. The Council is working closely with partners as part of the Children, Families and Vulnerable People review to share and analyse key data with the aim to develop shared priorities for the development of Early Help approaches.
What is missing	Nothing identified

Core Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits

Supporting Principle	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
What Assurance Do We Want	Vision used as a basis for corporate and service planning
What Assurance Do We Get	<p>The strategic framework is designed to ensure that the Authority is an “outcome focused”, efficient corporate identity where customers are key. It sets out our vision “One Tamworth, Perfectly Placed” – Open for business since 7th Century A.D. and three strategic priorities aligned under “Living, Growing and Delivering in Tamworth”</p> <ul style="list-style-type: none"> • Living a quality life in Tamworth • Growing strong together in Tamworth • Delivering quality services in Tamworth <p>These priorities are underpinned by specific objectives, our core purpose, customer service standards and corporate values details which can be found in the Corporate Plan.</p> <p>As detailed above, one of the three revised Corporate Priorities that will enable us to deliver the vision is ‘Delivering Quality Services in Tamworth’. This priority will be delivered primarily through a programme that will bring about the biggest change in the delivery of customer services that the authority has seen. Running alongside the changes in customer services, work has begun on Tranche II of Agile working. These two projects are being delivered as part of a corporate Continual Improvement Programme (previously the Corporate Change Programme).</p> <p>From talking and listening to our customers, and from capturing the demand placed on our services we know that:</p> <ul style="list-style-type: none"> • we need to change the way we deliver customer services • customers want to access our services in a variety of ways and at a time and place that suits them • we have inconsistencies in the levels and types of service we provide to our customers • some of our high demand services are costly to deliver and we need to make them more efficient • we do not have a clear picture of the demand our customers place on us – what we do know is that customers rarely come in with one single request, invariably they have multiple requests for service in their ‘shopping basket’. <p>During the financial year, the “My Staffs” app was launched, providing people with another way to access council services on the move and a time to suit them.</p>

Almost 1.5k customers use the MyStaffs app which allows customers to obtain information about Tamworth Borough Council and Staffordshire County Council all in the same place.

The Webchat service was also launched, so that anyone with an enquiry about a TBC service can get in touch with the Council through the new “chat” window on the website.

The project identified Council Tax, Housing Benefits & Housing enquiries as the priority areas to focus when developing processes on the CRM to ensure the most effective processes are transferred and ensure improvements in customer services delivery.

We will work with our partners through facilitation and challenge, to improve the customer experience especially where the Authority is not the direct provider.

The Authority has seen an incremental shift away from the “command and control” top down management style and culture to one of a fully empowered organisation with clear lines of responsibility and accountability leading to a more outcome focused, customer driven and efficient way of working. The use of efficiency models and demand management techniques has resulted in the Authority becoming a multi-economy or hybrid organisation.

The Authority continues to work with others by using alternative delivery models for service provision. A Memorandum of Understanding has been adopted with Lichfield District Council to replace an existing informal arrangement for options of pursuing shared service arrangement with each other.

Every year, the Authority undertakes [consultation](#) with local people on a wide range of issues. During 2017/18, [consultation](#) was completed on the budget, Local Council Tax Reduction Scheme, Locally Important Heritage Assets (local list) and consultation on the Review of Parliamentary Constituency boundaries

[“Tamworth Listens”](#) is another consultation exercise of which the results feed into the [“State of Tamworth Debate”](#). The consultation exercise for the 2017/18 budget process was completed to gauge residents’, business and other core stakeholders’ views on the Council’s priorities to achieve the “Vision” considering areas of spending or where savings could be potentially be made. As part of this consultation exercise, a question time event was held for residents to attend and ask questions.

There are dedicated [Business Advice](#) and [Visit Tamworth](#) websites.

In terms of the Councils own housing stock and in compliance with the regulatory framework members have approved a regulatory framework ensuring tenants are plugged into the democratic process and have the opportunity to inform, share and influence key strategic decisions

There is a [Tenant Involvement and Consultation Strategy](#) in place and tenants are regularly consulted regarding the decisions which affect the management and maintenance of their homes. During 2018 tenants will be involved in a review of the Housing Revenue Account business plan via the Tenant Consultative

group. As part of the Tenant participation, there are formal groups for [Tenant Consultation](#) and Tenant Involvement and several informal groups in place. [Open House](#) is now communicated by way of an e-newsletter on a bi-monthly basis. It is still advertised on our website and will be available on request as a hard copy. A small number of hard copies will be made available in prominent places i.e. reception/TIC etc and a small number delivered to the 11 Housing Sheltered schemes around the Borough.

The [Vision](#) is used as a basis for the Corporate Plan and service delivery plans which are reviewed on an annual basis.

There is a Communication Strategy which details the way that the Authority communicates with the local community to better informed regarding their needs and aspirations.

The [Tamworth Strategic Partnership](#) (TSP) is an umbrella partnership that brings together key local agencies from the public, private, voluntary and community sectors. The TSP has terms of reference, vision and priorities, workstreams, a commissioning framework. Agenda and minutes are made available on the Authority's website.

The Authority produces an Annual Review and [Corporate Plan](#). Performance against the Corporate Plan is reported on a quarterly basis. The [Statement of Accounts](#) and the [Annual Audit Report](#) are made available on the website.

The budget setting process has faced significant constraints in Government funding in recent years - over 50% in real terms since 2010. The 4 year Local Government Finance Settlement confirmed that austerity measures are to continue with Revenue Support Grant (RSG) all but eradicated for most Councils by 2020 – and suggests that the key challenges that the Council is currently addressing are likely to become greater.

The Council has also adopted a route-map designed to position the Council so it could be Perfectly Placed to take advantage of every opportunity it either created or identified.

“From Surviving To Thriving” set out a number of opportunities based upon the principle that by focusing upon the growth of the economy, both the “people” and the “place” would benefit. The Council remains committed to promoting and stimulating economic growth and regeneration; meeting our housing needs; creating a vibrant town centre economy and protecting those most vulnerable in our communities. To this end, we pledge to explore and invest in viable and sustainable methods of generating income and moving towards financial independence.

The Sustainability Strategy delivered more than just ‘big ticket’ efficiencies, it brought about changes to working models, cultures and processes – Agile Working; Demand Management; Joint Working; Shared Services; Locality Delivery/ Commissioning all contributed to our journey.

The adoption of ‘Demand Management’ as the primary operating model and the targeting of resources via locality based commissioning and delivery has enabled greater effectiveness in service delivery as evidenced by customer satisfaction, award winning services and of course, the management of the Council’s finances.

Through its implementation, the Council will have far greater control upon the alignment of services or ‘supply’ to the increased needs and expectations of the public or ‘demand’.

Key to this will be the application of existing and new technology to capture, collate and analyse customer insight, intelligence and data so as to understand not just the ‘need’ but the cause, behaviours or decisions creating the need.

Then by the application of locality based commissioning for example, it can commission services that either intervene or prevent future need thereby reducing demand. The report entitled ‘**Creating Opportunities from an Uncertain Future**’ is available to all Members and is available to the public.

In summary, by adopting the model, supporting its implementation and measuring its progress, it will enable the Council to achieve its Vision and Priorities and fulfil its obligations.

- We will target resources upon those in most need and those most vulnerable.
- We will commission services that will both intervene/prevent future demand and reduce levels of vulnerability.
- We will, as a consequence, meet the Council’s stated intention to ensure that the vulnerable are a priority (Motion to Council on 26th November, 2014 refers).

This approach will change the organisation and how it works; will require Members to take difficult decisions and adhere to them; will involve managed risks and will sustain essential services critical in supporting the most vulnerable in our communities at a time when demand is increasing and resources reducing.

What is missing

Nothing identified

Supporting Principle	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
What Assurance Do We Want	Community engagement and involvement Corporate and service plans Community strategy
What Assurance Do We Get	<p>Every year, the Authority undertakes consultation with local people on a wide range of issues. During 2017/18, consultation was completed on the budget, Local Council Tax Reduction Scheme, Locally important heritage assets (Local List) and the Consultation on the review of parliamentary constituency boundaries. .</p> <p>“Tamworth Listens” is another consultation exercise of which the results feed into the “State of Tamworth Debate”. The consultation exercise for the 2017/18 budget process was completed to gauge residents’, business and other core stakeholders’ views on the Council’s priorities to achieve the “Vision” considering areas of spending or where savings could be potentially be made. As part of this consultation exercise, a question time event was held for residents to attend and ask questions.</p> <p>There are dedicated Business Advice and Visit Tamworth websites.</p> <p>In terms of the Councils own housing stock and in compliance with the regulatory framework members have approved a regulatory framework ensuring tenants are plugged into the democratic process and have the opportunity to inform, share and influence key strategic decisions</p> <p>There is a Tenant Involvement and Consultation Strategy in place and tenants are regularly consulted regarding the decisions which affect the management and maintenance of their homes. During 2018 tenants will be involved in a review of the Housing Revenue Account business plan via the Tenant Consultative group. As part of the Tenant participation, there are formal groups for Tenant Consultation and Tenant Involvement and several informal groups in place. Open House is now communicated by way of an e-newsletter on a bi-monthly basis. It is still advertised on our website and will be available on request as a hard copy. A small number of hard copies will be made available in prominent places i.e. reception/TIC etc and a small number delivered to the 11 Housing Sheltered schemes around the Borough.</p> <p>The Vision is used as a basis for the Corporate Plan and service delivery plans which are reviewed on an annual basis.</p> <p>There is a Communication Strategy which details the way that the Authority communicates with the local community to better informed regarding their needs and aspirations.</p> <p>The Tamworth Strategic Partnership (TSP) is an umbrella partnership that brings together key local agencies from the public, private, voluntary and community sectors. The TSP has terms of reference, vision and priorities, workstreams, a commissioning framework. Agenda and minutes are made available on the Authority’s website.</p> <p>The Authority produces a Corporate Plan. Performance against the Corporate Plan is reported on a quarterly basis. The Statement of Accounts and the Annual Audit Report are made available on the website.</p>

	Corporate and service plans are reviewed and updated annually. They include actions to be completed
What is missing	Nothing identified
Supporting Principle	Delivering defined outcomes on a sustainable basis within the resources that will be available
What Assurance Do We Want	Regular reports on progress
What Assurance Do We Get	<p>The quarterly performance report details performance indicators, collections rates, an update on the sustainability strategy, progress against the corporate plan and the corporate risk register. The performance report is reported quarterly to Cabinet.</p> <p>The Authority has in place a Tell Us scheme which provides an avenues for service users to provide feedback on the services provided. This can either be in the form of comments, compliments or complaints. Guidance available about complaints refers to referrals to the Ombudsman. Guidance is made available to members of the public if they wish to make a complaint against a member of the Council. Complaints against members of the Council are dealt with by the Monitoring Officer in the first instance and ultimately reported to the Audit & Governance Committee.</p> <p>The Customer Service strategy is under review. A Customer Access Survey was completed in March 2017 to identify what can be done to improve customer services and a Customer Standards Survey was completed in March 2018.</p> <p>One of the three revised corporate priorities that will enable us to deliver the vision is “Delivering Quality Services in Tamworth”. This priority will be delivered primarily through the on-going project that will bring about the biggest change in the delivery of customer services.</p>
What is missing	Nothing identified

Supporting Principle	Identifying and managing risks to the achievement of outcomes
What Assurance Do We Want	Performance trends are established and reported upon Risk management protocols
What Assurance Do We Get	Performance trends are reported in the quarterly performance report. Risks are identified at a corporate and operational level and are monitored on a regular basis in line with the Risk Management Policy. The Corporate Risk Register is reported to the Audit & Governance Committee on a quarterly basis. The annual audit plan is developed around the audit risk assessment and through consultation with members of the Corporate Management Team who identify emerging risks within their service areas.
What is missing	Nothing identified
Supporting Principle	Managing service users expectations effectively with regard to determining priorities and making the best use of the resources available
What Assurance Do We Want	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
What Assurance Do We Get	Each service plan has actions plans and performance indicators. Corporate plan actions aligned to the strategic priorities have action plans in place which are updated on a quarterly basis. The council has implemented a Demand Management model which aims to eliminate waste in processes The Quarterly Performance Report is reviewed by Corporate Scrutiny each quarter prior to being approved by Cabinet
What is missing	Nothing identified

Supporting Principle	Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision
What Assurance Do We Want	Capital investment is structured to achieve appropriate life spans and adaptability for future use or that resources (eg land) are spent on optimising social, economic and environmental wellbeing: <ul style="list-style-type: none"> - Capital programme - Capital investment strategy
What Assurance Do We Get	There is a 3 year capital programme in place which identifies capital spend and financing. The Capital Investment Strategy, Capital process guidance, full capital appraisal forms and outline capital bid forms are available on the intranet. Business plans are informed by Corporate Plan and take into account PEST impacts.
What is missing	Nothing identified
Supporting Principle	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
What Assurance Do We Want	Discussion between members and officers on the information needs of members to support decision making Record of decision making and support materials
What Assurance Do We Get	Full reports are prepared by officers and members. Portfolio Holders can discuss any issues prior to the committee meeting with the relevant officer. The Council publishes a Forward Plan which provides detail of all upcoming key decisions. Scrutiny Committees are encouraged to utilise the Forward Plan to inform their decision making process and can Call In any decisions for further scrutiny. All agenda items and minutes are available on the website with the exception of restricted agenda items. The Local Authorities (Executive Arrangements) (Meeting and Access to Information) Regulations 2012 requires that the Leader of the Council makes one report annually to the authority to include particulars of each urgent executive decision made and a summary of matters in respect of which each decision was made. For the period 1 st May 2016 to 30 th April 2017, the Leader of the Council reported that no such decisions had been taken by the Executive under Regulation 11, cases of special urgency. Resource and Legal/Risk implications are identified in Committee reports
What is missing	Nothing identified

Supporting Principle	Determining the wider public interest associated with balance conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs.
What Assurance Do We Want	Record of decision making and supporting materials Protocols for consultation
What Assurance Do We Get	All Committee decisions are recorded in the minutes. Minutes and agendas are made available on the website. Where Officers have made decisions which require approval by Portfolio holders, these are made available on the website. All consultation undertaken is made available on the website so that citizens can participate. Budget consultation protocol approved annually by Cabinet. Community Impact Assessments completed for all strategies, policies and procedures Equality and Diversity Scheme and supporting action plan
What is missing	Nothing identified
Supporting Principle	Ensuring fair access to services
What Assurance Do We Want	Protocols ensure fair access and statutory guidance is followed
What Assurance Do We Get	Equalities assessments are undertaken at each policy review Website accessibility – is W3C1.0 compliance (standard) With the ability to change font sizes, or use alternative formats and languages. Hard copies of Committee agendas are made available on request. A hardcopy of each agenda is taken to each Committee meeting for public use.
What is missing	Nothing identified

Core Principle D: Determining the interventions necessary to optimise the achievement of the intended outcomes

Supporting Principle	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.
What Assurance Do We Want	Discussion between member and officers on the information needs of members to support decision making Decision making protocols Options appraisals Agreement of information that will be provided and timescales
What Assurance Do We Get	Leadership team meetings between members and officers are in place. (Executive Management Team). Regular update meetings are held between the Leader of the Council and the Chief Operating Officer, and relevant Chief officers and their Portfolio holders. The Constitution details the decision making protocols and format of reports. Various options are required to be detailed in the Committee reports so that members can make informed decisions. There is a set timetable in place for the production of agendas prior to the meeting taking place. Scrutiny Officer in place to support the Scrutiny function.
What is missing	Nothing identified

Supporting Principle	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.
What Assurance Do We Want	Financial strategy
What Assurance Do We Get	<p>Budget consultation is completed on an annual basis with citizen input which informs the financial strategy</p> <p>As part of the Tamworth Listens process, we hold a Tamworth Question Time event – an annual event which a panel of local leaders attend and members of the public can ask questions. These are then fed into the State of Tamworth Debate</p> <p>In addition to the activity planned for the Tamworth Listens process / State of Tamworth debate, consultation is planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made.</p> <p>The consultation is carried out through 3 online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector.</p> <p>The online residents survey is promoted using social networking/media sites and through email contact databases. The business survey is promoted through business social networking sites and business email contact databases. The voluntary and community sector survey is promoted through email contact databases.</p> <p>MTFS approved annually takes into account budget consultation feedback – reported annually to Cabinet.</p>
What is missing	Nothing identified
Supporting Principle	Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets
What Assurance Do We Want	Calendar of dates for developing and submitting plans and reports that are adhered to
What Assurance Do We Get	<p>There is a performance management reporting cycle in place which timetables the performance reporting cycle.</p> <p>The Forward Plan is published on the website detailing the expected agenda items for the following four months.</p>
What is missing	Nothing identified

Supporting Principle	Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered
What Assurance Do We Want	Communication strategy
What Assurance Do We Get	<p>As part of the Tamworth Listens process, we hold a Tamworth Question Time event – an annual event which a panel of local leaders attend and members of the public can ask questions. These are then fed into the State of Tamworth Debate</p> <p>In addition to the activity planned for the Tamworth Listens process / State of Tamworth debate, consultation is planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made.</p> <p>The consultation is carried out through 3 online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector.</p> <p>The online residents survey is promoted using social networking/media sites and through email contact databases.</p> <p>The business survey is promoted through business social networking sites and business email contact databases. The voluntary and community sector survey is promoted through email contact databases.</p> <p>Joint Scrutiny Committee (Budget) held annually to feedback Member concerns from residents.</p>
What is missing	Nothing identified

Supporting Principle	Considering and monitoring risks facing each partner when working collaboratively including shared risks
What Assurance Do We Want	Partnership framework Risk management protocol
What Assurance Do We Get	Partnerships risks are identified and monitored – risk registers are in place. Partnership Guidance Policy and Toolkit in place This is designed to help the Council work with its partners to ensure that all partnerships have good systems of governance. We define governance as the processes, procedures and policies that deal with important issues like accountability, probity and audit. It is crucial that all members of partnerships should conform to codes of practice for the good of all involved. Risks are identified at a corporate and operational level and are monitored on a regular basis in line with the Risk Management Policy. The Corporate Risk Register is reported to the Audit & Governance Committee on a quarterly basis.
What is missing	Nothing identified
Supporting Principle	Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances
What Assurance Do We Want	Planning protocols
What Assurance Do We Get	Protocols in place (constitution) to ensure annual delivery of: <ol style="list-style-type: none"> 1) MTFS; 2) Budget Consultation; 3) Tamworth Listens events; 4) State of Tamworth debate; 5) KPIs / Service Plans; 6) Corporate Plan <p>The Quarterly Performance Report is reviewed by Corporate Scrutiny each quarter prior to being approved by Cabinet</p>
What is missing	Nothing identified

Supporting Principle	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
What Assurance Do We Want	KPIs have been established and approved for each service element and included in the service plan and are reported upon regularly
What Assurance Do We Get	Key performance indicators are in place within Service Plans and the Corporate Plan and monitored and reported on a regular basis through quarterly reports to Cabinet.
What is missing	Nothing identified
Supporting Principle	Ensuring capacity exists to generate the information required to review service quality regularly
What Assurance Do We Want	Reports include detailed performance results and highlights areas where corrective action is necessary
What Assurance Do We Get	A quarterly performance report is reported to Cabinet . The report details progress against performance indicators with a red, amber, green traffic light scenario to prompt remedial actions.
What is missing	Nothing identified
Supporting Principle	Preparing budgets in accordance with organisational objectives, strategies and the Medium Term Financial Strategy
What Assurance Do We Want	Evidence that budgets, plans and objectives are aligned
What Assurance Do We Get	Budgets are set following budget consultation with citizens. Budgets are aligned to the corporate objectives A joint report is approved annually by Council which approves the Vision, Corporate Priorities and Medium Term Financial Strategy aligning resource demands in support of the corporate priorities.
What is missing	Nothing identified
Supporting Principle	Informing medium and long term resource planning by drawing up realistic estimates of revenues and capital expenditure aimed at developing a sustainable funding strategy.
What Assurance Do We Want	Budget guidance and protocols Medium term financial plan Corporate plans
What Assurance Do We Get	The budget setting process has faced significant constraints in Government funding in recent years - over 50% in real terms since 2010. The 4 year Local Government Finance Settlement confirmed that austerity measures are to continue with Revenue Support Grant (RSG) all but eradicated for most Councils by 2020 – and suggests that the key challenges that the Council is currently addressing are likely to become greater.

The Council has also adopted a route-map designed to position the Council so it could be Perfectly Placed to take advantage of every opportunity it either created or identified.

“From Surviving To Thriving” set out a number of opportunities based upon the principle that by focusing upon the growth of the economy, both the “people” and the “place” would benefit. The Council remains committed to promoting and stimulating economic growth and regeneration; meeting our housing needs; creating a vibrant town centre economy and protecting those most vulnerable in our communities. To this end, we pledge to explore and invest in viable and sustainable methods of generating income and moving towards financial independence.

The Sustainability Strategy delivered more than just ‘big ticket’ efficiencies, it brought about changes to working models, cultures and processes – Agile Working; Demand Management; Joint Working; Shared Services; Locality Delivery/ Commissioning all contributed to our journey.

The adoption of ‘Demand Management’ as the primary operating model and the targeting of resources via locality based commissioning and delivery has enabled greater effectiveness in service delivery as evidenced by customer satisfaction, award winning services and of course, the management of the Council’s finances.

Through its implementation, the Council will have far greater control upon the alignment of services or ‘supply’ to the increased needs and expectations of the public or ‘demand’.

Key to this will be the application of existing and new technology to capture, collate and analyse customer insight, intelligence and data so as to understand not just the ‘need’ but the cause, behaviours or decisions creating the need.

Then by the application of locality based commissioning for example, it can commission services that either intervene or prevent future need thereby reducing demand. The report entitled **‘Creating Opportunities from an Uncertain Future’** is available to all Members and is available to the public.

In summary, by adopting the model, supporting its implementation and measuring its progress, it will enable the Council to achieve its Vision and Priorities and fulfil its obligations.

- We will target resources upon those in most need and those most vulnerable.

	<ul style="list-style-type: none"> We will commission services that will both intervene/prevent future demand and reduce levels of vulnerability. We will, as a consequence, meet the Council's stated intention to ensure that the vulnerable are a priority (Motion to Council on 26th November, 2014 refers). <p>This approach will change the organisation and how it works; will require Members to take difficult decisions and adhere to them; will involve managed risks and will sustain essential services critical in supporting the most vulnerable in our communities at a time when demand is increasing and resources reducing. The Corporate Plan is reviewed and updated on an annual basis</p>
What is missing	Nothing identified
Supporting Principle	Ensuring the medium term financial strategy integrates and balance service priorities, affordability and other resource constraints.
What Assurance Do We Want	Feedback surveys and exit/decommissioning strategies Changes as a result
What Assurance Do We Get	<p>Budget consultation completed on an annual basis</p> <p>Consultation is planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made. The consultation is carried out through 3 online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector.</p> <p>The online residents survey is promoted using social networking/media sites and through email contact databases.</p> <p>The business survey is promoted through business social networking sites and business email contact databases. The voluntary and community sector survey is promoted through email contact databases.</p> <p>Joint Scrutiny Committee (Budget) held annually to feedback Member concerns from residents.</p>
What is missing	Nothing identified
Supporting Principle	Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term.
What Assurance Do We Want	Budgeting guidance and protocols

<p>What Assurance Do We Get</p>	<p>Medium Term Financial Strategy</p> <p>Budget setting process approved by Cabinet in July each year – including a robust process for capital investment and policy changes which requires business cases to be prepared for consideration by Executive Management Team.</p> <p>As part of the Tamworth Listens process, we hold a Tamworth Question Time event – an annual event which a panel of local leaders attend and members of the public can ask questions. These are then fed into the State of Tamworth Debate</p> <p>In addition to the activity planned for the Tamworth Listens process / State of Tamworth debate, consultation is planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made.</p> <p>The consultation is carried out through 3 online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector.</p> <p>The online residents survey is promoted using social networking/media sites and through email contact databases.</p> <p>The business survey is promoted through business social networking sites and business email contact databases. The voluntary and community sector survey is promoted through email contact databases.</p> <p>Joint Scrutiny Committee (Budget) held annually to feedback Member concerns from residents.</p>
<p>What is missing</p>	<p>Nothing identified</p>

Supporting Principle	Ensuring the medium term financial strategy sets the context for ongoing decisions on significantly delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved whilst optimising resource usage
What Assurance Do We Want	Financial Strategy
What Assurance Do We Get	Medium Term Financial Strategy and associated forecasts are considered by CMT, EMT and Cabinet prior to review/scrutiny by Members at the Joint Scrutiny Committee (Budget). It is then approved by Full Council . These consider the need for any ongoing decisions on significant issues and appropriate budget changes made through the policy changes process or capital programming process. In year changes can be made using virements procedures (for both Officers and Cabinet) outlined within financial guidance (as well as use of contingencies). Financial impact assessment are included in reports to Committees.
What is missing	Nothing identified
Supporting Principle	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”
What Assurance Do We Want	Service plans demonstrate consideration of “social value” Achievement of “social value” is monitored and reported upon Over the past 12 months the Council’s new repairs contractor Wates have worked with the Council and SCC to provide vocational training for young people within the care system. The Council has let a major building contract in connection with the regeneration of Tinkers Green and Kerria which will apprenticeship and training opportunities.
What Assurance Do We Get	Social Value is included within the Procurement Strategy which requires Officers to consider social value issues in the procurement of major works or services i.e. impact on local labour, local economy/businesses, apprenticeships etc.
What is missing	Nothing identified

Core Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it

Supporting Principle	Reviewing operations, performance use of assets on a regular basis to ensure their continuing effectiveness.
What Assurance Do We Want	Regular reviews of activities, outputs and planned outcomes
What Assurance Do We Get	Quarterly reviews of operational business plans are in place which have performance indicators. As part of the capital programme, annual consideration of need for asset maintenance e.g. use of office space, regular stock condition surveys, asset management plan
What is missing	Nothing identified
Supporting Principle	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.
What Assurance Do We Want	Utilisation of research and benchmarking exercise
What Assurance Do We Get	Research and benchmarking exercises are completed in appropriate areas. CIPFA benchmarking for corporate services completed as necessary. Housing Benchmarking undertaken through Housemark and accreditation via the Housing Quality Net work Review of assets use through the One Public Estate programme and liaison with Staffordshire County Council.
What is missing	Nothing identified

Supporting Principle	Recognising the benefits of partnerships and collaborative working where added value can be achieved.
What Assurance Do We Want	Effective operation of partnerships which deliver agreed outcomes
What Assurance Do We Get	Partnerships are in place for the delivery of some services. There is a Memorandum of Understanding in place with Lichfield District Council for the sharing of services Partnership Guidance Policy and Toolkit in place This is designed to help the Council work with its partners to ensure that all partnerships have good systems of governance. We define governance as the processes, procedures and policies that deal with important issues like accountability, probity and audit. It is crucial that all members of partnerships should conform to codes of practice for the good of all involved.
What is missing	Nothing identified
Supporting Principle	Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources.
What Assurance Do We Want	Workforce plan Organisational development plan
What Assurance Do We Get	There are training and development plans in place for members and officers. Officers training and development is identified through the Personal Development Review (PDR). The recruitment process ensures that skills and knowledge are measured and tested appropriately. There is an E-Induction programme in place which is available to both officers and members. Job descriptions and personal specifications are in place for all posts and reviewed as required. All Statutory Officers are members of CMT. Job descriptions for members are included in the recently revised Constitution . They detail the purpose, duties & responsibilities and skills required for all Councillors, Leader & Deputy Leader, Members of the Executive, Chairs of Committees and the Leader and Deputy Leader of the Opposition. Service reviews are informed by the Delivering Quality Services process.
What is missing	Workforce plan to be presented to CMT June 2018. (Medium) Organisational development plan to be presented to CMT June 2018. (Medium)

Supporting Principle	Developing protocols to ensure that elected and appointed leaders negotiate their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained.
What Assurance Do We Want	Job descriptions Chief Executive and Leader pairings have considered how best to establish and maintain effective communication.
What Assurance Do We Get	Job descriptions are in place for both members and officers. The Chief Operating Officer, the Head of Paid Service and the Leader hold regular meetings. Corporate Management Team and the Cabinet form together to form the Executive Management Team. There is a training and development plan which is developed through the PDR process. This process is in place for all officers Members' training is provided on induction and in specialist areas. Regular training is provided for the Regulatory Committees.
What is missing	Nothing identified

Supporting Principle	Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body.
What Assurance Do We Want	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.
What Assurance Do We Get	The scheme of delegation and scheme of delegation log is reviewed at least annually. Financial Regulations, Contract Sanding Orders and Financial Guidance are reviewed and updated on an annual basis
What is missing	Nothing identified
Supporting Principle	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.
What Assurance Do We Want	Clear statement of respective roles and responsibilities and how they will be put into practice.
What Assurance Do We Get	The Constitution details the roles and responsibilities of the Leader and the Statutory Officers. Job Descriptions for members including the Leader are in the Constitution,
What is missing	Nothing identified

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Supporting Principle	<p>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:</p> <ul style="list-style-type: none"> - -ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirement 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.
<p>What Assurance Do We Want</p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 81</p>	<p>Access to update courses/information briefing on new legislation Induction programme Personal development plans for members and officers For example, for members this may include the ability to:</p> <ul style="list-style-type: none"> - Scrutinise and challenge - Recognise when outside expert advice is required - Promote trust - Work in partnership - Lead the organisation - Act as a community leader <p>Efficient systems and technology used for effective support Arrangements for succession planning</p>
What Assurance Do We Get	<p>The PDR process identifies training needs for both Members and Officers CPD/membership of professional bodies for up to date information/changes to legislation Networking and membership of professional bodies encouraged Members induction and training programme in place (e.g. finance, treasury management, planning, licensing). E-learning solution being rolled out which covers a number of training areas</p>
What is missing	Nothing identified

Supporting Principle	Ensuring that there are structures in place to encourage public participation.
What Assurance Do We Want	Residents' panels Stakeholder forum terms of reference Strategic partnership frameworks
What Assurance Do We Get	Tenant participation is actively encouraged and completed in various formats. They provide training to tenants on a variety of day to day skills and confidence, as well as estate inspections, other events and meetings and customer satisfaction, feedback and consultation. The Citizens Panel is made up of local residents who are asked about local services. A Community Safety Partnership exist which has its own website – “Safer Tamworth”. The partnership brings together a number of organisations who work together to make the borough a safer place to work, live and socialise. Partnership frameworks in place for joint working Partnership Guidance Policy and Toolkit in place This is designed to help the Council work with its partners to ensure that all partnerships have good systems of governance. We define governance as the processes, procedures and policies that deal with important issues like accountability, probity and audit. It is crucial that all members of partnerships should conform to codes of practice for the good of all involved.
What is missing	Nothing identified
Supporting Principle	Taking steps to consider the leadership’s own effectiveness and ensuring leaders are open to constructive feedback from peer reviews and inspections.
What Assurance Do We Want	Reviewing individual member performance on a regular basis taking account of their attendance and considering any training or development needs Peer reviews
What Assurance Do We Get	PDR process and job descriptions are in place for members. Peer reviews have been completed previously and any recommendations have been acted upon. Members attendance is recorded and monitored
What is missing	Nothing identified

Supporting Principle	Holding staff to account through regular performance reviews which take account of training or development needs.
What Assurance Do We Want	Training and development plan Staff development plans linked to appraisals Implementing appropriate human resource policies and ensuring that they are working effectively
What Assurance Do We Get	Training identified as part of the PDR process as part of continued professional development. One to one meetings are completed on a regular basis. Performance indicators are recorded on the Pentana and assigned to the relevant managers to monitor and update Conduct and Capability Procedures are in place Training for managers in strategic skills as well as soft skills HR policies in place and updated as required.
What is missing	Nothing identified

Supporting Principle	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.
What Assurance Do We Want	Human resource policies
What Assurance Do We Get	<p>Health and safety policies are in place</p> <p>Healthshield benefits for staff</p> <p>There is a Childcare vouchers scheme in place</p> <p>On-site Counselling service available to staff on a confidential basis</p> <p>HR policies are in place</p> <p>Well-being policy developed</p> <p>TBC signed up to national initiative 'Time for change'</p> <p>12 Mental Health First Aiders have been trained</p> <p>Robust management of attendance with support from Occupational Health Specialists</p> <p>Regular updates with Trade unions and / or representatives</p>
What is missing	Nothing identified

Core Principle F: Managing risks and performance through robust internal control and strong public financial management

Supporting Principle	Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making
What Assurance Do We Want	Risk management protocol
What Assurance Do We Get	Risk Management Policy – reviewed and updated annually and approved by Audit & Governance Committee . There is a Corporate Risk Register which is owned by Corporate Management Team which is updated on a quarterly basis and reported to the Audit & Governance Committee . Operational risk registers are owned by managers and recorded on the Pentana system and linked to performance and service plans. Internal Audit work with managers to help them identify their risks and record them on the Pentana system. The Internal Audit plan takes into account the identified risks on the risk registers. All decisions made by Members have risks identified in the report
What is missing	Nothing identified
Supporting Principle	Implementing robust and integral risk management arrangements and ensuring that they are working effectively.
What Assurance Do We Want	Risk management strategy/policy formally approved and adopted and reviewed and updated on a regular basis.
What Assurance Do We Get	Risk Management Policy – reviewed and updated annually and approved by Audit & Governance Committee . All decisions made by Members have the risks identified
What is missing	Nothing identified

Supporting Principle	Ensuring that responsibilities for managing individual risks are clearly allocated.
What Assurance Do We Want	Risk management protocol
What Assurance Do We Get	Risk registers are in place for service areas as well as having a corporate risk register in place. Owners of the risks are assigned to owners to manage and review. The Risk Management Policy details responsibilities for managing individual risks.
What is missing	Nothing identified
Supporting Principle	Monitoring service delivery effectively including planning, specification, execution and independent post implementation review.
What Assurance Do We Want	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.
What Assurance Do We Get	The corporate plan 2017-20 identifies key performance indicators aligned to the strategic priorities Benchmarking information is used for some services where appropriate/available Performance management cycle identifies the timetable for the submission of performance reports There is a Forward Plan in place which identifies key decisions to be made in the following four months The Asset Strategy Group identifies Post Implementation Reviews required for Capital Schemes on an annual basis.
What is missing	Nothing identified

Supporting Principle	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.
What Assurance Do We Want	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
What Assurance Do We Get	Portfolio holders hold meetings with relevant staff All agenda and minutes are published on the website. Agendas are published 5 working days prior to the committee meeting date. The forward plan is a list of the council's key decisions that will be made over the next one to four months. These decisions will be made by either the Cabinet or by officers who have been delegated authority by the Cabinet. The forward plans are published on the first working day of the month. The forward plan includes a short description of the decision to be made; who will make it; when the decision will be taken; details of the planned consultation with local people and other stakeholders; and contact details for further information (including reports and background papers).
What is missing	Nothing identified
Supporting Principle	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.
What Assurance Do We Want	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. Planned work items identified at beginning of municipal year, Performance reporting reviewed, members now sit on tenant's consultative group. Terms of reference Training for members Membership
What Assurance Do We Get	The roles and responsibilities, terms of reference for Scrutiny Committees are detailed in The Constitution Agendas and minutes are made available on the website. Scrutiny chairs report annually to full Council on

	<p>their workplan.</p> <p>Training is provided for members on the role of Scrutiny. There is a Scrutiny Officer in post to provide support to the Scrutiny Committees.</p> <p>When required to assist task and finish groups the Committees can co-opt external expertise</p> <p>Under the remit of the Scrutiny Committees, they can call in decisions made by the Cabinet.</p>
What is missing	Nothing identified
Supporting Principle	Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement.
What Assurance Do We Want	Calendar of dates for submitting, publishing and distributing timely reports that are adhered to
What Assurance Do We Get	There is a calendar of dates for the submission and publishing reports which is adhered to
What is missing	Nothing identified

Supporting Principle	Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (eg financial statements)
What Assurance Do We Want	Financial standards, guidance Financial regulations and standing orders
What Assurance Do We Get	Financial regulations, contract standing orders and financial guidance are in place and reviewed and updated annually. There is a robust project management process in place with post implementation reviews completed at the end of the project.
What is missing	Nothing identified
Supporting Principle	Aligning the risk management strategy and policies on internal control with achieving the objectives
What Assurance Do We Want	Risk management strategy Audit plan Audit reports
What Assurance Do We Get	The risk management strategy is reviewed, updated and approved annually by the Audit & Governance Committee . The Audit plan is based on an internal audit risk assessment which takes into account risks identified by Heads of Service and approved by the Audit & Governance Committee . Quarterly reports of progress against the audit plan are submitted to the Audit & Governance Committee Audit reports are concise and reported in a timely manner. All recommendations are followed up in a timely basis, the results of which are reported to the Audit & Governance Committee. All recommendations are assigned to the relevant officers who have access to the Pentana system so that they review and update up and coming recommendations
What is missing	Nothing identified
Supporting Principle	Evaluating and monitoring the authority's risk management and internal control on a regular basis
What Assurance Do We Want	Risk management strategy/policy has been formally approved and adopted and is reviewed and updated on a regular basis
What Assurance Do We Get	The Risk Management Policy/Strategy is reviewed, updated and then approved by the Audit & Governance Committee on an annual basis. Quarter updates of the risk management action plan are also submitted to the Committee.
What is missing	Nothing identified

Supporting Principle	Ensuring effective counter fraud and anti-corruption arrangements are in place
What Assurance Do We Want	Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA 2014)
What Assurance Do We Get	Internal Audit measure against Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption and this is reported to the Audit & Governance Committee
What is missing	Nothing identified
Supporting Principle	Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor.
What Assurance Do We Want	Annual Governance Statement Effective internal audit service is resource and maintained
What Assurance Do We Get	The Annual Governance Statement is produced in accordance with the guideline alongside the Code of Corporate Governance. The Annual Governance Statement is signed by the Leader and the Chief Operating Officer. The Internal Audit is adequately resourced and complies with the Public Sector Internal Audit Standards (PSIAS). An annual self-assessment against the PSIAS is completed and in line with the Standards and External Quality Assessment (EQA) is completed every five years. The EQA was completed in 2017 and confirmed compliance with the Standards.
What is missing	Nothing identified
Supporting Principle	Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body: <ul style="list-style-type: none"> - Provides 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 -
What Assurance Do We Want	Audit committee complies with best practice. See Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA 2013) Terms of reference Membership Training

What Assurance Do We Get	<p>The terms of reference for the Audit & Governance Committee are detailed within the Constitution. Members of the Committee are independent of the Cabinet and the Chair reports annually to Full Council. The Audit & Governance Committee receive quarterly update reports on Risk Management which include a review of the Corporate Risk Register, an update of the risk management action plan and they approve the Risk Management Policy on an annual basis.</p> <p>Any recommendations made by the Audit & Governance Committee are recorded in the minutes and acted upon.</p> <p>The Audit & Governance Committee complete an annual self-assessment against Audit Committee guidance issued by CIPFA and any areas for improvement are acted upon</p>
What is missing	Nothing identified
Supporting Principle	Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to Safeguard personal data
What Assurance Do We Want	<p>Data management framework and procedures</p> <p>Designated data protection officer</p> <p>Data protection policies and procedures</p>
<p>What Assurance Do We Get</p> <p>Page 91</p>	<p>The Authority has in place a Corporate Data Register which details all the data held. We have various policies and procedures in place around data issues including:</p> <ul style="list-style-type: none"> • Data Protection Policy, • IT Security Policy, • Access Control Policies and Procedures, • Asset Management Policies and procedures, • Human Resources security, • Business Continuity Management, • Physical and Environmental Security, • Systems and Acquisitions, development and maintenance, • Data Quality <p>A Corporate Information Governance group is in place to manage the implementation of the organisation's response to the General Data Protection Regulations (GDPR).</p>
What is missing	Nothing identified

Supporting Principle	Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies
What Assurance Do We Want	Data sharing agreement Data sharing register Data processing agreements
What Assurance Do We Get	Individual data sharing agreements are in place for areas within Revenues & Benefits, Economic Development, and Housing. These are detailed on the data sharing page on the intranet (data sharing register).
What is missing	Nothing identified
Supporting Principle	Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring
What Assurance Do We Want	Data quality procedures and reports Data validation procedures
What Assurance Do We Get	Auditing of data is completed in accordance with the risk based internal audit plan. Data is validated as part of the internal controls in place within the various systems. Performance management is audited on a regular basis.
What is missing	Nothing identified
Supporting Principle	Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance
What Assurance Do We Want	Financial management supports the delivery of services and transformational change as well as securing good stewardship
What Assurance Do We Get	The budget setting process has faced significant constraints in Government funding in recent years - over 50% in real terms since 2010. The 4 year Local Government Finance Settlement confirmed that austerity measures are to continue with Revenue Support Grant (RSG) all but eradicated for most Councils by 2020 – and suggests that the key challenges that the Council is currently addressing are likely to become greater. The Council has also adopted a route-map designed to position the Council so it could be Perfectly Placed to take advantage of every opportunity it either created or identified. “From Surviving To Thriving” set out a number of opportunities based upon the principle that by focusing upon the growth of the economy, both the “people” and the “place” would benefit. The Council remains

committed to promoting and stimulating economic growth and regeneration; meeting our housing needs; creating a vibrant town centre economy and protecting those most vulnerable in our communities. To this end, we pledge to explore and invest in viable and sustainable methods of generating income and moving towards financial independence.

The Sustainability Strategy delivered more than just 'big ticket' efficiencies, it brought about changes to working models, cultures and processes – Agile Working; Demand Management; Joint Working; Shared Services; Locality Delivery/ Commissioning all contributed to our journey.

The adoption of 'Demand Management' as the primary operating model and the targeting of resources via locality based commissioning and delivery has enabled greater effectiveness in service delivery as evidenced by customer satisfaction, award winning services and of course, the management of the Council's finances.

Through its implementation, the Council will have far greater control upon the alignment of services or 'supply' to the increased needs and expectations of the public or 'demand'.

Key to this will be the application of existing and new technology to capture, collate and analyse customer insight, intelligence and data so as to understand not just the 'need' but the cause, behaviours or decisions creating the need.

Then by the application of locality based commissioning for example, it can commission services that either intervene or prevent future need thereby reducing demand. The report entitled '**Creating Opportunities from an Uncertain Future**' is available to all Members and is available to the public.

In summary, by adopting the model, supporting its implementation and measuring its progress, it will enable the Council to achieve its Vision and Priorities and fulfil its obligations.

- We will target resources upon those in most need and those most vulnerable.
- We will commission services that will both intervene/prevent future demand and reduce levels of vulnerability.
- We will, as a consequence, meet the Council's stated intention to ensure that the vulnerable are a priority

	(Motion to Council on 26 th November, 2014 refers). This approach will change the organisation and how it works; will require Members to take difficult decisions and adhere to them; will involve managed risks and will sustain essential services critical in supporting the most vulnerable in our communities at a time when demand is increasing and resources reducing.
What is missing	Nothing identified
Supporting Principle	Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls
What Assurance Do We Want	Budget monitoring reports
What Assurance Do We Get	Budget monitoring reports are available monthly and ad hoc as required. Accountants complete regular budget monitoring reports with Heads of Service. Managers have access to up to date budget monitoring information at all times.
What is missing	Nothing identified

Core Principle G: Implementing good practices in transparency, reporting, and audit to deliver effective accountability

Supporting Principle	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. 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.
What Assurance Do We Want	Website Annual report
What Assurance Do We Get	All reports are made available on the website for the public to access apart from anything confidential as laid down by the Local Government Act 1972 and subsequent enabling legislation and guidance The Corporate Plan is published on an annual basis and made available on the website. All information is made available in accordance with the Transparency Agenda. Where Freedom of Information requests are made and it is beneficial to publish the data on the website, this is completed to ensure that the Authority is transparent and it also reduces the number of information requests received.
What is missing	Nothing identified
Supporting Principle	Reporting at least annually on performance, value for money and the stewardship of its resources.
What Assurance Do We Want	Formal annual report which includes key points raised by external scrutineers and service users' feedback on service delivery. Annual financial statements
What Assurance Do We Get	The Corporate Plan is refreshed on an annual basis. The financial statements are produced in accordance with the laid down timetable and presented to the Audit & Governance Committee for approval. The External Auditors produce the Annual Audit Letter and the Audit Findings Report which is presented to the Audit & Governance Committee.
What is missing	Nothing identified
Supporting Principle	Ensuring members and senior management own the results.
What Assurance Do We Want	Appropriate approvals
What Assurance Do	Decisions approved by Cabinet and Full Council as detailed within the Constitution

We Get	Accounts (including AGS) approved by Audit & Governance Committee Minutes of the meetings are made available on the website
What is missing	Nothing identified
Supporting Principle	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).
What Assurance Do We Want	Annual Governance Statement
What Assurance Do We Get	Results and actions arising from this assessment will go in the Annual Governance Statement for approval by Audit & Governance Committee
What is missing	Nothing identified
Supporting Principle	Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate.
What Assurance Do We Want	Annual Governance Statement
What Assurance Do We Get	The Annual Governance Statement is prepared by the Governance Group which is made up of lead officers within the Authority. The revised Personal Development Review document will include reference to the core principles of Corporate Governance.
What is missing	Nothing identified
Supporting Principle	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.
What Assurance Do We Want	Format follows best practice
What Assurance Do We Get	High level corporate plan projects/programmes and corporate risk register included in the Statement of Accounts Financial statements prepared in line with the CIPFA Code of Practice (as all Councils should) including relevant performance information from the Corporate Plan.
What is missing	Nothing identified

Supporting Principle	Ensuring that recommendations for corrective action made by external audit are acted upon 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
What Assurance Do We Want	Recommendations have informed positive improvement Compliance with CIPFA's Statement on the Role of the Head of Internal Audit (2010) Compliance with Public Sector Internal Audit Standards
What Assurance Do We Get	All recommendations made by the External Auditors are acted upon. Compliant and supporting evidence in the review of arrangements in relation to compliance with the CIPFA Statement on the Role of the Head of Internal Audit and compliance to the Public Sector Internal Audit Standards which has been further demonstrated following and external assessment completed in 2017.
What is missing	Nothing identified
Supporting Principle	Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations.
What Assurance Do We Want	Recommendations have informed positive improvement
What Assurance Do We Get	An LGA Peer Assessment was undertaken and action plan monitored
What is missing	Nothing identified
Supporting Principle	Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement.
What Assurance Do We Want	Annual Governance Statement
What Assurance Do We Get	Partnership Guidance Policy and Toolkit in place This is designed to help the Council work with its partners to ensure that all partnerships have good systems of governance. We define governance as the processes, procedures and policies that deal with important issues like accountability, probity and audit. It is crucial that all members of partnerships should conform to codes of practice for the good of all involved. Informed by Corporate Risk register.
What is missing	Nothing identified

Supporting Principle	Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met.
What Assurance Do We Want	Community Strategy
What Assurance Do We Get	Partnership Guidance Policy and Toolkit in place This is designed to help the Council work with its partners to ensure that all partnerships have good systems of governance. We define governance as the processes, procedures and policies that deal with important issues like accountability, probity and audit. It is crucial that all members of partnerships should conform to codes of practice for the good of all involved.
What is missing	Nothing identified