

**REPORT TO:** Audit and Governance Committee

**MEETING DATE:** 20 May 2014

**BY:** Chief Executive

**SUBJECT:** 2014 Corporate Governance Self-evaluation/ Annual Governance Statement

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## **1 PURPOSE**

- 1.1 To advise Audit and Governance Committee of the outcome of the 2014 Corporate Governance Self-evaluation and seek approval for the content of the Annual Governance Statement.

## **2 RECOMMENDATIONS**

- 2.1 Committee is asked to consider and comment on the self-evaluation (Appendix 1) and to approve the summary (paras 3.4 and 3.5) for inclusion in the Annual Governance Statement that will form part of the Council's 2013/14 Annual Accounts.

## **3 BACKGROUND**

- 3.1 Cabinet (11<sup>th</sup> May 2010) approved the adoption of a Code of Corporate Good Governance based on the six principles of good governance and the self-evaluation model outlined in the CIPFA/ SOLACE *Guidance on Delivering Good Governance in Local Government*. A task group comprising senior officers of the Council was given responsibility for developing, monitoring and reviewing the code and governance statement.
- 3.2 This group, comprising the Monitoring Officer (Depute Chief Executive, Partnerships and Community Services), Section 95 Officer (Head of Council Resources), Chief Social Work Officer (Head of Adult Wellbeing), Head of Communities and Partnerships and Internal Audit Manager, has reviewed the documentary evidence and practice around each of the six supporting principles and code requirements as detailed in the corporate governance code. The group also reviewed progress in achieving the

actions points arising from last year's self-evaluation that were incorporated into the 2013/14 Council Improvement Plan.

- 3.3 The review formed the basis of the self-evaluation which is detailed in Appendix 1.
- 3.4 The 2104 corporate governance self-evaluation has found that East Lothian Council continues to have good governance and control arrangements in place across the six principles. The improvement actions which have been carried out over the last three years have addressed the weaknesses that have been identified in previous self-evaluations. All the 21 improvement points included in the 2013/14 Council Improvement Plan, 13 of which arose from the 2013 Corporate Governance Self-evaluation, have been completed or are being completed (see Appendix 2).
- 3.5 This improvement work has contributed to positive feedback received from the most recent Assurance and Improvement Plan 2014-2017 published by the Accounts Commission which reported: *"The Local Area Network has worked actively and positively with the council to support self-evaluation activities throughout the year. This, along with other improvements in performance, has helped to change the LAN's assessments in 18 areas from last year's AIP from further information required to no scrutiny required."*
- 3.6 The reports of the Council's auditors (interim Management Report to Audit & Governance Committee, May 2014) and the Local Area Network (Assurance and Improvement Plan 2014-2017 to be reported to Council in June) provide assurance that there are no major concerns about the council's governance arrangements.
- 3.7 This year's Corporate Governance Self-evaluation has identified only four improvement actions, significantly fewer than the 13 improvement points identified in the 2013 self-evaluation. These are:
  - Develop and use toolkit of self-evaluation of Partnerships based on Improvement Service model (see 1.1.3)
  - Work with partners to develop and implement Children's Services inspection Improvement Plan (see 1.1.3)
  - Review and develop elected members' training and briefings including briefing on Capital Investment Strategy and development issues arising from Councillors' responses to a survey based Audit Scotland Overview of Scottish Local Government Councillors' Checklist (see 2.1.1)
  - Scrutiny training for PPR Co members (see 4.1.1).
- 3.8 These improvement points have been identified as actions that will ensure the Council can better meet its corporate governance responsibilities and will be included in the Council Improvement Plan that will be considered by Council, 24<sup>th</sup> June 2014.

#### **4 POLICY IMPLICATIONS**

- 4.1 The corporate governance code and self-evaluation framework detailed in Appendix 1 complement the Council's *How Good is Our Council* self-evaluation. The corporate governance self-evaluation fulfils the Council's commitment to assess whether it meets the principles and requirements set out in the guidance on Delivering Good Governance in Local Government. The addition of the summary of the self-evaluation to the Internal Financial Control statement will fulfil the remit to include an Annual Governance Statement in the Council's Annual Accounts.

#### **5 EQUALITIES IMPACT ASSESSMENT**

- 5.1 This report is not applicable to the well being of equalities groups and an Equalities Impact Assessment is not required.

#### **6 RESOURCE IMPLICATIONS**

- 6.1 Financial – none.  
6.2 Personnel – none.  
6.3 Other – none.

#### **7 BACKGROUND PAPERS**

- 7.1 Appendix 1: Corporate Governance Self-evaluation, May 2014  
7.2 Appendix 2: 2013/14 Council Improvement Plan: Monitoring Report  
7.3 Delivering Good Governance in Local Government: Guidance Note for Scottish Authorities. (CIPFA 2008)  
7.4 Report on Corporate Governance Self-evaluation; Corporate Governance PPRP, 22<sup>nd</sup> June 2010

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## APPENDIX 1: CORPORATE GOVERNANCE SELF-EVALUATION: May 2014

**PRINCIPLE 1: Focusing on the purpose of the authority; on outcomes for citizens; and, service users and creating and implementing a vision for the area**

Supporting Principle & Code Requirements	Evidence	2013 Update and Improvement Points	Update and 2014 Improvement Points
<b>1.1 Exercising strategic leadership by developing and clearly communicating the authority's purpose, vision and its intended outcome for citizens and service users</b>			
1.1.1 Develop and promote the authority's purpose and vision	<ul style="list-style-type: none"> <li>• 2020 Vision</li> <li>• Council Plan 2012-12017</li> <li>• Council Improvement Plan</li> <li>• Single Outcome Agreement (SOA)</li> <li>• HGIOC Self Evaluations</li> <li>• Communications of corporate objectives across services</li> <li>• Incorporation of objectives and outcomes in new Service Planning guidance</li> <li>• Corporate Induction Pack and training Course</li> <li>• Three –year Financial Strategy</li> </ul> <p>Employee Engagement Survey showed 95% of staff agreed "I know how my job contributes to the Council's objectives"</p>	<p>Council Plan approved in August 2013. Work has begun on promoting it to staff. Service Plans are to include clear links to the Council Plan priorities. Staff should be engaged in the service planning process</p> <p>Staff PRD's should include reference to Council Plan</p> <p>Continue with programme of communicating Plan priorities to staff and citizens</p> <p>No further action required</p>	<p>Council Plan monitoring report being prepared</p> <p>Continue with programme of communicating Plan priorities to staff and citizens</p> <p>Service Plans should reflect Council Plan priorities and actions</p> <p>Workforce Development Plan emphasises link to Council purpose and vision and PRDs</p> <p>One Council - Working Together workshop programme for staff across the Council is being organised</p> <p>No further action required</p>

<p>1.1.2 Review on a regular basis the authority's vision for East Lothian and its implications for the authority's governance arrangements</p>	<ul style="list-style-type: none"> <li>• Corporate Governance Code and self-evaluation framework adopted in May 2010</li> <li>• Report on Council's vision, priorities and policies (Council, 22<sup>nd</sup> Feb 2011)</li> <li>• Council Plan 2012-2017</li> <li>• Chief Officers/ Council Management Team re-structured March 2012 and in July 2013</li> <li>• Senior Management level restructured in Nov 2013</li> </ul>	<p>Area based model of service delivery Local Community Planning framework being developed</p> <p>No further action required</p>	<p>Area Partnership framework agreed and six Area Partnerships being established to develop six Area Plans linked to the SOA / Council Plan vision and priorities</p> <p>2020 Vision still relevant and forms basis of Council Plan and SOA</p> <p>No further action required</p>
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<p>1.1.3 Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners</p>	<ul style="list-style-type: none"> <li>• SOA 2013</li> <li>• East Lothian Partnership structure and remit and roles of partnerships</li> <li>• Agreements between ELC and partners</li> <li>• Shared Services agreement with Midlothian Council continuing through Joint Liaison Group</li> <li>• Local Policing Plan</li> <li>• Local Fire and Rescue Plan</li> </ul>	<p>Review of CPP completed with new more strategic structure created</p> <p>Scrutiny and engagement arrangements for Police and Fire and Rescue services agreed</p> <p>Council commitment to appointment of Jointly Accountable Officer responsible for Health and Social care integration</p> <p><b>2013 Action: Develop toolkit for self-evaluation of strategic partnerships</b></p>	<p>New CPP structure and SOA focused on delivering agreed vision, priorities and outcomes; roles and remits of East Lothian Partnership and supporting partnerships</p> <p>Jointly Accountable Officer appointed and the Shadow Health &amp; Social Care Partnership established. Integration Plan being developed and will be implemented from early 2015</p> <p>Local Policing Plan and Local Fire and Rescue Plan agreed by Council</p> <p>Partnering arrangements with Midlothian Council developed on a business case basis</p> <p>Improvement Plan arising from the inspection of Children's Services being developed to be agreed by June 2014 followed by implementation</p> <p>Development of toolkit for self-evaluation delayed until autumn 2014 as agreed by the East Lothian Partnership; toolkit being developed in association with the Improvement Service</p> <p><b>2014 Actions:</b></p> <p><b>Develop and use toolkit of self-evaluation of Partnerships based on Improvement Service model</b></p> <p><b>Work with partners to develop and implement Children's Services inspection Improvement Plan</b></p>
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<p>1.1.4 Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance</p>	<ul style="list-style-type: none"> <li>• Annual Accounts</li> <li>• Annual Performance Reports</li> <li>• SOA Annual Report</li> <li>• Unaudited Annual Accounts reported to Audit &amp; Governance Co in July and to Council in August</li> </ul>	<p>Unaudited accounts to be submitted to July meeting of Audit &amp; Governance Committee</p> <p>Annual Performance Report 2012/13 to be published on Council website in September</p> <p>No further action required</p>	<p>Unaudited accounts to be submitted to July meeting of Audit &amp; Governance Committee</p> <p>Annual Performance Report 2013/14 to be published on Council website in September</p> <p>No further action required</p>
<p><b>1.2 Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning</b></p>			
<p>1.2.1 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>	<ul style="list-style-type: none"> <li>• Service standards</li> <li>• HGIOC, Business Plans and Improvement Plans</li> <li>• SOA Annual Report</li> <li>• PPR Co reporting and Performance briefings for elected members</li> <li>• Complaints and compliments feedback</li> <li>• Independent inspection reports</li> <li>• CSWO Annual Report</li> <li>• Service users' surveys</li> <li>• 2011 Residents' Survey</li> <li>• East Lothian Profile and Ward Profiles</li> </ul>	<p>Consultation hub has been set up. Consideration being given to future Residents' Survey or alternative means of surveying East Lothian citizens</p> <p>Data profiles being developed for all wards to inform the development of the new SOA and provide indicator data</p> <p>No consultation on 2013/14 budget but consideration being given to future budget consultation exercise</p> <p>Service users' groups involved in the development of Commissioning Strategies for Adult and Children's social care</p> <p><b>2013 Action:</b></p> <p><b><i>Review consultation strategy with view to ensuring that service users' views about quality of services is measured and used effectively</i></b></p>	<p>Review of consultation strategy resulted in decision to establish an East Lothian Citizens' Panel to regularly review citizens' views about services; first survey in May 2014</p> <p>Data profiles have been completed and are being used to inform Council strategies and plans as well as Area Plans</p> <p>Use of Consultation hub being monitored</p> <p>East Lothian Partnership developing a Consultation and Engagement Framework to guide/support partnership consultation and engagement</p> <p>Budget consultation took place prior to setting 2014/15 budget</p> <p>No further action required</p>

<p>1.2.2 Put in place effective arrangements to identify and deal with failure in service delivery</p>	<ul style="list-style-type: none"> <li>• PPR Co reporting on key Performance indicators</li> <li>• HGIOC and service improvement plans incorporated into Service Plans</li> <li>• Significant case reviews in Social Work</li> <li>• Social Work Appeals Sub-Co</li> <li>• Social Work Complaints Review Co</li> <li>• Regular reporting of complaints and feedback</li> <li>• Whistleblowing Policy</li> <li>• External audits and inspection reports</li> <li>• Responding to issues raised by elected members</li> </ul>	<p>New 2-stage procedure has been established and is being reported on to PPR Co</p> <p>Corporate and Service Risk registers are in place</p> <p>No further action required</p>	<p>Six-monthly Customer Feedback performance reports presented to PPR Co. Poor customer feedback reflected back to relevant service for action</p> <p>Regular Performance reports considered by PPR Co and poor performance monitored and acted on</p> <p>Assurance and Improvement Plan provides assurance on overall performance</p> <p>No further action required</p>
<p><b>1.3 Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money</b></p>			



<p>1.3.1 Decide how value for money (VFM) 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</p>	<ul style="list-style-type: none"> <li>• Procurement Strategy</li> <li>• Performance Management framework</li> <li>• PPR Co reporting</li> <li>• Audit &amp; Governance Co reporting</li> <li>• 2011 Residents' Survey</li> <li>• Customer feedback / surveys</li> <li>• Consultation and Engagement Strategy</li> <li>• Procurement Improvement Plan and Procurement Capability Assessment</li> </ul>	<p>New Combined Impact Assessment incorporating Environmental Impact has been agreed and will be established</p> <p>Process for benchmarking and carrying out Best Value Reviews, incorporating Value for Money is being established as part of the Transformation Programme</p> <p>Review of Key Performance Indicators almost completed</p> <p>No further action required</p>	<p>Introduction of Combined Impact Assessment (including environmental impact) delayed to allow for agreement with Midlothian Council and NHS Lothian on a single CIA across the agencies. Final version agreed April 2014 and will be used in association with new reports template in August 2014</p> <p>Best Value Review template being developed</p> <p>Key Performance Indicators agreed and monitored</p> <p>Improved Procurement Capability Assessment achieved</p> <p>Benchmarking exercises using the Local Government Benchmarking Framework have begun</p> <p>Senior management group established to oversee reduction in rent arrears</p> <p>Chief Executive's budget review group established to ensure Council services operate within their approved budgets and the financial strategy</p> <p>No further action required</p>
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**PRINCIPLE 2: Members and Officers working together to achieve a common purpose with clearly defined functions and roles**

Supporting Principle & Code Requirements	Documentary Evidence <i>(new items in italics)</i>	2013 Update and Improvement Points	Update and 2014 Improvement Points
<b>2.1 Ensuring effective leadership throughout the authority and being clear about executive and non executive functions and of the roles and responsibilities of the scrutiny function</b>			
2.1.1 Set out a clear statement of the respective roles and responsibilities of Members generally and of Senior Officers	<ul style="list-style-type: none"> <li>• Scheme of Delegation</li> <li>• Member/ officer protocol</li> <li>• CPD pilot for elected members</li> <li>• Review of Impact of Multi-Member Wards and Officer Member Relations carried out in 2011</li> <li>• Induction programme for new elected members</li> <li>• Improvement Service Notebooks for new elected members</li> <li>• Guide to Scrutiny for elected members</li> <li>• Roles and Responsibilities for Elected members</li> </ul>	<p>Induction programme for new members was delivered in May/ June</p> <p>Draft revised Standing Orders include Roles and Responsibilities of Elected Members</p> <p>Series of senior managers Masterclasses has been held and further consideration being given to Leadership development programme</p> <p><b>2013 Action:</b> <b><i>Roll out CPD for elected members and continue to support elected member and senior management development</i></b></p> <p><b><i>Hold training session for elected members on new Standing Orders including session on Members Conduct delivered by the Standards Commission</i></b></p>	<p>Roles and Responsibilities for elected members agreed by Council</p> <p>Five elected members enrolled in CPD</p> <p>Regular briefings for elected members including Standards Commission session</p> <p><b>2014 Action:</b> <b><i>Review and develop elected members' training and briefings including briefing on Capital Investment Strategy and development issues arising from Councillors' responses to a survey based Audit Scotland Overview of Scottish Local Government Councillors' Checklist</i></b></p>
<b>2.2 Ensuring that a constructive working relationship exists between authority members and officers and that the responsibilities of members and officers are carried out to a high standard</b>			

<p>2.2.1 Determine a Scheme of Delegation and reserve powers within constitution, including a formal scheme on 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</p>	<ul style="list-style-type: none"> <li>• Scheme of Delegation</li> <li>• Policies such as HR policies include delegation of powers to officers</li> </ul>	<p>Review of Standing Orders and Scheme of Delegation completed with CMT approval. Consultation with elected members taking place in May before revised SO and SoD go for approval to June Council meeting</p> <p>No further action required</p>	<p>New Standing Orders and Scheme of Delegation agreed by Council</p> <p>No further action required</p>
<p>2.2.2 Ensure the Chief Executive is responsible and accountable to the authority for all aspects of operational management within the Scheme of Delegation</p>	<ul style="list-style-type: none"> <li>• Chief Executive's job description</li> <li>• Appraisal of Chief Executive</li> <li>• Peer review by Executive Directors</li> <li>• Scheme of Delegation</li> <li>• Members Library reports record decisions taken under delegated powers</li> </ul>	<p>As above</p>	<p>As above</p>
<p>2.2.3 Develop protocols to ensure that the Leader and Chief Executive negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained</p>	<ul style="list-style-type: none"> <li>• Member/ officer protocol within Council Standing Orders</li> <li>• Regular meetings between Chief Executive and Council Leader</li> <li>• Annual appraisal for Chief Executive with Leader and Depute Leader</li> <li>• New Council Plan based on joint working between Chief Executive and Council Management Team and Council Leader and Administration agreed by Council</li> <li>• Chief Executive and Council Leader jointly represent the Council at various forums</li> </ul>	<p>As per 2.1.1 above</p>	<p>See 2.1.1</p>

<p>2.2.4 Make a Senior Officer (the Section 95 Officer) responsible to the authority for ensuring appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining effective systems of internal financial control</p>	<ul style="list-style-type: none"> <li>• Section 95 Officer</li> <li>• Annual Accounts and Statement of Internal Financial Control</li> <li>• Internal and external audit reports</li> </ul>	<p>The roles and responsibilities of the Council's Statutory Officers are included in the revised draft Scheme of Administration</p> <p>No further action required</p>	<p>No further action required</p>
<p>2.2.5 Make a senior officer (the Monitoring Officer; and for social work services the Chief Social Work 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 Officer</li> <li>• Chief Social Work Officer</li> <li>• Internal audit reports</li> <li>• CSWO Annual Report</li> <li>• Scottish Government guidance on the role of CSWO and registered social workers</li> </ul>	<p>As above</p>	<p>No further action required</p>
<p><b>2.3 Ensuring relationships between the authority, its partners and the public are clear so that each know what to expect of each other</b></p>			
<p>2.3.1 Develop protocols to ensure effective communication between Members and Officers in their respective roles</p>	<ul style="list-style-type: none"> <li>• Member/ officer protocol within Council Standing orders</li> <li>• New Council Plan based on joint working between Chief Executive and Council Management Team and Council Leader and Administration agreed by Council</li> <li>• Regular Joint Senior Officers and Members group meetings held</li> </ul>	<p>As per 2.1.1 above</p>	<p>See 2.1.1</p>

<p>2.3.2 Ensure that an established scheme for remuneration of Members and Officers and an effective structure for managing the process including an effective remuneration panel (if applicable) are in place</p>	<ul style="list-style-type: none"> <li>• The Council follows the recommendations made by the Scottish Local Authorities Remuneration Committee</li> <li>• Chief Executives' scheme of remuneration</li> <li>• Registers of Interest for Members and Chief Officials</li> <li>• Auditors reviewed the outcome of the review of senior officers</li> </ul>	<p>The roles and responsibilities of the Council's Statutory Officers and elected members are included in the revised draft Scheme of Administration</p> <p>No further action required</p>	<p>No further action required</p>
<p>2.3.3 Ensure that effective mechanisms exist to monitor service delivery</p>	<ul style="list-style-type: none"> <li>• Performance Management / Improvement framework</li> <li>• Performance website includes details of key performance indicators</li> <li>• Members' quarterly briefings and reports to PPR Committee</li> <li>• HGIOC</li> <li>• Service Plans and Corporate Improvement Plan</li> <li>• Independent inspections</li> <li>• Assurance and Improvement Plan agreed with Local Area Network</li> </ul>	<p>Review of Key Performance Indicators and use of benchmarking being completed</p> <p><b>2013 Action:</b> <b>Review and revise the Improvement Framework</b></p> <p><b>Focused work with Local Area Network on an agreed programme of self-evaluation for improvement</b></p>	<p>See 1.3.1</p> <p>Monthly Heads of Service Highlight reports with a focus on performance considered by Council Management Team</p> <p>Focused work with Local Area Network on self-evaluation programme</p> <p>No further action required</p>
<p>2.3.4 Ensure that the authority's vision, corporate plans, priorities and targets are developed, through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated</p>	<ul style="list-style-type: none"> <li>• New Council Plan based on draft approved in Jan 2012 and administration party manifestos</li> <li>• Single Outcome Agreement</li> <li>• 2011 Residents' Survey</li> <li>• Consultation and Engagement Strategy</li> <li>• Council's vision, Plan and priorities are communicated to the extended Council Management Team, including Head Teachers</li> </ul>	<p>Council Plan has been disseminated to staff and the public. Service Plans are to include clear links to the Council Plan priorities</p> <p>Programme to ensure that Council's vision, Plan and priorities are clearly articulated and disseminated will continue</p>	<p>See 1.1.1</p>

<p>2.3.5 When working in partnership ensure that Members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the authority</p>	<ul style="list-style-type: none"> <li>• Scheme of Administration, including Scheme of Delegation and Councillors' Code of Conduct</li> <li>• Memorandums and Articles of arms length companies</li> <li>• Induction programme for new elected members</li> <li>• Improvement Service Notebooks for new elected members</li> <li>• Advice provided to members on partnerships and outside bodies (e.g. Enjoy Leisure and Musselburgh Joint Racecourse Committee)</li> </ul>	<p>Induction programme for new members was delivered in May/ June</p> <p>Draft Standing Orders include Roles and Responsibilities of Elected Members</p> <p>CPD for elected members to be rolled – including 360 degree appraisal involving partners and stakeholders</p> <p><b>2013 Action:</b> <b>Induction programme for all members of new Community Planning Partnerships, including elected members</b></p>	<p>See 2.1.1</p> <p>East Lothian Partnership Handbook includes roles and responsibilities of Partnership members</p> <p>No further action required</p>
<p>2.3.6 When working in partnership, ensure that there is clarity about the legal status of the partnership; ensure that representatives of organisations both understand and make clear to all other partners the extent of their authority to bind their organisations to partner decisions</p>	<ul style="list-style-type: none"> <li>• As above</li> <li>• Partnership Funding Strategy</li> <li>• East Lothian Partnership Improvement Plan</li> <li>• Service Level Agreements increasingly used when funding outside organisations</li> <li>• Procurement Improvement Plan</li> <li>• Adult and Children's Services Commissioning strategies</li> </ul>	<p>Partnership Financial Strategy being developed</p> <p>Review of CPP completed with new more strategic structure created</p> <p>Proposals being developed for community asset transfer to Community Centre Management Committees include consideration of legal status</p> <p>No further action required</p>	<p>Joint Asset Management Group established by East Lothian Partnership</p> <p>Transfer of Community Centres to Management Committees progressing</p> <p>No further action required</p>

**PRINCIPLE 3: Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behavior**

Supporting Principle & Code Requirements	Documentary Evidence <i>(new items in italics)</i>	2013 Update and Improvement Points	Update and 2014 Improvement Points
<b>3.1 Ensuring authority Members and Officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance</b>			
3.1.1 Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect	<ul style="list-style-type: none"> <li>• Scheme of Administration, including Councillors' Code of Conduct</li> <li>• Various mechanisms used to inform council staff and the public of council decisions and policies</li> <li>• Customer Excellence</li> <li>• East Lothian Way</li> <li>• Joint Consultative Machinery with local JTU</li> <li>• Annual Employee Engagement Survey and feedback to staff</li> <li>• All FOI responses are on the Council's website</li> <li>• Whistleblowing Policy</li> <li>• Council's website has been improved and achieved positive SOCITM score</li> <li>• Workforce Development Plan</li> </ul>	<p><b>2013 Action:</b>  <i>Implement programme of action to respond to the results of the Employee Engagement Survey</i></p> <p><i>Review Whistleblowing Policy and publicise to all staff</i></p>	<p>Review of Whistleblowing Policy completed</p> <p>Employee Engagement Survey found 90% of staff able to disclose personal information and 87% of staff feel they are treated fairly</p> <p>Management training (CMI 5 and CMI 3) rolled out for senior managers and frontline managers</p> <p>No further action required</p>

<p>3.1.2 Ensure that standards of conduct and personal behaviour expected of all Members and staff, and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols</p>	<ul style="list-style-type: none"> <li>• Scheme of Administration, including Councillors' Code of Conduct</li> <li>• Community Planning Board, Local Area Forums and SOA theme groups remit</li> <li>• Disciplinary Code of Conduct for Employees</li> <li>• The East Lothian Way</li> <li>• Performance Review and Development Scheme for employees</li> <li>• Transformational Leadership Programme for senior officers and managers</li> <li>• Review of Impact of Multi-Member Wards and Officer Member Relations</li> <li>• Scottish Social Services Council Code of Conduct</li> </ul>	<p>Partnership Financial Strategy being developed</p> <p>Review of CPP completed with new more strategic structure created</p> <p>CPD for elected members to be rolled out</p> <p><b>2013 Action: see 2.1.1 above</b></p> <p><b>Review People Strategy including the how the values from the East Lothian Way are disseminated to staff</b></p>	<p>East Lothian Partnership is to agree a Code of Conduct for members of the Partnership groups</p> <p>Elected members' Roles and responsibilities agreed by the Council</p> <p>Workforce Development Strategy includes refresh of PDFs and East Lothian Way</p> <p>Staff Communications being reviewed</p> <p>No further action required</p>
<p>3.1.3 Put in place arrangements to ensure that Members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice</p>	<ul style="list-style-type: none"> <li>• Members' and Officers Codes of Conduct and Registers of Interests</li> <li>• Standing Orders</li> <li>• Single Equality Scheme</li> <li>• Standing Orders including Scheme of Delegation and Councillors' Code of Conduct with provisions for Declarations of Interest</li> <li>• Equalities Policies</li> <li>• Whistleblowing Policy</li> <li>• Gifts and Hospitality policy</li> <li>• Induction programme for new elected members</li> </ul>	<p>see 2.1.1above</p>	<p>See 2.1.1</p>



<b>3.2 Ensuring that organisational values are put into practice and are effective</b>			
<p>3.2.1 Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations, and communicating these with Members, staff, the community and partners</p>	<ul style="list-style-type: none"> <li>• East Lothian Way</li> <li>• Council Plan 2012-2017</li> <li>• SOA and Community Plan</li> <li>• Customer Excellence</li> <li>• Transformational Leadership Programme</li> <li>• Performance Review &amp; Development Scheme for employees</li> <li>• Corporate Induction Pack and Course for Managers</li> <li>• Code of Conduct and Disciplinary Procedures for all employees</li> <li>• Team Talk communication channel</li> <li>• Workforce Development Strategy and Plan</li> </ul>	<p><b>2013 Action:</b>  <b>Review People Strategy including the how the values from the East Lothian Way are disseminated to staff</b></p> <p><b>Implement programme of action to respond to the results of the Employee Engagement Survey</b></p>	<p>Workforce Development Strategy and plan developed including actions to review the East Lothian Way</p> <p>CMI 5 and CMI 3 programme for senior managers and frontline managers</p> <p>Response to Employee Engagement Survey 2014 being developed</p> <p>Staff communications being reviewed</p> <p>No further action required</p>
<p>3.2.2 Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice</p>	<ul style="list-style-type: none"> <li>• Standing Orders including Councillors' Code of Conduct</li> <li>• Gifts and Hospitality policy</li> </ul>	<p>See above</p>	<p>No further action required</p>
<p>3.2.3 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</p>	<ul style="list-style-type: none"> <li>• Standing Orders</li> <li>• East Lothian Way</li> <li>• Roll out of Performance Review and Development for all employees</li> <li>• Annual Employee Engagement Survey</li> <li>• Council Plan 2012-2017</li> </ul>	<p>See above</p>	<p>No further action required</p>

**PRINCIPLE 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk**

Supporting Principle & Code Requirements	Documentary Evidence <i>(new items in italics)</i>	2013 Update and Improvement Points	Update and 2014 Improvement Points
<b>4.1 Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny</b>			
4.1.1 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	<ul style="list-style-type: none"> <li>• Scheme of Administration</li> <li>• Audit &amp; Governance and PPR Committees</li> <li>• Reviews of the use of Scrutiny Guide by Audit &amp; Governance and PPR Committees</li> </ul>	<p><b>2013 Action:</b>  <i>Training for Audit &amp; Governance Co and PPR Co members</i></p> <p><b>Focused work with Local Area Network on an agreed programme of self-evaluation for improvement</b></p>	<p>CIPFA course on the Role of Audit Committee attended by Audit &amp; Governance Committee and Chair of PPR Co</p> <p>LAN supported HGIOC peer review sessions and 2013 Corporate Governance Self-evaluation</p> <p><b>2014 Action:</b>  <b>Scrutiny training for PPR Co members</b></p>
4.1.2 Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based	<ul style="list-style-type: none"> <li>• Scheme of Administration including Scheme of Delegation</li> <li>• Members Library Service and Bulletin to report delegated decisions</li> <li>• E-gov provides access to all reports and minutes</li> </ul>	No further action required	No further action required

<p>4.1.3 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>• Standing Orders including Scheme of Delegation and Councillors' Code of Conduct with provisions for Registers and Declarations of Interest</li> <li>• Recruitment and Selection procedures and training</li> <li>• Discipline and Grievance Procedures</li> <li>• Whistleblowing Policy</li> <li>• Gifts and hospitality policy</li> <li>• 2011 Procurement Strategy</li> </ul>	<p><b>2013 Action:</b> <b>Review Whistleblowing Policy and publicise to all staff</b></p>	<p>Whistleblowing Policy reviewed and will be published and publicised to staff in May</p> <p>No further action required</p>
<p>4.1.4 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>• Standing Orders and Scheme of Administration</li> <li>• Audit &amp; Governance Committee</li> <li>• Elected members Scrutiny Guide</li> <li>• Assurance and Improvement Plan agreed with Local Area Network</li> <li>• Quarterly briefing on performance indicators</li> </ul>	<p><b>2013 Action:</b> <b>Training for Audit &amp; Governance Co and PPR Co members</b></p>	<p>See 4.1.1</p>
<p>4.1.5 Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints</p>	<ul style="list-style-type: none"> <li>• Complaints policy 'Feedback'</li> <li>• Publicity about complaints procedures</li> <li>• Six-monthly report on complaints and feedback made to PPR Committee</li> </ul>	<p>New 2-stage complaints procedure has been established with six-monthly performance reports to PPR Co</p> <p>No further action required</p>	<p>Six-monthly Customer Feedback performance reports presented to PPR Co. Poor customer feedback reflected back to relevant service for action</p> <p>No further action required</p>
<p><b>4.2 Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs</b></p>			

<p>4.2.1 Ensure that those making decisions are provided with information that is fit for purpose - relevant, timely and gives clear explanations of technical issues and their implications</p>	<ul style="list-style-type: none"> <li>• Format of Council, Cabinet, Audit &amp; Governance Co, PPR Co and Community Planning Board reports</li> <li>• Calendar of meetings and timely preparation of agendas and papers</li> <li>• Three-year Financial Strategy</li> <li>• Advice in preparing annual budget</li> <li>• Performance website and quarterly briefing for elected members</li> </ul>	<p>No further action required</p>	<p>See 2.1.1</p>
<p>4.2.2 Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately</p>	<ul style="list-style-type: none"> <li>• Agendas and papers for Council, Cabinet, Audit &amp; Governance Co, PPR Co and Community Planning Board</li> <li>• Monitoring Officer, s95 Officer and Chief Social Work Officer provide advice on legal or financial implications as required</li> </ul>	<p>Review of Standing Orders and Scheme of Delegation completed with CMT approval. Consultation with elected members taking place in May before revised SO and SoD go for approval to June Council meeting</p> <p>No further action required</p>	<p>No further action required</p>
<p><b>4.3 Ensuring that an effective risk management system is in place</b></p>			
<p>4.3.1 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 jobs</p>	<ul style="list-style-type: none"> <li>• Risk Management Strategy</li> <li>• Risk Management Groups</li> <li>• Role of Audit &amp; Governance Co</li> <li>• Corporate and Service Risk Registers</li> <li>• Service Plans reflect corporate and service risks</li> </ul>	<p>Revised Service Registers being presented to Audit &amp; Governance Co</p> <p>No further action required</p>	<p>No further action required</p>
<p>4.3.2 Ensure that arrangements are in place for whistleblowing to which staff and all those contracting with the authority have access</p>	<ul style="list-style-type: none"> <li>• Standing Orders including Codes of Conduct</li> <li>• Whistleblowing Policy</li> </ul>	<p><b>2013 Action:</b> <b>Review Whistleblowing Policy and publicise to all staff</b></p>	<p>See 4.1.3</p>

**4.4 Using the authority's legal powers to the full benefit of the citizens and communities in their areas.**

<p>4.4.1 Actively recognise the limits of lawful activity placed on the authority by, for example, the ultra vires doctrine, but also strive to utilise powers to the full benefit of East Lothian's communities</p>	<ul style="list-style-type: none"> <li>• Senior officers and elected members have a general understanding of statutory powers</li> <li>• Standing Orders detail statutory powers under which senior officers operate</li> <li>• Monitoring Officer, s95 Officer and Chief Social Work officer provide appropriate advice</li> <li>• Internal and external Audit reports</li> </ul>	<p>Council responds to consultations on new legislative proposals (e.g. Children's Bill, Community Empowerment and Renewal Bill) and is actively involved in preparing for new legislation (e.g. creating shadow Health and Social Care Partnership)</p> <p>No further action required</p>	<p>No further action required</p>
<p>4.4.2 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>	<ul style="list-style-type: none"> <li>• Scheme of Administration including Scheme of Delegation</li> <li>• Monitoring Officer, s95 Officer and Chief Social Work officer provide appropriate advice</li> <li>• Internal and external Audit reports</li> </ul>	<p>Review of Standing Orders and Scheme of Delegation completed with CMT approval. Consultation with elected members taking place in May before revised SO and SoD go for approval to June Council meeting</p> <p><b>2013 Action:</b>  <b>Hold training session for elected members on new Standing Orders including session on Members Conduct delivered by the Standards Commission</b></p>	<p>Standards Commission briefing session held for elected members</p> <p>No further action required</p>

<p>4.4.3 Observe all specific legislative requirements placed upon the authority, 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 the authority’s procedures and decision making processes</p>	<ul style="list-style-type: none"> <li>• Standing Orders including establishment of quasi judicial committees and sub-committees</li> <li>• Monitoring Officer, s95 Officer and Chief Social Work Officer provide appropriate advice</li> <li>• Legal advice provided to elected members to support decision-making; for example: <ul style="list-style-type: none"> <li>○ Procurement</li> <li>○ Coastal car park charging</li> <li>○ School catchment areas</li> </ul> </li> </ul>	<p>No further action required</p>	<p>No further action required</p>
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**PRINCIPLE 5: Developing the capacity and capabilities of members and officers to be effective**

Supporting Principle & Code Requirements	Documentary Evidence <i>(new items in italics)</i>	2013 Update and Improvement Points	Update and 2013 Improvement Points
<b>5.1 Make sure that Members and Officers have the skills, knowledge, experience and resources they need to perform their roles well.</b>			
5.1.1 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>• Induction programme for officers, CPD and training opportunities for staff</li> <li>• Piloted CPD for members</li> <li>• Performance Review and Development for all employees</li> <li>• Corporate Learning</li> <li>• E-Learning / LearnNet on Elnet</li> <li>• Induction programme for new elected members</li> <li>• Induction Notebooks on Elnet</li> </ul>	Draft Standing Orders include Roles and Responsibilities of Elected Members  CPD for elected members to be rolled out  <b>2013 Action:</b> <b><i>Roll out CPD for elected members and continue to support elected member and senior management development</i></b>	Five elected members enrolled in CPD programme  Programme of briefing session for elected members  No further action required
5.1.2 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 descriptions for statutory officers</li> <li>• Networking and development opportunities for statutory officers through professional associations</li> <li>• Role of statutory officers recognised in Scheme of Administration</li> <li>• People Strategy</li> <li>• Workforce Development Strategy and Plan</li> </ul>	Series of senior managers Masterclasses has been held and further consideration being given to Leadership development programme  Rigorous recruitment process undertaken to fill Heads of Service posts following review and adoption of new Chief Officers structure in April 2012  <b>2013 Action:</b> <b><i>Review People Strategy including the how the values from the East Lothian Way are disseminated to staff</i></b>	No further action required
<b>5.2 Developing the capability of people with governance responsibilities and evaluating their performance as individuals and as a group</b>			

<p>5.2.1 Assess the skills required by Members and Officers and make a commitment to develop those skills to enable roles to be carried out effectively</p>	<ul style="list-style-type: none"> <li>• CPD pilot for elected members</li> <li>• Performance Review and Development all employees</li> <li>• Guide to Scrutiny and Review published and scrutiny training provided for elected members</li> <li>• Elected members' Performance Briefings to encourage scrutiny of performance information</li> </ul>	<p>See 2.1.1 above</p>	<p>See 2.1.1</p>
<p>5.2.2 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>	<p>As above</p>	<p><b>2013 Action:</b> <b><i>Focused work with Local Area Network on an agreed programme of self-evaluation for improvement</i></b></p>	<p>See 4.1.1</p>
<p>5.2.3 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>• CPD pilot for elected members</li> <li>• Elected Members' Code of Conduct &amp; complaints about performance</li> </ul>	<p>As 2.1.1 above</p>	<p>See 2.1.1</p>
<p><b>5.3 Encouraging new talent for membership of the authority so that best use can be made of individual's skills and resources in balancing continuity and renewal.</b></p>			



<p>5.3.1 Ensure that effective arrangements are in place designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority</p>	<ul style="list-style-type: none"> <li>• Local Area Forums</li> <li>• Community Planning Community Engagement Strategy</li> <li>• Tenants and Residents Panel</li> <li>• Support for Voluntary Action east Lothian to participate in the Community Planning structures</li> <li>• Community Councils</li> <li>• Petitions Committee, including new online features</li> <li>• new media strategy</li> <li>• Consultation and Engagement Strategy</li> </ul>	<p>Consultation strategy being implemented</p> <p>New CPP structure involves greater participation from voluntary and community sector representatives</p> <p>New Local Community Planning framework being developed</p> <p>Volunteering Strategy being developed in association with VDEL</p> <p>No further action required</p>	<p>See 1.2.1</p>
<p>5.3.2 Ensure that career structures are in place for members and officers to encourage participation and development</p>	<ul style="list-style-type: none"> <li>• CPDs for officers</li> <li>• People Strategy</li> <li>• Transformational Leadership Programme</li> <li>• Performance Review and Development for all employees</li> <li>• Workforce Development Strategy and Plan</li> </ul>	<p><b>2013 Action:</b>  <b>Review People Strategy including the how the values from the East Lothian Way are disseminated to staff</b></p>	<p>Workforce Development Strategy and Plan includes action around succession planning – creating a workforce for the future</p> <p>No further action required</p>

**PRINCIPLE 6: Engaging with local people and other stakeholders to ensure robust public accountability**

Supporting Principle & Code Requirements	Documentary Evidence <i>(new items in italics)</i>	2013 Update and Improvement Points	Update and 2014 Improvement Points
<p><b>6.1 Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships.</b></p>			
<p>6.1.1 Make clear to all staff and the community to whom the authority's leadership are accountable and for what</p>	<ul style="list-style-type: none"> <li>• Council Plan 2012-2017, SOA, Corporate Improvement Plan, Service and Business Plans</li> <li>• Information on Executive Directors and Department responsibilities on <a href="http://www.eastlothian.gov.uk">www.eastlothian.gov.uk</a></li> <li>• Annual Performance Reports</li> <li>• Living newspaper</li> </ul>	<p>Area based integrated service delivery model being developed</p> <p>New Local Community Planning framework being developed</p> <p>No further action required</p>	<p>No further action required</p>
<p>6.1.2 Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required</p>	<ul style="list-style-type: none"> <li>• Various forums for engaging with stakeholders including the CPP, Local Area Forums, ELTRP, Community Councils and Parents Councils</li> <li>• Consultation and Engagement Strategy</li> </ul>	<p>Consultation strategy being implemented</p> <p>New Local Community Planning framework being developed</p> <p>Combined Impact Assessment has been developed with requirement to consider views of protected groups</p> <p>No further action required</p>	<p>See 1.2.1</p>
<p>6.1.3 Produce an annual report on the activity of the scrutiny function</p>	<ul style="list-style-type: none"> <li>• Annual Performance Reports</li> <li>• Internal and external Audit Plans reviewed</li> <li>• Quarterly performance information published on-line</li> <li>• Internal controls assurance statement</li> </ul>	<p>2012/13 Annual Performance Report will include report on activity of the scrutiny committees</p> <p>No further action required</p>	<p>No further action required</p>
<p><b>6.2 Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority or in partnership or by commissioning</b></p>			

<p>6.2.1 Ensure 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</p>	<ul style="list-style-type: none"> <li>• Communications Strategy</li> <li>• Community Planning Community Engagement Strategy</li> <li>• VOiCE used to monitor community engagement activities</li> <li>• 2011 Residents' Survey</li> <li>• Consultation and Engagement Strategy</li> <li>• Complaints procedures and monitoring reports</li> </ul>	<p>New Local Community Planning framework being developed</p> <p>Combined Impact Assessment has been developed with requirement to consider views of protected groups</p> <p><b>2013 Action:</b> <b><i>Review consultation strategy with view to ensuring that service users' views about quality of services is measured and used effectively</i></b></p>	<p>See 1.2.1</p>
<p>6.2.2 Hold meetings in public unless there are good reasons for confidentiality</p>	<ul style="list-style-type: none"> <li>• Council meetings are held in public</li> <li>• Agendas, papers and minutes are published on the Council's website</li> </ul>	<p>No further action required</p>	<p>No further action required</p>
<p>6.2.3 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</p>	<ul style="list-style-type: none"> <li>• Equality and Diversity Network</li> <li>• Community Planning Community Engagement Strategy</li> <li>• Community Councils</li> <li>• Local Area Forums</li> <li>• ELTRP</li> <li>• 2011 Residents' Survey</li> <li>• Consultation and Engagement Strategy</li> </ul>	<p>Consultation strategy being implemented; Consultation hub with feedback section has been established</p> <p>New Local Community Planning framework being developed</p> <p>Combined Impact Assessment has been developed with requirement to consider views of protected groups</p> <p><b>2013 Action:</b> <b><i>Introduce Combined Impact Assessment and process for identifying and monitoring the needs of minority and vulnerable groups, including Looked After Children</i></b></p>	<p>See 1.2.1</p>

<p>6.2.4 Establish clear policy on the types of issues the authority 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</p>	<ul style="list-style-type: none"> <li>• Community Planning Community Engagement Strategy</li> <li>• ELTRP</li> <li>• Community Councils consulted on planning matters</li> <li>• Consultation and Engagement Strategy</li> </ul>	<p>As above</p>	<p>As above</p>
<p>6.2.5 Publish an annual performance plan giving information on the authority's vision, strategy, plans and finances well as information about incomes, achievements and satisfaction of service users in the previous period</p>	<ul style="list-style-type: none"> <li>• Annual Performance Reports</li> <li>• Annual Accounts</li> <li>• Improvement Framework</li> </ul>	<p><b>2013 Action:</b> <b><i>Review and revise the Improvement Framework, including performance reporting</i></b></p>	<p>No further action required</p>

<p>6.2.6 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>• Compliance with the Freedom of Information Act and Data Protection Act</li> <li>• Council meetings held in public</li> <li>• Agendas for meetings, minutes and reports published on the Council website</li> <li>• Living newspaper</li> <li>• Star Awards Public Nominations</li> <li>• Petitions Committee</li> <li>• Performance website</li> </ul>	<p>Consultation hub has been set up</p> <p>Consideration being given to future Residents' Survey or alternative means of surveying East Lothian citizens and service users. No consultation on 2013/14 budget but consideration being given to future budget consultations</p> <p>Service users' groups have been involved in the development of Commissioning Strategies for Adult and Children's social care services</p> <p>New CPP structure involves greater participation from voluntary and community sector representatives</p> <p>New Local Community Planning framework being developed</p> <p>No further action required</p>	<p>See 1.2.1</p> <p>Most recent FOI/ Data Protection inspection provided assurance that the Council is complying with legislation</p> <p>FOI responses published on website</p> <p>No further action required</p>
<p><b>6.3 Making best use of human resources by taking an active and planned approach to meet responsibility to staff</b></p>			
<p>6.3.1 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>• People Strategy</li> <li>• JCC and JC Groups</li> <li>• Employee and JTU Consultations</li> <li>• Annual Budget Review and Development Discussions for JTU</li> <li>• Employee Engagement Survey</li> <li>• Annual Working Together Forum</li> <li>• Staff involved in HGIOC</li> </ul>	<p><b>2013 Action:</b>  <b>Review People Strategy including the how the values from the East Lothian Way are disseminated to staff</b></p> <p><b>Implement programme of action to respond to the results of the Employee Engagement Survey</b></p>	<p>Workforce Development Plan responds to issues raised in the Employee Engagement Survey and Working together Forum</p> <p>Communications and engagement protocol being developed with Trade Unions and Joint Consultative Groups being revised</p> <p>No further action required</p>

## 2013/14 Council Improvement Plan: Monitoring Statement (April 2014)

### 2013/14 Council Improvement Plan

We deliver excellent services as effectively and efficiently as possible

	<b>ACTION</b>	<b>LEAD SERVICE</b>	<b>TIMESCALE</b>	<b>Update (April 2014)</b>
1	Develop toolkit for self-evaluation of strategic partnerships	Partnerships and Communities	Autumn 2014	<p>The Toolkit will be based on the Improvement Service Community Planning Partnership self-evaluation toolkit. East Lothian Partnership will undertake a self-evaluation supported by the Improvement Service in autumn 2014</p> <p>The self-evaluation will ensure that the Partnership is aware of its strengths and weaknesses and can identify appropriate improvement actions that will contribute to the delivery of the Single Outcome Agreement</p>
2	Review consultation strategy with view to ensuring that service users' views about quality of services is measured and used effectively	Partnerships and Communities	Completed	<p>Review of consultation strategy led to the decision to establish a Citizens' Panel (with c.2,000 people) with two surveys a year and scope for ad hoc surveys. The Panel is being established and the first survey will be conducted in June 2014</p> <p>The Citizens Panel will provide the</p>

				views of a representative sample of residents on quality of life, public services and key issues that will help to monitor outcomes in the Single Outcome Agreement and inform future service priorities
3	Roll out CPD for elected members and continue to support elected member and senior management development	Council Resources/ Partnerships and Communities	Completed	<p>Five elected members have signed up for the CPD and the Council has begun a programme of Elected members' briefings on key issues</p> <p>A management development course leading to a Chartered Institute of Management Level 5 qualification is being undertaken by senior managers</p> <p>Evaluation of development training for elected members and senior managers will be carried out to assess the impact of the development opportunities and further improve the Council's management and political leadership</p>
4	Hold training session for elected members on new Standing Orders including session on Members Conduct delivered by the Standards Commission	Council Resources	Completed	A briefing session on the Councillors' Code of Conduct was conducted by the Standards Commission
5	Training for Audit & Governance Co and PPR Co members	Council Resources	Completed	A CIPFA training course on the role of Audit Committee was held and attended by members of the Committee. The course had a positive evaluation from the members present and they have put some of the learning into practice at

				<p>Committee meetings</p> <p>Further consideration should be given to providing scrutiny training for members of the PPR Committee</p>
6	<p>Induction programme for all members of new Community Planning Partnerships, including elected members</p>	<p>Partnerships and Communities</p>	<p>Completed</p>	<p>An induction session was held for all East Lothian Partnership members in June 2013. A handbook on the role of members of the Partnership has been produced</p>
7	<p>Review and revise the Improvement Framework and make more effective use of benchmarking, develop guidance and training on the use of benchmarking, Best Value reviews and options appraisal</p>	<p>Partnerships and Communities</p>	<p>July 2014</p>	<p>The Council is participating in two national benchmarking exercises being run by the Improvement Service. Several desk based exercises have been undertaken to ascertain whether more detailed process based benchmarking of lowest performing Performance Indicators should be carried out</p> <p>A Best Value review of parts of the Adult Wellbeing service has been carried out</p> <p>A template for Best Value Reviews, incorporating options appraisal is being prepared to assist services to undertake Best Value exercises</p> <p>The Assurance and Improvement Plan 2014-2017 has highlighted that the Improvement Framework and work around performance management shows that: "<i>There continues to be a very strong commitment from officers and members to improving the work of</i></p>



				<i>the council.”</i>
8	Focused work with Local Area Network on an agreed programme of self-evaluation for improvement	Partnerships and Communities	Completed	<p>Local Area Network (LAN) members participated as ‘critical friends’ in the Council’s How Good is Our Council? peer review sessions led by the Chief Executive</p> <p>The Council Management Team has quarterly meeting with the Local Area Network</p> <p>The Assurance and Improvement Plan 2014-2017 highlights the positive relationship between the Council and the LAN and the positive impact this has had on the Shared Risk Assessment for East Lothian Council: <i>“The LAN has worked actively and positively with the council to support self-evaluation activities throughout the year. This, along with other improvements in performance, has helped to change the LAN’s assessments in 18 areas from last year’s AIP from further information required to no scrutiny required.”</i></p>
9	Implement programme of action to respond to the results of the Employee Engagement Survey	Partnerships and Communities	Completed	See 13 below
10	Review Whistleblowing Policy and publicise to all staff	Internal Audit	June 2014	The Whistleblowing Policy has been reviewed and contacts updated following the re-structuring of Council services. The revised policy is to be agreed by the Council Management Team and will then be

				publicised to staff in June 2014
11	Introduce Combined Impact Assessment and process for monitoring the needs of minority and vulnerable groups	Partnerships and Communities	August 2014	<p>The framework and associated guidance for conducting Combined Impact Assessments covering equalities, social, economic and environmental impacts of new policies has been finalised and will be considered by the Council Management Team in June.</p> <p>The use of Combined Impact Assessments (replacing Equality Impact Assessments) will be rolled out along with the new Council Committee Reports template in August 2014</p>
12	Review People Strategy including the how the values from the East Lothian Way are disseminated to staff	Partnerships and Communities	Completed	This has been incorporated in the Workforce Development Plan (see 13 below)
13	Develop Workforce Development Plan (including supporting internal jobs market, management of change, leadership development and succession planning)	Partnerships and Communities	Completed	<p>The Workforce Development Strategy and Plan has been prepared. The strategy and Plan respond to the issues raised in the Employee Engagement Survey and include a refresh of the East Lothian Way and staff communications as well as leadership development, managing change and other development issues</p> <p>The Strategy and Plan respond directly to issues raised by the Employee Engagement Survey and the HGIOC self-evaluation. They are based around four workforce related themes that have been identified as</p>

				<p>being crucial to the facilitation of the Council Plan:</p> <ul style="list-style-type: none"> <li>• Supporting transformational change</li> <li>• Building and sustaining leadership and management capacity</li> <li>• Sustaining a skilled, flexible and motivated workforce</li> <li>• Developing the workforce for the future</li> </ul>
14	Review and further develop How Good is Our Council? self-evaluation, including involvement of stakeholders	Partnerships and Communities	Completed	HGIOC has been reviewed and new guidance including around stakeholder involvement has been issued (see 8 above)
15	Review service planning guidance and develop 3-year service plans	Partnerships and Communities	Completed	Service planning guidance has been reviewed. Development of 3-year service plans has been delayed until 2015 to allow new services created following the Council re-structuring in late 2013 to be embedded
16	Review staff communications	Partnerships and Communities	Completed	Staff communications has been reviewed. A new format for Team Talk and other initiatives to communicate effectively with and engage with and involve staff in the Council's improvement journey will be rolled out during 2014
17	Prepare and implement Records Management Plan setting out arrangements for management and retention of records in line with requirements of the Public Records (Scotland) Act 2011	Council Resources	October 2014	The full plan is due to be completed by October 2014 and will then be the basis for a 5 year improvement model on this area of activity across the organisation. This will further

				link in with the work being undertaken on the Electronic Document and Records Management System and also on compliance with Data Protection & Freedom of Information legislation. Some improvements are being implemented as they are discovered rather than waiting for formal introduction, but on the whole the process is moving onwards to bring about improvement to the Records Management provision and efficiency across the entire Council.
18	Complete review of Standing Orders and Schemes of Administration and Delegation	Council Resources	Completed	Revised Standing Orders and Schemes of Administration and Delegation were approved by Council in August 2013
19	Develop a methodology for systematically reviewing and updating corporate policies	Council Resources	August 2014	Further work to be undertaken to agree scope of the policies to be included in the review and update schedule
20	Review and further strengthen the Council's financial management process	Council Resources	Completed	In accordance with agreed actions arising from the annual audit process, a number of improvements have now been implemented e.g. introduction of a new Efficiency Progress Rating that supplements the existing Financial Risk Rating  The 2012/13 Audit report had fewer improvement points than previous reports  The unaudited 2013/14 financial outturn shows less reserves being

				used than planned 2014-2017 budget uses less reserves than previous budgets
21	Focused work with the Local Area Network and external auditors as part of an agreed programme of external audit to meet the financial challenges faced by the Council	Council Resources	Completed	<p>The Council's external auditors have completed their audit of the 2012/13 accounts and associated work. The auditors' Annual Report to Members provided positive assurances that the Council is meeting its financial challenges</p> <p>The shared risk assessment in the Assurance and Improvement Plan 2014-17 provides assurance that action is being taken to deal with the financial challenges faced by the Council and that the Council's auditors will review the financial management processes</p>