

Criteria	Source documents / good practice / other	Corporate/ Strategic / CLT & Members	People	Place
<b>1. Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area.</b>				
Develop and promote the authority's purpose and vision.	<ul style="list-style-type: none"> <li>▪ Used as a basis for:               <ul style="list-style-type: none"> <li>▸ Corporate and service planning</li> <li>▸ Shaping the community strategy</li> <li>▸ Local area or performance agreements</li> </ul> </li> </ul>	<p>The Constitution (the Council's Code of Corporate Governance) sets out how the Council operates, how decisions are made and procedures followed to ensure that these are efficient, transparent &amp; accountable to local people.</p> <p>It contains Articles which set out the basic rules governing all aspects of the working of the Council (Part 2), elements which define the Council's internal organisation, standing orders, financial regulations, schemes of delegation and terms of reference, procedures covering executive and scrutiny, risk management and codes of conduct (Parts 3–9) and documents which focus on the Council's external operation through service delivery, community engagement and partnership working (Part 11). The latter includes, for example, the Council's Strategic Plan which sets out the Council's priorities, its detailed policies and plans <u>and</u> the Community Strategy developed by the Devon Strategic Partnership.</p> <p>The Constitution is available at:</p> <p><a href="http://www.devon.gov.uk/index/your_council/decision_making/constitution.htm">http://www.devon.gov.uk/index/your_council/decision_making/constitution.htm</a></p>		
Review on a regular basis the authority's vision for the local area and its impact on the authority's governance arrangements.	Governance Code	<p>The Council's Strategic Plan is developed in conjunction with partners and interested bodies and in light of public consultation and approved by the Council or its Cabinet, as are other DCC policy documents and plans. These are reviewed regularly.</p> <p><i>Backing Devon</i>, a revised Strategic Plan for 2011/15, was agreed in 2011.</p> <p>The Council's Code of Business Conduct (Part 5 of the Constitution) also sets out financial protocols to be adopted for partnership arrangements, joint ventures and/or pooled budgets.</p>		
Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties.	<ul style="list-style-type: none"> <li>▪ Partnership protocol</li> <li>▪ Governance code</li> <li>▪ Compact for Devon</li> <li>▪ Devon Strategic Partnership/Sustainable Community Strategy</li> </ul>	<p>See above</p> <p>Part 9 of the Constitution identifies joint arrangements entered into with other local authorities and their scope. Part 11 of the Constitution focuses and identifies those external operations conducted through service delivery, community engagement and partnership working and including, for example, the Council's Strategic Plan which sets out the Council's priorities, its detailed policies and plans and the Community Strategy developed by the Devon Strategic Partnership.</p>		
Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance.	<ul style="list-style-type: none"> <li>▪ Annual financial statements</li> <li>▪ Annual business plan</li> <li>▪ Annual Governance Statement</li> </ul>	Annual report also includes general performance data.		

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Decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available.	<p>In order to ensure improvement, this information is reflected in the Authority's:</p> <ul style="list-style-type: none"> <li>▸ Corporate plan</li> <li>▸ Medium-term financial plan</li> </ul>	<p>As above</p> <p>The Council's Organisation Performance Framework approved by the former Executive in 2008 sets out clear processes to strengthen performance and managing reporting systems.</p> <p>The Performance Strategy for 2011-15 'Driving Innovation and Improvement' describes how performance is managed across the County Council.</p> <p>A new approach to performance reporting to Scrutiny, which allows committees to receive Organisational Health Dashboard and Exception reports on overall progress against the Strategic Plan.</p> <p>Medium term financial plan forecasts service/financial pressures in future years, linked to Strategic Plan.</p>		
Put in place effective arrangements to identify and deal with failure in service delivery.	<ul style="list-style-type: none"> <li>▀ Complaints procedure</li> </ul>	<p>See above.</p> <p>Scrutiny Committees receive regular Performance Monitoring Reports in addition to their more general role to review implementation of the Council's policies and consider scope for change/new policy.</p> <p>Whistleblowing policy outlined in Part 5 of the Constitution – Code of Business Conduct.</p> <p>Policy Statement on Proper Conduct of Business Introduction contained in Part 5 of the Constitution (Code of Business Practice).</p>		
Decide how value for money is to be measured and make sure that the authority or partnership has the information needed to review value for money and performance effectively. Measure the environmental impact of policies, plans and decisions.	<ul style="list-style-type: none"> <li>▀ The results are reflected in Authority's performance plans and in reviewing the work of the authority</li> </ul>	<p>Organisation Performance Plan.</p> <p>National Indicators Set.</p> <p>External Inspection &amp; Assessment (e.g. CPA).</p> <p>Annual Budget Consultations.</p> <p>Community Roadshows undertaken by the Leader of the Council since 2009, as part of a wider exercise by the County Council to consult and involve local people in helping to decide future priorities.</p> <p>PI's considered on grouping basis.</p> <p>Benchmark data reviewed where available by Leadership Teams and Unit Managers</p>		

## 2. Members and officers working together to achieve a common purpose with clearly defined functions and roles

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Set out a clear statement of the respective roles and responsibilities of the executive and of the executive's members individually and the authority's approach to putting this into practice.	<ul style="list-style-type: none"> <li>▪ Constitution</li> <li>▪ Record of decisions and supporting materials</li> </ul>	<p>Articles and Part 3 of the Constitution clearly outline roles and responsibilities of Members and Officers.</p> <p>Meetings of the Council, the Cabinet and Committee are held in public in accordance with the Council's Access to Information Procedures Rules and Agenda. Minutes and Reports of all Council, Cabinet, Committee meetings, Health &amp; Wellbeing Board and Cabinet Member decisions are publicly available in line with legislation</p>		
Set out a clear statement of the respective roles and responsibilities of other authority members, members generally and senior officers.	<ul style="list-style-type: none"> <li>▪ Constitution</li> <li>▪ Record of decisions and supporting materials</li> </ul>	<p>See above.</p> <p>The County Council's Personnel Policies are available at: <a href="http://www.devon.gov.uk/index/jobscareers.htm?">http://www.devon.gov.uk/index/jobscareers.htm?</a> and <a href="http://staff.devon.gov.uk/pp/gap.htm">http://staff.devon.gov.uk/pp/gap.htm</a></p> <p>Detailed Job Descriptions exist for all staff at all levels.</p>		
Determine a scheme of delegation and reserve powers within the constitution, including a formal schedule of those matters specifically reserved for collective decision of the authority, taking account of relevant legislation, and ensure that it is monitored and updated when required.	<ul style="list-style-type: none"> <li>▪ Constitution</li> </ul>	<p>Part 3 of Constitution (endorsed by Procedures Committee), as amended periodically including changes consequent upon County Council assumption of Public Health responsibilities and transfer of NHS staff.</p>		
Make a chief executive or equivalent responsible and accountable to the authority for all aspects of operational management.	<ul style="list-style-type: none"> <li>▪ Conditions of employment</li> <li>▪ Scheme of delegation</li> <li>▪ Statutory provisions</li> <li>▪ Job descriptions / specification</li> <li>▪ Performance management system</li> </ul>	<p>Articles and Part 8 of the Constitution set out the roles and accountabilities of Officers and Members.</p> <p>The Council's scheme of delegation is set out at Part 3 of the Constitution.</p> <p>Members Job Profiles are set out at Part 6 of the Constitution and were reviewed for incorporation in development of Members Personal Development Plans following the 2009 elections and the new cohort of Members.</p>		
Develop protocols to ensure that the leader and chief executive (or equivalents) negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained.	<ul style="list-style-type: none"> <li>▪ Chief Executive and Leader consider how best to establish and maintain effective communication</li> </ul>	<p>No formal protocol exists.</p> <p>Process effectively starts with appointment process.</p> <p>The Chief Executive's appraisal is undertaken by Group Leaders.</p> <p>Corporate Leadership Team <i>Leadership Manifesto</i> currently being revised.</p>		

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<p>Make a senior officer (the S151 officer) responsible to the authority for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control.</p>	<ul style="list-style-type: none"> <li>▪ Section 151 responsibilities</li> <li>▪ Statutory provision</li> <li>▪ Statutory reports</li> <li>▪ Budget documentation</li> <li>▪ Job description / specification</li> </ul>	<p>Articles and Part 8 of the Constitution set out the roles and accountabilities of Officers and Members.</p> <p>Job Descriptions for relevant Strategic Directors / Heads of Service</p>		
<p>Make a senior officer (usually the monitoring officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with.</p>	<ul style="list-style-type: none"> <li>▪ Monitoring office provisions</li> <li>▪ Statutory provision</li> <li>▪ Job description / specification</li> </ul>	<p>County Solicitor.</p> <p>See above.</p> <p>Provision for legal considerations in all Committee Reports.</p> <p>County Solicitor at CLT and Cabinet</p>		
<p>Develop protocols to ensure effective communication between members and officers in their respective roles.</p>	<ul style="list-style-type: none"> <li>▪ Member / officer protocols</li> </ul>	<p>Part 6 of Constitution contains Member/Officer Protocol, and other codes of personal conduct.</p> <p>Supplemented by Working Practices (Part 10 of Constitution)(as endorsed by Procedures Committee.</p>		
<p>Set out terms and conditions for remuneration of members and officers and an effective structure for managing the process, including an effective remuneration panel (if applicable).</p>	<ul style="list-style-type: none"> <li>▪ Pay and conditions policies and practices</li> </ul>	<p>Member Allowances Scheme at Part 7 of Constitution which sets out approved scheme of remuneration/allowances for Members.</p> <p>Independent Remuneration Panel established as required by Statute, reviews Scheme annually and reports in public to the Council (via Procedures Committee).</p> <p>Officer remuneration etc, governed by national/local conditions of service.</p> <p>Pay Policy Statement 2013/14 was adopted by the Council in February 2013. It was amended to reflect the transfer of NHS staff and Public Health duties.</p> <p>The County Council's Personnel Policies are available at:  <a href="http://www.devon.gov.uk/index/jobscareers.htm?">http://www.devon.gov.uk/index/jobscareers.htm?</a> and <a href="http://staff.devon.gov.uk/pp/gap.htm">http://staff.devon.gov.uk/pp/gap.htm</a></p>		

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<p>Ensure that effective mechanisms exist to monitor service delivery.</p>	<ul style="list-style-type: none"> <li>▪ Pay and conditions policies and practices</li> <li>▪ Annual Governance Statement</li> </ul>	<p>See above.</p> <p>Financial systems, Internal and external audit and external inspection and assessment.</p> <p>Regular review of Performance Indicators by CLT and Scrutiny Committees.</p> <p>The requirement for Officers of the Council to provide an annual assessment of internal controls superseded by the preparation of the Annual Governance Statement - but the principles remain integral to the content of the AGS and in endorsing it Directorates confirm that key organisational, financial, operational and compliance controls are followed, ensuring that staff are aware of all relevant processes and controls that exist (as referred to in this schedule), ensure probity and compliance and that such processes and control are routinely monitored.</p>		
<p>Ensure that the organisation's vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholder, and that they are clearly articulated and disseminated.</p>	<ul style="list-style-type: none"> <li>▪ Vision</li> <li>▪ Strategy</li> <li>▪ Corporate plans</li> <li>▪ Budgets</li> <li>▪ Performance plan / regime</li> <li>▪ MTFS</li> </ul>	<p>Corporate Communications and Consultations Strategies.</p> <p>The Council's Strategic Plan and the Devon Strategic Partnership's Community Strategy are developed in conjunction with partners and interested bodies and in light of evidence and of public and stakeholder consultation and approved by the Council or its Cabinet, as are other DCC policy documents and plans.</p> <p>The Council has taken steps to engage Scrutiny more effectively in this process through scrutinising partner contributions to shared objectives.</p> <p>Annual consultation process with voluntary sector, business sector and trades unions on budget plans.</p> <p>Public consultation meetings and public roadshow events.</p> <p>Priorities in Strategic Plan costed and included in the Medium Term Financial Strategy [MTFS].</p> <p>MTFS and budget linked to Strategic Plan &amp; policies.</p>		

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<p>When working in partnership ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and the authority.</p>	<ul style="list-style-type: none"> <li>▪ Protocols for partnership working. For each partnership there is :               <ul style="list-style-type: none"> <li>○ A clear statement of the partnership principles and objectives</li> <li>○ Clarity of each partner's role within the partnership</li> <li>○ Definition of roles of partnership board members</li> <li>○ Line management responsibilities for staff who support the partnership</li> <li>○ A statement of funding sources for joint projects and clear accountability for proper financial administration</li> </ul> </li> </ul>	<p>Principle enshrined in Constitution (Part 11). In addition to the provisions of the Councils Code of Business Conduct &amp; Financial Regulation (Part 5 of the Constitution) a number of clearly defined agreements/protocols exist such as:</p> <p>Devon Children &amp; Young Persons Plan.</p> <p>A Warm Response: Our Climate Change Challenge.</p> <p>Voluntary Sector Compacts.</p> <p>Devon Children's Trust Partnership: Constitution and Governance Arrangements.</p> <p>Protocol of Joint Appointments.</p> <p>A Community Strategy for Devon (<i>Devon Strategic Partnership</i>).</p> <p>Devon Audit Partnership.</p> <p>Partnership Working is integral to the Council's operations, both service specific and more general partnerships. Work is continuing to ensure effective governance, engagement and political leadership in such partnerships including accountability of staff who support these partnerships.</p>		<p>External Funding Standards  <a href="http://staff.devon.gov.uk/fit/dfs/externalfundingstandards.htm">http://staff.devon.gov.uk/fit/dfs/externalfundingstandards.htm</a></p> <p>The protocol sets out the requirements for preparation of funding bids</p> <p>[NB: existing protocol being reviewed]</p>
<p>When working in partnership:          Ensure that there is clarity about the legal status of the partnership;          Ensure that representative or organisations both understand and make clear to all other partners the extent of their authority to bind their organisations to partner decisions.</p>	<ul style="list-style-type: none"> <li>▪ Protocols for partnership working. For each partnership there is :               <ul style="list-style-type: none"> <li>○ A clear statement of the partnership principles and objectives</li> <li>○ Clarity of each partner's role within the partnership</li> <li>○ Definition of roles of partnership board members</li> <li>○ Line management responsibilities for staff who support the partnership</li> </ul> </li> </ul> <p>A statement of funding sources for joint projects and clear accountability for proper financial administration.</p>	<p>See above.</p> <p>Parts 5, 9 and 11 of Constitution refer.</p> <p>Part 5 of the Constitution (Financial Regulations) lays down principles for financial management for partnership arrangements, joint ventures and pooled budgets.</p> <p>Part 9 of the Constitution identifies those joint arrangements with other Devon local authorities.</p>		<p>External Funding Standards  <a href="http://staff.devon.gov.uk/fit/dfs/externalfundingstandards.htm">http://staff.devon.gov.uk/fit/dfs/externalfundingstandards.htm</a></p> <p>(see above)</p>
<p><b>3. Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour</b></p>				

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Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect.		<p>Access to Information and Public Participation rules contained in the Constitution (Part 4).</p> <p>The County Council's Corporate Communications Strategy aims to provide a framework to ensure that the Council's work is supported by dynamic and two-way communications and brings the Council closer to the people of Devon.</p> <p>The Council has appointed an Appointments and Remuneration Committee to make recommendations to the Council on pay and remuneration of Chief Officers to ensure decisions on pay and rewards are taken in an accountable and transparent manner, and to review annually the Council's Pay Policy Statement.</p> <p>All Committee Reports to be considered in the absence of the press and public (i.e. Part II Reports) are cleared by County Solicitor.</p>		
Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols.	<ul style="list-style-type: none"> <li>▪ Members / officers code of conduct performance management system</li> <li>▪ Performance appraisal</li> <li>▪ Complaints procedures (Officers)</li> <li>▪ Anti-fraud and –corruption policy</li> <li>▪ Member / officer protocols</li> <li>▪ Equality Standard for Local Government (Level III)</li> <li>▪ Devon Joint Declaration for Equality</li> <li>▪ Registration of Members as Data Controllers under Data Protection Act</li> <li>▪ Determination of Complaints (Members) (Local Code of Conduct/Complaints Process).</li> </ul>	<p>Part 5 of the Constitution (Code of Business Practice) also contains a Good Practice Guide on outlining Best Practice.</p> <p>The Council's Whistleblowing policy is also contained in Part 5 of the Constitution.</p> <p>Part 6 of the Constitution contains Codes of Personal Conduct applicable to Members and Officers.</p> <p>Local determination of complaints in line with revised standards arrangements and in consultation with the Independent Person appointed under the Localism Act 2011.</p> <p>Government approval of Officers Code of Conduct still awaited. In the absence of that guidance the County Council has supplemented the above with its own Acceptable Behaviour Code.</p> <p>Formal staff appraisal system.</p> <p>Ballot Box.</p> <p>The County Council's Personnel Policies are available at:  <a href="http://www.devon.gov.uk/index/jobscareers.htm?">http://www.devon.gov.uk/index/jobscareers.htm?</a> and <a href="http://staff.devon.gov.uk/pp/gap.htm">http://staff.devon.gov.uk/pp/gap.htm</a></p>		
Put in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias of conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice.	<ul style="list-style-type: none"> <li>▪ Standing orders</li> <li>▪ Codes of conduct</li> <li>▪ Financial regulations</li> <li>▪ Equality Standard for Local Government (Level III)</li> <li>▪ Devon Joint Declaration for Equality</li> </ul>	<p>See above.</p> <p>Part 4 of the Constitution set out the Council's rules and procedures for decision-making and the policy and budget frameworks.</p> <p>Work of Devon Audit Service/Devon Audit Partnership.</p> <p>Audit Commission Annual Agreement.</p> <p>Standing orders, codes of conduct and financial regulations well established and publicised throughout the Council.</p>		

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Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations and communicate these with members, staff, the community and partners.	<ul style="list-style-type: none"> <li>▪ Codes of conduct</li> </ul>	See above.		
Put in places arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continued effectiveness in practice.	<ul style="list-style-type: none"> <li>▪ Codes of conduct</li> <li>▪ Equality Standard for Local Government (Level III)</li> <li>▪ Devon Joint Declaration for Equality</li> <li>▪ Fair Trade Status</li> <li>▪ ISO27001</li> <li>▪ Staff Surveys</li> </ul>			
Develop and maintain an effective standards committee.	<ul style="list-style-type: none"> <li>▪ Terms of reference</li> <li>▪ Regular reporting to the council</li> <li>▪ Ethical Governance Audit and Self Assessment</li> <li>▪ Standards Committee Annual Report 2012/13</li> </ul>	<p>Part 3 of the Constitution (Scheme of Delegation) contains terms of reference of the Councils Standards Committee.</p> <p>The responsibility and working arrangements of the Standards Committee has been revised to take account of the provisions of the Localism Act 2011.</p> <p>The role and modus operandi of the Standards Committee is monitoring the Council's ethical governance framework in general and individual members performance. This was reaffirmed through the preparation of an Annual Report, Annual Meetings with Leader &amp; Chief Executive and attendance of Independent Members at meetings of the Council and its Committees and regular training.</p>		
Use the organisation's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority.	<ul style="list-style-type: none"> <li>▪ Decision-making practices</li> </ul>	<p>See above.</p> <p>Article 13 (Part 2 of the Constitution) sets out the principles of and responsibility for decision making.</p>		

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<p>In pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partners' behaviour both individually and collectively.</p>	<p>Protocols for partnership working Compact for Devon Devon Drug &amp; Alcohol Action Team (DDAAT) Alcohol Strategy for 2008/11 and Action Plan.</p>	<p>See above. The Council's vision is contained in its Strategic Plan and reflects the aims of the Community Strategy on which the Devon Strategic Partnership (DSP) takes the lead role. The Council has previously acknowledged that this was an area where improvement needed to be made to codify and identify all sources of partnership working. The Council therefore took a lead in 2006/07 in undertaking a review of the structure and governance of the DSP which have since been put in place. Principle enshrined in Part 11 of Constitution. The Compact for Devon is a practical agreement for improving relationships and working practices between organisations in the statutory sector and the voluntary &amp; community sectors, drawn up by the <i>Devon Hub</i>, comprising representatives of both sectors. The Council initiated a review in 2010 on the principles for involvement on partnership working</p>		

#### 4. Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

<p>Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall and that of any organisation for which it is responsible.</p>	<ul style="list-style-type: none"> <li>Scrutiny is supported by robust evidence and data analysis</li> </ul>	<p>Article 7 (Part 2 of the Constitution and the Scrutiny Procedure Rule (Part 4 of the Constitution) sets out the principles and practices of the scrutiny process, supplemented by a protocol for relationships and communications between the Cabinet and Scrutiny Committees and the Council's Working Practices (Part 10 of the Constitution). Annual Scrutiny Report submitted to County Council. The Council has endorsed an approach to the discharge of the Council's function to scrutinise partners contributions to shared objectives under the LAA. Scrutiny Committees receive regular performance management reports on a range of financial and non-financial measures. Treasury Management policy reviewed by Corporate Services Scrutiny Committee. Annual Budget formation subject to rigorous scrutiny review</p>	<p>A strong Schools Forum (DEF) (which reports to the Council's Cabinet) which discusses all school finance/strategy decisions</p>	
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<p>Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based.</p>	<ul style="list-style-type: none"> <li>▪ Decision-making protocols record of decisions and supporting materials</li> </ul>	<p>See above</p> <p>Agenda and minutes of Scrutiny Committees are normally held in public in accordance with the Council's Access to Information Procedures Rules and Agenda, Minutes &amp; Reports of all meetings are publicly available in line with legislation.</p> <p>The Constitution has been revised to take account of the provisions of the Local Government and Public Health Involvement Act 2007 in relation to <i>Strong Leader</i> and right of Member to put items on a scrutiny agenda. Amendments consequent of the provisions of the Local Democracy, Economic Development &amp; Construction Act 2009 being brought into force will necessarily be made as required. Similarly the impact of the Localism Act 2011 and the Health &amp; Social Care Act 2012 has been reflected in the Council's governance arrangements.</p> <p>Minutes are sufficiently detailed to give reasons for decisions where these do not follow written recommendations</p>		
<p>Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice.</p>	<ul style="list-style-type: none"> <li>▪ Members code of conduct</li> </ul>	<p>Members Code of Conduct set out at Part 6 of the Constitution together with other relevant Personal Codes of Conduct gives clear guidance.</p> <p>As part of Induction process for the Council the Monitoring Officer provides training on the Council's Constitution, the Ethical Framework and the Code of Conduct including and Members Interests; with refresher training provided on a regular basis thereafter.</p> <p>All County Councillors are required annually to review/refresh their General Declaration.</p> <p>District Audit regularly reviews declaration of interests by Members.</p> <p>Improved arrangements for declarations by officers</p>		
<p>Develop and maintain an effective audit committee (or equivalent) which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the functions of such a committee.</p>	<ul style="list-style-type: none"> <li>▪ Terms of reference</li> <li>▪ Membership</li> <li>▪ Training for committee members</li> </ul>	<p>Terms of reference set out at Part 3 of the Constitution.</p> <p>Membership appointed annually by the County Council.</p> <p>Investment &amp; Pension Fund Committee delegated with responsibility to approve accounts of Devon Pension Fund.</p> <p>Audit Committee comprises members independent of the Cabinet and Scrutiny Committees. It is constituted in line with COPRA recommendations and training provided to members on relevant issues e.g. Risk, AGS, Code of Practice, Statement of Accounts</p>		

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Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints.	<ul style="list-style-type: none"> <li>▪ Complaints procedure</li> </ul>	<p>Complaints /Feedback policy available all DCC premises and at:  <a href="http://www.devon.gov.uk/index/democracymunities/improving_our_services/compliments_and_complaints.htm">http://www.devon.gov.uk/index/democracymunities/improving_our_services/compliments_and_complaints.htm</a></p> <p>All services are responsible for investigating and responding to complaints at Stage 1 and 2 of the complaints procedure. The responsibility for Stage 2 investigations is now with Business Strategy and Support – Customer Relations Manager. There is no longer a Stage 3 process.</p>		
Ensure that those making decisions whether for the authority or the partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications.	<ul style="list-style-type: none"> <li>▪ Members' induction scheme</li> <li>▪ Training for committee chairs</li> <li>▪ Member Development Strategy</li> </ul>	<p>Detailed post entry Induction process designed for all Members after quadrennial elections.</p> <p>Ongoing training provided for Members over the life of the Council.</p> <p>Specific training provided where necessary or compulsory (e.g. Audit, Development Control).</p> <p>DCC Member Development Strategy being developed alongside Members Personal Development Plans to identify areas where Members need training (e.g. ICT, Chaining Skills).</p> <p>DCC has secured Charter Plus accreditation through the Charter for Member Development developed by the IDeA and the Regional Employers Organisation in line with the Council's Member Development Policy. Regular monitoring reports to Council's Procedures Committee.</p>		
Ensure that professional advice on matters that have legal and financial implication is available and recorded well in advance of decision making and used appropriately.	<ul style="list-style-type: none"> <li>▪ Record of decision making and supporting materials</li> </ul>	<p>See above.</p> <p>All Meetings of the Council, the Cabinet, the Health &amp; Wellbeing Board and Committees are normally held in public in accordance with the Council's Access to Information Procedures Rules and Agenda, Minutes &amp; Reports of all Council, Cabinet, the Health &amp; Wellbeing Board &amp; Committee meetings are publicly available in line with legislation.</p> <p>Article 12 (Part 2 of the Constitution) and the Budget and Policy Framework Rules provide that the Monitoring Officer and Chief Financial Officers have a duty to ensure lawfulness and fairness of decision making.</p>		<p>Professional advisers used for large value projects e.g. Energy from Waste Schemes.</p> <p>Advisers and actuaries used for Pension Fund investment issues.</p>
Ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their job.	<ul style="list-style-type: none"> <li>▪ Risk management protocol</li> <li>▪ Financial standards and regulations</li> </ul>	<p>DCC Annual Risk Assessment approved by the Audit Committee.</p> <p>Audit Committee receives regular reports on application of Council's Risk Management Plan.</p> <p>Reports to Cabinet and Committees recognise need to consider risk management issues and take appropriate action.</p> <p>Para C of Financial Regulations outlines requirements of Risk Management and Control of Resources.</p>		

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Ensure that arrangements are in place for whistle-blowing to which staff and all those contracting with the authority have access.	<ul style="list-style-type: none"> <li>▪ Whistle-blowing policy</li> </ul>	<p>As above.</p> <p>Whistleblowing policy outlined in Part 5 of the Constitution – Code of Business Conduct.</p> <p>Policy Statement on Proper Conduct of Business Introduction contained in Part 5 of the Constitution (Code of Business Practice).</p>		
Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine but also strive to utilise powers to the full benefit of their communities.	<ul style="list-style-type: none"> <li>▪ Constitution</li> <li>▪ Monitoring officer provisions</li> <li>▪ Statutory provision</li> </ul>	<p>As above.</p> <p>Article 1-15 (Part 2 of the Constitution) and the Scheme of Delegation (Part 3) set out the principles of decision making, the decision that may be taken by the Council, the Cabinet, or the Health &amp; Wellbeing Board and the terms of reference of the Councils Committees and delegations to Members and Officers.</p>		
Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on local authorities by public law.		<p>As above.</p> <p>Part 4 of the Constitution set out the Council's rules and procedures for decision making and the policy and budget frameworks.</p> <p>Article 12 (Part 2 of the Constitution) and the Budget and Policy Framework Rules provide that the Monitoring Officer and Chief Financial Officers have a duty to ensure lawfulness and fairness of decision making.</p>		
Observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justice - into their procedures and decision making processes.	<ul style="list-style-type: none"> <li>▪ Monitoring officer provisions</li> <li>▪ Statutory provision</li> <li>▪ Job description / specification</li> </ul>	<p>As above.</p> <p>County Solicitor (as Monitoring Officer) duties outlined in Article 12 (Part 2) of the Constitution in line with statutory requirements.</p>	Job descriptions for senior staff.	

## 5. Developing the capacity and capability of members and officers to be effective

Criteria	Source documents / good practice / other	Corporate/ Strategic / CLT & Members	People	Place
Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis.	<ul style="list-style-type: none"> <li>▪ Training and development plan</li> <li>▪ Induction programme</li> <li>▪ Evaluation of Induction Programme</li> <li>▪ Update course / information</li> </ul>	<p>As above</p> <p>Detailed Induction process designed for all Members after quadrennial elections followed by detailed evaluation of programme to ensure lessons learned for future programmes.</p> <p>Ongoing training provided for Members over life of Council and where required specific training provided to enable Members to serve on Committees (e.g. Audit, Development Management).</p> <p>DCC Member Development Strategy being developed with Member Development Group alongside Members Personal Development Plans to identify areas where Members need training).</p> <p>DCC has secured Charter Plus accreditation through the Charter for Member Development developed by the IDeA and the Regional Employers Organisation in line with the Council's Member Development Policy. Regular monitoring reports to Council's Procedures Committee.</p> <p>Corporate induction programme supplemented by on-the-job and professional training as appropriate.</p> <p>Regular training provided to Pension and Investment Committee members.</p> <p>Finance training programme provided to members following each County Council elections</p>		
Ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the authority.	<ul style="list-style-type: none"> <li>▪ Job description / personal specifications membership of top management team.</li> </ul>	<p>Article 12 (Part 2) of the Constitution sets out details of management structure and functions.</p> <p>Part 8 of Constitution summarises the Management Structure. Job Descriptions for staff at all levels.</p> <p>Learning &amp; development including guidance on recruitment selection process, management training.</p> <p><a href="http://www.devon.gov.uk/personnel_and_performance">http://www.devon.gov.uk/personnel_and_performance</a></p> <p><a href="http://staff.devon.gov.uk/pp/learningdevelopment.htm">http://staff.devon.gov.uk/pp/learningdevelopment.htm</a></p>		
Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively.	<ul style="list-style-type: none"> <li>▪ Training development plan.</li> </ul>	<p>As above.</p> <p>DCC Member Development Strategy being developed with Member Development Group alongside Members Personal Development Plans to identify areas where Members need training.</p> <p>DCC has secured Charter Plus accreditation through the Charter for Member Development developed by the IDeA and the Regional Employers Organisation in line with the Council's Member Development Policy. Regular monitoring reports to Council's Procedures Committee.</p> <p>Annual staff appraisal process used to identify training and development requirements.</p>		

Criteria	Source documents / good practice / other	Corporate/ Strategic / CLT & Members	People	Place
<p>Develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed.</p>	<ul style="list-style-type: none"> <li>▪ Training and development plan reflect requirements of a modern councillor including:               <ul style="list-style-type: none"> <li>○ The ability to scrutinise and challenge</li> <li>○ The ability to recognise when outside advice is needed</li> <li>○ Advice on how to act as an ambassador for the community</li> <li>○ Leadership and influencing skills</li> </ul> </li> </ul>	<p>As above.</p> <p>Specific training has also been provided on the Overview and Scrutiny role open to all members of the Council.</p>		
<p>Ensure that effective arrangements are in place for reviewing the performance of the executive as a whole and of individual members and agreeing an action plan which might, for example, aim to address any training or development needs.</p>	<ul style="list-style-type: none"> <li>▪ Performance management system</li> </ul>	<p>See above</p> <p>DCC developing Members Personal Development Plans (in consultation with members) which will incorporate a self assessment tool to enable member to identify learning and development needs and evaluate performance.</p> <p>The Standards Committee reviewed the results of an ethical governance audit and self assessment survey undertaken by Members in the latter part of 2009. The audit/assessment had been undertaken to help the Committee assess, inter alia, how the Council met the ethical agenda, what it meant to the way in which the Council worked, how the Council complied with ethical standards and whether or not any improvements might be needed. In general, the responses received had been by and large positive This will be repeated in 2014.</p>		
<p>Ensure that effective arrangements designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority.</p>	<ul style="list-style-type: none"> <li>▪ Strategic partnership framework</li> <li>▪ Stakeholders' forums' terms of reference</li> <li>▪ Area forums' terms of reference</li> <li>▪ Residents' panels structure</li> </ul>			

Criteria	Source documents / good practice / other	Corporate/ Strategic / CLT & Members	People	Place
Ensure that career structures are in place for members and officers to encourage participation and development.	<ul style="list-style-type: none"> <li>▪ Succession planning</li> <li>▪ Corporate Employment Strategy</li> <li>▪ Workforce Plan</li> </ul>	<p>Workforce Plans for all Directorates.</p> <p>Revised Workforce Plan.</p> <p>Workforce plans</p> <p><a href="http://staff.devon.gov.uk/pp/learningdevelopment/workforceplan-2/whatisworkforceplanning.htm">http://staff.devon.gov.uk/pp/learningdevelopment/workforceplan-2/whatisworkforceplanning.htm</a></p> <p>DCC Personnel Policies:</p> <p><a href="http://www.devon.gov.uk/personnel_and_performance">http://www.devon.gov.uk/personnel_and_performance</a></p> <p><a href="http://staff.devon.gov.uk/pp/learningdevelopment.htm">http://staff.devon.gov.uk/pp/learningdevelopment.htm</a></p>		
<b>6. Engaging with local people and other stakeholders to ensure robust local public accountability</b>				
Make clear to themselves, all staff and the community to whom they are accountable and for what.	<ul style="list-style-type: none"> <li>▪ Community strategy</li> </ul>	<p>Functions and roles of Members and Officers and decisions to be taken by Council or Cabinet Committees set out in Articles (Part 2) Constitution).</p> <p>Scheme of Delegation (Part 3) contains terms of reference of the Cabinet and Committees and delegations to Members and Officers.</p>		
Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required.	<ul style="list-style-type: none"> <li>▪ Community strategy</li> </ul>	The Devon Strategic Partnership acts as a forum for all partners to determine and review of the Community Strategy for Devon	A Schools Forum (DEF) (which reports to the Council's Cabinet) which discusses all school finance/strategy decisions.	
Produce an Annual Report on the activity of the scrutiny function.	<ul style="list-style-type: none"> <li>▪ Annual report</li> </ul>	Annual report submitted to County Council normally in May of each year.		
Produce an Annual Report on the work of the Council's Standards Committee.	<ul style="list-style-type: none"> <li>▪ Annual report</li> </ul>	Annual report submitted to the Standards Committee normally in April / May of each year.		
Ensure that clear channels of communication are in place with all sections of the community and other stakeholders, and put in place monitoring arrangements to ensure that they operate effectively.	<ul style="list-style-type: none"> <li>▪ Community strategy</li> <li>▪ Processes for dealing with competing demands within the community</li> </ul>	<p>As above</p> <p>Corporate Communications Strategy aimed at securing two-way communications and bringing the Council closer to the people of Devon.</p>		

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Hold meetings in public unless there are good reasons for confidentiality.	<ul style="list-style-type: none"> <li>▪ Community strategy</li> <li>▪ Processes for dealing with competing demands within the community</li> </ul>	<p>Statutory Requirement The Council's Access to Information Procedures Rules and the Public Participation Rules set out at Part 4 of the Constitution outline the duty upon the Council and how it Council encourages the public to become involved.</p> <p>Meetings of the Council, Cabinet, Health &amp; Wellbeing Board and major committees are also webcast live to improve accessibility for the public.</p>		
Ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands.	<ul style="list-style-type: none"> <li>▪ Community strategy</li> <li>▪ Processes for dealing with competing demands within the community</li> <li>▪ Communication strategy</li> </ul>	<p>As above.</p> <p>Wide range of bodies, partners and sectors consulted on a regular basis.</p> <p>Role of Devon Strategic Partnership (see section 4 above).</p> <p>Community Planning (led by Community Strategy Officer Team).</p>		
Establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users about including a feedback mechanism for those consultees to demonstrate what has changed as a result.	<ul style="list-style-type: none"> <li>▪ Partnership framework</li> <li>▪ Communication strategy</li> </ul>	<p>As above.</p> <p>Corporate Communications Strategy and Consultation Strategy set out mechanisms for engaging with and ensuring two-way flow of information.</p>		
On an annual basis, publish a performance plan giving information on the authority's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period.	<ul style="list-style-type: none"> <li>▪ Annual report</li> <li>▪ Annual financial statements</li> <li>▪ Corporate plan</li> <li>▪ Annual business plan</li> </ul>		<p>See above.</p> <p>Annual budget booklet outlines financial plans.</p> <p>Outturn report outlines financial performance relative to targets.</p> <p>Statement of Accounts outlines financial performance in Code of Practice format.</p> <p>Annual report outlines financial performance in specific areas.</p> <p>Treasury Management Stewardship Report</p>	

Criteria	Source documents / good practice / other	Corporate/ Strategic / CLT & Members	People	Place
<p>Ensure that the authority as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so.</p>	<ul style="list-style-type: none"> <li>▪ Constitution</li> </ul>	<p>The Summary and Explanation to the Constitution summarises the rights of members of the public as amplified throughout this response.</p> <p>Generally, the comments and observation previously made about the Corporate Communication Strategy, Complaints, Feedback, consultative mechanisms, access to information and public participation rules apply as does FOI regime.</p>		
<p>Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making.</p>	<ul style="list-style-type: none"> <li>▪ Constitution</li> </ul>	<p>The Council's Personnel Partnership deals with all matters relation to items and conditions of service for staff (Part 3 of the Constitution); supplemented by a number directorate/service based JCCs including staff representatives and elected members meeting on regular basis.</p> <p>Central Joint &amp; Health &amp; Safety Committee consulted on all relevant matters.</p>		