

**To:** Audit, Risk and Scrutiny Board

**On:** 19 March 2018

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**Report by:** Director of Finance and Resource Services

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**Heading:** Annual Review of Compliance with the Local Code of Corporate Governance

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## 1. **Summary**

- 1.1 Corporate governance is the name given to the system by which Councils direct and control their functions. It is about ensuring that councils do the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner.
- 1.2 This report reviews the Council's Local Code of Corporate Governance and provides evidence of how the Council complies with the code. *Delivering Good Governance in Local Government: Framework*, published by CIPFA in association with Solace in 2007, set the standard for local authority governance in the UK. CIPFA and Solace reviewed the Framework in 2015 to ensure it remains 'fit for purpose' and published a revised edition in spring 2016. The new code places greater emphasis on relationships and behaviours between elected members and senior management; performance reporting; and council and service level plans.
- 1.3 The code reflects the increased importance placed by the Council on self-assessment and activities involving greater scrutiny of services. It also links to the Best Value criteria where governance and accountability are key elements against which the Council is assessed.
- 1.4 The evidence presented in Appendix 1 demonstrates that strong governance arrangements are in place within the Council and that Councillors and Officers are working together to lead and manage the Council in order to provide vital public services.
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## 2. **Recommendations**

- 2.1 The Audit, Risk and Scrutiny Board is asked to:
- note the Council's compliance with the Local Code of Corporate Governance which is set out in Appendix 1 of this report; and

- note that the Local Code of Corporate Governance will be reviewed again in Spring 2019.

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### 3. **Background**

- 3.1 CIPFA published the *Delivering Good Governance in Local Government: Framework* in 2007 to set the standard for local authority governance in the UK. It reviewed and published a revised edition in 2016 to ensure it remained 'fit for purpose'. The new code places greater emphasis on relationships and behaviours between elected members and senior management; performance reporting; and council and service level plans. The Council reviews its Local Code of Corporate Governance annually, and last reviewed and approved its code and the supporting evidence of compliance, in September 2017.
- 3.2 The Council's Local Code of Corporate Governance covers the seven core principles which bring together the main elements of Council business. These are:
1. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law
  2. Ensuring openness and comprehensive stakeholder engagement
  3. Defining outcomes in terms of sustainable economic, social, and environmental benefits
  4. Determining the interventions necessary to optimise the achievement of the intended outcomes
  5. Developing the entity's capacity, including the capability of its leadership and the individuals within it
  6. Managing risks and performance through robust internal control and strong public financial management
  7. Implementing good practices in transparency, reporting, and audit to deliver effective accountability
- 3.3 Evidence of how the Council complies with the updated Local Code of Corporate Governance including examples of the systems, processes and documents in place, is detailed under each of the seven core principles in Appendix 1 of this report.
- 3.4 The framework is reviewed by Internal Audit, who will decide if they are satisfied with the adequacy and effectiveness of the code and the extent to which the Council has complied with it, and will report their findings to the Audit, Risk and Scrutiny Board in March 2018.
- 3.5 The Council was one of six councils to undergo a Best Value Audit Review (BVAR) in 2017, as part of a new five year audit programme. Governance and accountability are part of the Best Value duty for all local authorities and following the publication of the council's BVAR, an Action Plan to address recommendations within the report was agreed by Council on 28 September 2017. The review of the council's code of corporate governance reflects these Best Value improvements and the changes to governance arrangements after the local government elections in May 2017.

**Director of Finance and Resources**

**March 2018**

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## Implications of the Report

1. **Financial** – none
2. **HR & Organisational Development** -
3. **Community Planning** – none
4. **Legal** - none
5. **Property/Assets** – none
6. **Information Technology** - none
7. **Equality & Human Rights** -
  - (a) The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.
8. **Health & Safety** - none
9. **Procurement** – none
10. **Risk** - The Council must comply with CiPFAs Local Code of Corporate Governance.
11. **Privacy Impact** - none
12. **CoSLA Policy Position** – none

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## List of Background Papers

- (a) none

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## Appendix 1

### PRINCIPLE 1: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
<b>1.1 Behaving with integrity</b>			
1.1.1	Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation.	Code of conduct for employees and Councillor's Code of Conduct	The Finance, Resources and Customer Services Board revised the code of conduct for its employees in late 2017. The Councillors' Code, which was introduced by the Ethical Standards in Public Life etc. (Scotland) Act 2000, sets out a protocol for relations between councillors and employees. All elected members, following their election in May 2017, have signed their declaration of acceptance of office whereby they undertook to meet the requirements of the councillors' code issued under the Ethical Standards in Public Life etc. (Scotland) Act 2000 in the performance of their functions as a councillor.
		Protocol for Relationships between Political Groups, Elected Members and Officers	The Council's elected member and inter-party protocols and protocol for member / officer relations were reviewed and combined into one composite protocol which was approved by the Finance and Resources Policy Board on 12 <sup>th</sup> November 2014. Members are offered refresher briefings on code of conduct issues twice annually, most recently in relation to the application of the Code in terms of Article 10 of the European Convention on Human Rights which relates to Freedom of expression, the fundamental right of Democracy.
		Code of corporate governance	The Council complies with this requirement through the agreement of the Code of Corporate Governance which details the organisation's governance arrangements. This is in line with

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			national guidance and is updated on an annual basis.
		Scheme of delegation	<p>The Council's scheme of delegation ensures that decisions are made at the lowest or most local level consistent with the nature of the issues involved, with the exception of those powers which cannot be delegated or have been reserved to the Council. These functions have been delegated to Boards and committees, the Chief Executive, Directors and Heads of Service and other officers, including through statutory appointments of officers.</p> <p>The scheme is regularly reviewed and a full review was carried out in 2015 which resulted in a revised scheme being approved by Council on 25 September 2015. This addressed changes arising from a number of major initiatives including: the expansion of Renfrewshire Leisure Limited to include cultural and other related services and facilities; the creation of an Integration Joint Board as part of the implementation of health and social care integration; the merger of the Education Service with those elements of the Social Work service relating to children and families and criminal justice that are remaining within the Council; and the Council's involvement in the Glasgow City Region City Deal. A further review took place at the statutory meeting of the Council following the local elections in 2017, which resulted in a change to the Council's decision making structure and a reduction from six to four Policy Boards.</p>

	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
1.1.2	Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles)	Code of Conduct for Councillors Code of Conduct for employees	The Council currently complies with the requirement through its Code of Conduct for employees and the Councillors' Code, which sets out a protocol for relations between councillors and employees which has been issued to all elected members. Declarations of interest are recorded in the minutes of meetings. Briefings for members on the Councillors' code of conduct are held twice annually.
		Protocol for relationships between Political Groups, Elected Members and Officers	The Council's elected member and inter-party protocols and protocol for member/officer relations were combined into one composite protocol which was approved at the Finance and Resources Policy Board on 12 <sup>th</sup> November 2014.
1.1.3	Leading by example and using these standard operating principles or values as a framework for decision making and other actions.	Codes of conduct	The various codes of conduct determine how officers and members work within partnerships, and the shared values that they will demonstrate.
		Council Plan and Local Outcome Improvement Plan (LOIP)	The Council complies with this requirement through the Council Plan and Local Outcome Improvement Plan (LOIP) which were refreshed during 2017 and approved by Council in September 2017. The plans highlight the key role that the Council will play in terms of delivering on the key targets and outcomes that it is committed to progressing with its partners.
1.1.4	Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively.	Register of Interests for Senior Officers	The Council has a register of interests for Senior Officers. Information contained on the register is subject to Freedom of Information. The register was last refreshed in July 2017. Officers are contacted on a 6-monthly basis to update the register.

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			<p>Information from the register of senior officers' interests was published from 28 October 2016 on the Council's website. Renfrewshire was the first Council in Scotland to publish information on the interests of its senior officers online.</p>
		Whistle blowing policy	<p>The Council has a whistle blowing policy which is part of the employees' code of conduct.</p>
		Complaints Policy	<p>The Council implemented a new two stage complaints handling procedure in April 2013 as per new guidance from the Scottish Public Service Ombudsman. The time taken to respond to complaints is monitored by services. A report is submitted to the Audit, Risk and Scrutiny Board on our annual complaints data. The Complaints Policy is currently under review to ensure that it is still fit for purpose and reflects new Social Work legislation.</p> <p>A new complaints handling procedure for Social Work complaints was finalised during 2017. This new process was implemented to bring social work complaints in line with the public sector complaints handling arrangements, following a change to associated legislation.</p>
		Codes of conduct	<p>The various codes of conduct determine how officers and members work within partnerships and the shared values that they will demonstrate.</p>

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
		Register of interests	In relation to declarations of interest, members are formally asked to regularly update their register of interests every six months. Members are advised that Minutes should include a brief explanation of the individual nature of the interest and to assist members, the agenda item reminds them to provide such an explanation on every occasion the interest is declared. Declarations of interest are minuted and are available for public view on each members online profile page on the website.
<b>1.2 Demonstrating strong commitment to ethical values</b>			
1.2.1	Seeking to establish, monitor and maintain the organisation's ethical standards and performance.	Protocol for Relationships between Political Groups, Elected Members and Officers Councillors' Code of Conduct	Any alleged contraventions of the Ethical Standards in Public Life etc (Scotland) Act 2000 would be referred for investigation to the Commissioner for Ethical Standards in Public Life, and thereafter for consideration by the Standards Commission appointed by Scottish Ministers. Where a hearing involving members of Renfrewshire Council has taken place, the outcome of this is reported to the Council. Since August 2009 all Council and Board agendas include an item in relation to declarations of interest.
		Councillors' Register of Interests	Councillors hold public office under the law and must observe the rules of conduct stemming from the law, the Code of Conduct for Councillors and any guidance from the Standards Commission and the rules, standing orders and regulations of the Council. In addition, the Council has developed an inter party protocol which highlights that Political



	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			<p>Groups have the responsibility not to require individual Councillors to vote on party lines in respect of decisions where group decision-making would be unlawful, contrary to the Councillors' Code of Conduct or against any Council approved guidance; in particular on planning applications, specific regulatory matters, employment issues affecting individuals, all matters coming before the Audit, Risk and Scrutiny Board or any matter which requires to be determined on the basis of evidence given to or the findings of a forum on which Councillors serve.</p> <p>Members are required to register their interests in terms of the Code of Conduct for Councillors' and declare these interests at meetings. Declarations of interest are minuted and are available for public view on each members online profile page on the website.</p>
		Register of interests for Senior Officers	<p>The Council has a register of interests for Senior Officers. Information contained on the register is subject to Freedom of Information. The register was refreshed during Winter 2017. Officers are contacted on a 6-monthly basis to update the register.</p> <p>Information from the register of Senior Officers' interests has been published from 28 October 2016 on the Council's website. Renfrewshire was the first Council in Scotland to publish information on the interests of its senior officers online.</p>

	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
1.2.2	Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation.	Provision of ethical awareness training/code of conduct	<p>A People, Performance and Talent Policy, Guidance and Competency Frameworks for all levels across the Council will replace the current frameworks of MTIPD and MDP and will, following Finance, Resources and Customer Services Policy Board Approval be implemented from April 2018. The competency framework will be designed to align with the Council's values and behaviours. This will enable services and individuals to identify areas for development and engage in effective workforce capability building and job ready activities to foster the organisations performance culture.</p> <p>The Council implemented a new Code of Conduct for Employees in late 2017.</p> <p>In addition, briefings for elected members on their responsibilities under the Code of Conduct for Councillors are held regularly every year, conducted by the Head of Corporate Governance.</p> <p>Councillors are advised of and can attend road shows delivered by the Standards Commission on the implementation of the Code of Conduct for Councillors. Guidance notes issued by the Standards Commission are provided to councillors, most recently in relation to the application of Article 10 of the Human Rights Act. An annual register of training delivered for Councillors is available online.</p>

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
		Members Induction	A welcome and induction package of events was delivered for newly-elected and returning Councillors following the local government election in May 2017. Notice of further development events and opportunities is issued to Councillors each month. Planning for a focussed development week is underway to be held in April 2018 with proposals to hold this type of week twice a year.
1.2.3	Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values.	Appraisal processes take account of values and ethical behaviour	A People, Performance and Talent Policy, Guidance and Competency Frameworks for all levels across the Council will replace the current frameworks of MTIPD and MDP and will, following approval from the Finance, resources and Customer Services Policy Board be implemented from April 2018. The competency framework will be designed to align with the Council's values and behaviours. This will enable services and individuals to identify areas for development and engage in effective workforce capability building and job ready activities to foster the organisations performance culture.
		Staff appointments policy	The Council has robust recruitment procedures in place to ensure the fair selection of candidates. There is an appointment panel for Chief Officer level appointments. Our recruitment and selection processes are designed in accordance with best practice principles, legislation and COSLA recruitment and selection guidance. A Recruitment and Selection Policy, guidance and revised training is anticipated to be implemented in the summer of 2018.

	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
		Standing Orders relating to contracts	The Council has a statutory obligation to have standing orders in place relating to contracts, the main purpose of which is to provide open and transparent procedures for tenderers; to achieve value for money for the Council; and to provide guidelines for officers. These standing orders are reviewed regularly as a matter of good practice.
1.2.4	Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with high ethical standards expected by the organisation.	Strategic Partnership Agreements	Two Strategic Partnership agreements were agreed in 2016 with the University of the West of Scotland and West College Scotland, which set out how key joint priorities which will be progressed in partnership.
		Local Outcome Improvement Plan (LOIP)	The Local Outcome Improvement Plan was approved in September 2017 by Council. It sets out a clear vision for Renfrewshire and its people, as well as the key areas of priority and actions to be targeted by community planning partners.
		Data processing agreement	The Council has a written agreement with any data processor that they will keep personal data secure and the data processor agreement specifies security requirements as data processors.
<b>1.3 Respecting the rule of law</b>			
1.3.1	Ensuring members and staff demonstrate a strong commitment to rule of the law as well as adhering to relevant laws and regulations.	Scheme of delegation Standing Orders Procedural Standing Orders Financial Regulations Policy Board Reports Statutory Officers Role	The Council complies with this requirement in terms of its scheme of delegated functions, standing orders relating to contracts, financial regulations and procedural standing orders which are kept under review and updated as appropriate. In addition, each of the Council Boards has a dedicated solicitor who reviews

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			<p>reports in order that the vires of proposed actions can be checked. Each report has a section on legal implications. The frontispieces to reports require that community planning partners are consulted in the preparation of reports where appropriate and reports must outline community / council plan implications. The Council has appointed a Data Protection Officer in terms of the General Data Protection Regulation.</p>
1.3.2	<p>Creating the conditions to ensure that the statutory officers, other key post holders and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements.</p>	<p>Scheme of delegation Standing Orders Procedural Standing Orders Financial Regulations Board Reports</p>	<p>The Council complies with this requirement in terms of its scheme of delegated functions, standing orders relating to contracts, financial regulations and procedural standing orders which are kept under review and updated as appropriate. In addition, each of the Council's Boards has a dedicated solicitor who reviews reports in order that the vires of proposed actions can be checked.</p> <p>Each report has a section on legal implications. In addition, the Council has a programme of development for elected members in place.</p> <p>Members who sit on the Licensing Board must undertake and pass a mandatory training course.</p> <p>The members' development programme provides members with briefings as soon as practicable when new legislation is introduced, eg the General Data Protection Regulation.</p> <p>Members who are involved in taking quasi judicial decisions, e.g. planning, licensing, are briefed regularly on their responsibilities.</p>

	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
1.3.3	Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders.	Record of legal advice provided by officers/ Community Empowerment Act Council Approval.	<p>The Council has approved reports on its arrangements for dealing with community empowerment as the various parts of the Community Empowerment (Scotland) 2015 Act have been enacted. In relation to asset transfer, the Council has an approved Community Asset Transfer Policy that sets out the legal and policy framework for asset transfer.</p> <p>The Council has promoted awareness of the powers and potential use of the Community Empowerment Act through engagement with statutory and non statutory community organisations and with third sector partners.</p> <p>In addition, Renfrewshire Council approved the following papers in terms of the Act: Review of Community Planning Arrangements (December 2016) Asset Transfer Policy (February 2017), and Participation Requests (April 2017)</p> <p>Renfrewshire Council is reviewing its Corporate Asset Strategy during 2018, taking account of the requirements of the Community Empowerment (Scotland) Act 2015. Officers from the Chief Executive's Service are currently reviewing the arrangements for providing support to community organisations.</p>
1.3.4	Dealing with breaches of legal and regulatory provisions effectively.	Monitoring Officer	The Head of Corporate Governance acts as Monitoring Officer in terms of the Local Government and Housing Act 1989 and as detailed in his job description. He is responsible for advising the Council on the legality of its decisions

	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
			and providing guidance to councillors and officers on the Council's powers.
		Scheme of delegation Standing orders Procedural standing orders Financial regulations Board reports	The Council complies with this requirement in terms of its scheme of delegated functions, standing orders relating to contracts, financial regulations and procedural standing orders which are kept under review and updated as appropriate. In addition, each of the Council Boards has a dedicated solicitor who reviews reports in order that the vires of proposed actions can be checked, with each report having a section on legal implications.
		Internal Audit Charter	The Council's Internal Audit Charter sets out the authority, responsibility independence and reporting lines for internal audit activities.
1.3.5	Ensuring corruption and misuse of power are dealt with effectively.	Strategy for the prevention and detection of fraud and corruption Whistleblowing policy Internal Audit Arrangements Corporate counter fraud arrangements Integrity Group Anti -Money Laundering Policy	A strategy for the prevention and detection of fraud and corruption and whistleblowing policy are in place. An Anti-Money Laundering Policy has also been introduced. The Council's Integrity Group has been established to strengthen the council's internal resilience to corruption and has developed an action plan which includes review and update of council policies which will strengthen the arrangements currently in place.  Any matters coming to light would be investigated by Internal Audit or Counter Fraud.

## PRINCIPLE 2: Ensuring openness and comprehensive stakeholder engagement

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
<b>2.1 Openness</b>			
2.1.1	Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness.	Council Plan and Local Outcome Improvement Plan (LOIP)	<p>The Council Plan and LOIP confirm to our employees and to local communities, what the council is trying to achieve with its partners for Renfrewshire. We communicate progress on this through the Annual Report on the Community Plan, through the Local Area Committees and community planning conference events.</p> <p>Progress on delivering on the priorities in the Council Plan is and will continue to be reported to the Leadership Board on a regular basis. The Plan highlights the key priorities, targets and success measures that the Council has committed to deliver on. In December 2017, the Leadership Board approved the performance framework and agreed to six monthly reporting.</p>
		Minutes and agendas available online	The Council ensures the minutes and agendas of all Board and Council meetings are available to the public, and by ensuring that key documents are also available through its publication scheme. Board and Council meetings are open to the public and meetings of the Council are webcast live and are also able to be viewed in archive.
		Public Performance Reporting	The Council publishes an annual report on its performance. The reports are accessible, easy to read and focus on key indicators which the public want to know about. These reports are uploaded onto the Council website in an accessible format.



	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
2.1.2	Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided.	Minutes and agendas	<p>Meetings of the Council and its Boards are open to members of the public and they are entitled to a copy of the agenda and reports prepared by officers which deal with items on the agenda unless items are to be discussed which contain exempt or confidential information.</p> <p>Minutes of meetings record decisions which have been taken.</p> <p>The agenda, minutes and board papers are published on line for ease of access.</p>
		Meetings held in public	All meetings of the Council and its Boards are held in public unless in terms of the Local Government (Scotland) Act 1973, the meeting takes a decision to exclude the press and public. Where it is recommended that a matter be held in private, the reason for this is identified on the agenda for the meeting and in the minutes.
		Scheme of delegation	The Council's scheme of delegation ensures that decisions are made at the lowest or most local level consistent with the nature of the issues involved. With the exception of those powers which cannot be delegated to Boards and committees, the Chief Executive, Directors, Heads of Service and other officers, including statutory appointments of officers.
		Elected members' information bulletin	To reduce the reporting of routine operational matters to policy boards and to allow Boards to focus on policy issues, a range of matters including the exercise of delegated authority by officers are reported to members by means of a

	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
			regular bulletin rather than a formal report to a Policy Board.
		Live webcasting of Council meetings	All meetings of the full Council are webcast live. The webcast is also available in archive.
2.1.3	Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear.	Board reports Minutes and agendas	Reports to the Council and all Board meetings provide members with sufficient information on which they are able to take reasoned decisions and provide clear recommendations. Minutes of meetings record decisions made. Report templates are reviewed regularly, most recently in November 2017, and aligned to community planning themes and also have required sections on where equality, human rights and privacy impact implications are noted.
2.1.4	Using formal and informal consultation and engagement to determine the most appropriate and effective interventions / courses of action.	Consultation and engagement mechanisms	Council services engage and consult with communities in a number of ways including: Public Services Panel, Focus Groups, Tenants and Residents Forums, service user groups, Community Planning process, Complaints procedure and Community Councils. Members of the public are also able to contact the Council through the website and are able to take part in consultations or complete complaints forms.
		Community Planning structure – Renfrewshire Forum for Empowering Communities Review of Community Planning Partners was approved by full Council in December 2016	Renfrewshire Forum for Empowering Communities is taking a lead role in giving local communities a voice in Renfrewshire. It provides meaningful, sustained and effective engagement with communities and citizens. It values the knowledge, skills, capacity and potential that our communities have and seeks to build on the commitment and

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			confidence evident in local groups and organisations. The aim is to localise decision making and accountability as far as possible and work co-operatively with communities. The Empowering Communities Board is led by Engage Renfrewshire, our 3 <sup>rd</sup> sector interface organisation. The forum acts as a sounding board of the Community Planning Partnership in the development of community capacity building, consultation and communication. At community planning conferences, community planning partners engage with individuals and representatives from local community and voluntary sector organisations. Our recent thematic conferences included over 330 participants.
		Public Services Panel	The Public Services Panel consists of 2,100 Renfrewshire residents and is used as a mechanism for gaining the views of our residents on a number of issues / topics. This is currently under review.
<b>2.2 Engaging comprehensively with institutional stakeholders</b>			
2.2.1	Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably.	Communication Strategy	An internal communications strategy was developed and was approved by the Corporate Management Team in 2017. The strategy outlines a number of methods to improve internal communications across the Council. Effective communications will help to make the vision and outcomes a reality by supporting council services, encouraging behavioural change and developing new levels of stakeholder engagement.

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
		Communications channels	<p>The Council communicates with members of the community and its stakeholders (and vice versa) through a number of mechanisms including:</p> <ul style="list-style-type: none"> <li>• Renfrewshire Magazine – which is now online</li> <li>• Tenant Forums</li> <li>• Community Planning Groups</li> <li>• Community Councils</li> <li>• Local Area Committees</li> <li>• Council Website</li> <li>• Complaints procedure</li> <li>• Public Performance reports</li> <li>• Customer Service Channels</li> </ul>
2.2.2	Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively.	Strategic Partnership Agreements	Two Strategic Partnership agreements were agreed in 2016 with the University of the West of Scotland and West College Scotland, which set out how key joint priorities will be progressed in partnership.
		Community Plan & Local Outcome Improvement Plan	While the Council has not developed a set of agreed values with its partners, it has agreed to work with other organisations in the spirit of partnership to achieve a number of outcomes in Renfrewshire. Our new Community Plan was agreed in September 2017.
2.2.3	<p>Ensuring that partnerships are based on:</p> <ul style="list-style-type: none"> <li>– trust</li> <li>– a shared commitment to change</li> <li>– a culture that promotes and accepts challenge among partners</li> </ul> <p>and that the added value of partnership working is explicit.</p>	Strategic Partnership Agreements	The Strategic Partnership Agreements set out the shared commitment to achieving priorities and objectives for Renfrewshire. The Local Area Committees (LACs) are currently under review to strengthen existing approach.

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
<b>2.3 Engaging stakeholders effectively, including individual citizens and service users.</b>			
2.3.1	Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievements of intended outcomes.	Consultation Strategy	Council services engage and consult with communities in a number of ways including: Public Services Panel, Focus Groups, Tenants and Residents Forums, service user groups, Community Planning process, Complaints procedure and Community Councils.
		Petitions Board	The Petitions Board provides an opportunity for individual members of the public to raise issues of concern with the Council, either as individuals or on behalf of an organisation.
2.3.2	Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement.	Communications Strategy	An internal communications strategy was approved by CMT in February 2016. Communications play a major part in delivering the new plans by promoting its key messages. Effective communications will help to make the vision and outcomes a reality by supporting council services, encouraging behavioural change and developing new levels of stakeholder engagement. Service specific strategies and plans have also been developed and informed through the Community Planning process and through wider consultation mechanisms such as the Public Services Panel, community planning conferences and online consultation.
		Communications Channels	The Council communicates with members of the community and its stakeholders (and vice versa) through a number of mechanisms including:

	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
			<ul style="list-style-type: none"> <li>• Renfrewshire Magazine – issued to all households across Renfrewshire</li> <li>• Tenant Forums</li> <li>• Community Planning Groups</li> <li>• Community Councils</li> <li>• Local Area Committees</li> <li>• Council Website</li> <li>• Complaints procedure</li> <li>• Public Performance report</li> <li>• Customer Service Centre Channels</li> </ul>
2.3.3	Encouraging, collecting and evaluating the views and experience of communities, citizens, service users and organisations of different backgrounds including reference to future needs.	Consultation and engagement mechanisms	Council services engage and consult with communities in a number of ways including: Public Services Panel, Focus Groups, Tenants and Residents Forums, Public meetings on specific issues, service user groups, Community Planning process, Complaints Procedure, Community Councils and local area committees. Members of the public are also able to contact the Council through the website and are able to take part in consultations or complete complaints forms.

	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
		<p>Community planning structure – Renfrewshire Forum for Empowering Communities</p> <p>Review of Community Planning Partners was approved by full Council in December 2016</p>	<p>Renfrewshire Forum for Empowering Communities is taking a lead role in giving local communities a voice in Renfrewshire. It provides meaningful, sustained and effective engagement with communities and citizens. It values the knowledge, skills, capacity and potential that our communities have and seeks to build on the commitment and confidence evident in local groups and organisations. The aim is to localise decision-making and accountability as far as possible and work co-operatively with communities. The Empowering Communities Board is led by Engage Renfrewshire, our 3<sup>rd</sup> sector interface. The forum acts as a sounding board of the Community Planning Partnership in the development of community capacity building, consultation and communication. At community planning conferences, community planning partners engage with individuals and representatives from local community and voluntary sector organisations.</p>
		Local area committees	<p>Decentralisation and the 5 local area committees provide an opportunity for the Council and its partners to engage with residents on a localised basis. A review of Local Area Committees was undertaken in 2017 and proposals were discussed at a Cross Party Sounding Board and approved by full Council in December 2017 and are currently out to public consultation as at March 2018.</p>
2.3.4	Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account.	Results from consultations published	<p>The Public Services Panel section of the website provides results from the last survey alongside details of how we are using the feedback.</p>

	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
2.3.5	Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity.	Processes for dealing with competing demands within the community/CPP process	<p>Renfrewshire Council is currently undertaking a review of Community Level Governance arrangements. The first phase of consultation took place during 2017 and a report on this was submitted to Council on 21 December 2017.</p> <p>Following this, a set of nine proposals for change has been developed, which is out for consultation between January and April 2018. After the conclusion of the consultation, detailed proposals of the new community governance model will be brought back to Council for approval and implementation during 2018.</p> <p>The Council is now using the Place Standard, the national engagement tool developed by NHS and Architecture and Design Scotland, to assess and record the differing demands of individuals and communities. Over 600 residents used the Place Standard tool during 2017. The online version of the tool in particular was successful in capturing the views of a different demographic than would normally attend face to face consultation events.</p> <p>The role, remit and action plan of Diversity Equality Alliance Renfrewshire (DEAR) Group was reviewed and agreed in January 2018. The purpose of this work is to ensure that equality-focused organisations have ownership of activity to have a greater voice in shaping public services in Renfrewshire.</p> <p>Renfrewshire Council is the first Council in the UK to undertake a second All Children Wellbeing Survey, giving Renfrewshire a comprehensive</p>



	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
			picture of the issues facing school-age young people, with information made available from November/December 2017.
2.3.6	Taking account of the interests of future generations of tax payers and service users.	Strategic Needs Assessment	As part of the development of the Local Outcome Improvement Plan and Council Plan, a strategic needs assessment was carried out between January and March 2017 with Renfrewshire communities. A regular 'deep dive' of the relevance of our information is supported as part of the planning and development of services.

**PRINCIPLE 3: Defining outcomes in terms of sustainable economic, social and environmental benefits**

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
<b>3.1 Defining outcomes</b>			
3.1.1.	Having a clear vision which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation's overall strategy, planning and other decisions.	Council Plan	<p>The new Council Plan, 2017-2021, approved in September 2017 sets out the overarching strategic vision and objectives of the Council.</p> <p>The Plan sets out five strategic outcomes on how we will invest in a better future for all of Renfrewshire and create a better council that will work with customers and partners to deliver that future. The implementation of the Plan is driven and managed throughout the organisation through Service plans and operational plans.</p>
		Service Planning Guidance / Service Improvement plans	<p>Revised service planning guidance was issued in November 2017, which links to the priorities of the new Council Plan. The guidelines are outcome focused and flexible, supporting Services to take an individual approach to how they respond to the Community and Council Plans. The aim of the Service Improvement Plans are to:</p> <ul style="list-style-type: none"> <li>• Explain in a structured way, how each Service is going to deliver their element of the Council Plan priorities and Community Plan outcomes;</li> <li>• Sets out each service's actions on how they are going to achieve the outcomes for each communities and the performance indicators to monitor if progress and improvement is being achieved.</li> </ul>
3.1.2	Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be	Council Plan	The Council Plan refresh was approved by Council on 28 September 2017 and sets out the overarching strategic vision and objectives of the

	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
	immediately or over the course of a year or longer.		Council. The accompanying performance framework, which sets out a six monthly monitoring process was approved by Leadership Board in December 2017.
		Community Plan and Local Outcome Improvement Plan (LOIP)	The new Community Plan (LOIP) was agreed by Council on 28 September 2017. A strategic needs assessment and extensive community consultation was undertaken to identify priorities and challenges.
		Service Planning guidance / Service Improvement Plans	Revised service planning guidance was issued in November 2017, which links to the five strategic outcomes of the Council Plan. The guidelines are outcome focused and flexible, supporting Services to take an individual approach to how they respond to the Community and Council Plans. The aim of the Service Plans are to: <ul style="list-style-type: none"> <li>• Explain in a structured way, how each Service is going to deliver their element of the Council Plan priorities and Community Plan outcomes; and</li> <li>• Set out each Service's actions on how they are going to achieve the outcomes for our communities and the performance indicators to monitor if progress and improvement is being achieved.</li> </ul>
3.1.3	Delivering defined outcomes on a sustainable basis within the resources that will be available.	Council Plan Monitoring Report	Reports on the performance of the Council Plan actions and performance indicators are taken to the Leadership Board on a 6 monthly-basis.
		Service Improvement Plan – monitoring reports	Each service takes a 6 month monitoring report to the relevant board in October/November. This

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			provides an update on the progress of the service improvement plan against actions and performance indicators and priorities of the Council Plan.
3.1.4	Identifying and managing risks to the achievement of outcomes.	"Risk Matters" – the council's Risk Management Policy and Strategy	<p>The council has a well-established risk management strategy which is subject to routine monitoring and review. Risk Matters is formally reviewed by the Audit, Risk and Scrutiny Board at periodic intervals of not more than 2 years and annually (interim review) by the Corporate Risk Management Group (CRMG) to ensure it reflects the rapidly changing environment in local government.</p> <p>The council maintains, monitors and reviews its corporate and strategic risk register and service risk management plans in accordance with Risk Matters.</p>
3.1.5	Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available.	Service Improvement Plans	<p>Service Improvement Plans are linked to the Council Plan priorities. The guidelines are outcome focussed, supporting Services to set out how they respond to the Community and Council Plans. The aim of the Service Improvement Plans are to:</p> <ul style="list-style-type: none"> <li>• Explain in a structured way how each Service is going to deliver their element of the Council Plan priorities and Community Plan outcomes; and</li> <li>• Set out each Service's actions on how they are going to achieve the outcomes for our communities and the performance indicators to monitor if progress and</li> </ul>

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			improvement is being achieved.
<b>3.2 Sustainable economic, social and environmental benefits</b>			
3.2.1	Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision.	Capital Programme Capital Investment Strategy	The council capital spending plans are policy led and therefore reflect the main strategic intent of the council and comply with the Prudential Framework for Capital Investment. Full Council approves the three year rolling programme as part of setting the annual revenue and capital budget process each year. Updates on the progress of the investment strategy are reported on a routine basis to each individual Policy Board.
3.2.2	Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints.	Reports to Council / boards	Reports to the Council and all Board meetings provide members with sufficient information on which they are able to take decisions, including personnel, legal, risk, financial and other implications relating to the key Council Plan / Community Plan themes, and provide recommendations.  Pre-agenda meetings are held with Convenors and Depute Convenors which any issues can be addressed prior to the finalised agenda being issued.
3.2.3	Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs.	Minutes and Agendas	Minutes of board meetings record the decisions which have been taken by elected members. Revised report templates were issued in December 2017 and are aligned to the Community Planning themes, whilst also including sections on equality, human rights and privacy impact implications.

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			Agenda, minutes and papers are published on our website for ease of access.
		Consultation and engagement mechanisms	Council services engage and consult with communities in a number of ways including: Public Services Panel, Focus Groups, Tenants and Residents Forums, service user groups, Community Planning process, Complaints Procedure, local area committees and Community Councils. Members of the public are also able to contact the Council through the website and are able to take part in consultations or complete complaints forms.
3.2.4	Ensuring fair access to services.	Protocols ensure fair access and statutory guidance is followed	Members of the public can access services via a number of methods for example, online through the MyAccount online customer portal, telephone the Customer Service Unit, and email via the council website.

#### **PRINCIPLE 4: Determining the interventions necessary to optimise the achievement of the intended outcomes**

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
<b>4.1 Determining interventions</b>			
4.1.1	Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided.	Reports to Council / Boards	Reports to the Council and all Board meetings provide members with sufficient information on which they are able to take decisions, including personnel, legal, risk, financial and other implications relating to the key Council Plan / Community Plan themes, and provide recommendations.

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			<p>All reports have a 'frontispiece' which details consultation undertaken by the author of the report in relation to financial and legal implications. Reports are in a standard format in which legal and financial implications (if any) require to be detailed.</p> <p>Pre-agenda meetings are held with Convenors and Depute Convenors at which any issues can be addressed prior to the finalised agenda being issued.</p>
		Annual timetable of board meetings	<p>A timetable covering the various board cycles is approved by the Council and is updated on the Council website. Dates of pre-agenda meetings are provided to relevant officers and members. The most recent timetable has been approved until June 2019.</p> <p>A spreadsheet is issued quarterly to services advising of last lodging dates for reports.</p>
4.1.2	Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts.	Public Consultation	The Council has a track record of engaging with services on new developments or wide scale changes to services such as the public consultation on City Deal. In addition, the Community Planning events and Public Services Panel capture opinions of citizens on what matters to them most in terms of Council priorities or service provision.

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
		Local Area Committees	<p>One of the key ways in which the Council has encouraged local people to participate in local decision making is through the creation of five local area committees. The committees give local people and groups more input into the delivery of services within their own area, including the right to review and monitor performance and to be consulted at a local level wherever possible.</p> <p>Decentralisation and the 5 local area committees provide an opportunity for the Council and its partners to engage with residents on a localised basis. A review of Local Area Committees was undertaken in 2017 and proposals were discussed at a Cross Party Sounding Board and approved by full Council in December 2017 and are currently out to public consultation as at March 2018.</p>
		Petitions function	<p>The Council introduced a public petitions procedure in 2007 which strengthens the connection between the Council and the community to raise issues of concern in relation to services provided by the Council or other bodies such as the police and health board, recognising that the Council has limited influence over other bodies. Details of petitions received and their outcomes are included in the annual report to the Board and on the Council's website.</p> <p>Petitions previously were considered by the Audit, Scrutiny and Petitions Board but as of June 2017, a separate Petitions Board has been established to consider petitions only.</p>
<b>4.2 Planning interventions</b>			



	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
4.2.1	Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets.	Annual timetable of board meetings	<p>A timetable covering the various board cycles is approved by the Council and is published online, together. Dates of pre-agenda meetings are provided to relevant officers and members. The Council has approved its timetable of meetings until June 2019.</p> <p>A spreadsheet is issued quarterly to services advising of the last lodging dates for reports.</p>
4.2.2	Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered.	Communications channels	<p>The Council communicates with members of the community and its stakeholders (and vice versa) through a number of mechanisms including:</p> <ul style="list-style-type: none"> <li>• Renfrewshire magazine – issued to all households across Renfrewshire</li> <li>• Tenant Forums</li> <li>• Community Planning Groups</li> <li>• Community Councils</li> <li>• Local Area Committees</li> <li>• Council Website</li> <li>• Complaints procedure</li> <li>• Public Performance reports</li> <li>• Customer Service Centre Channels</li> </ul>
		Internal Communications Strategy	<p>An internal communications strategy has been developed on the approach the Council will use to engage with staff. Various channels have been refreshed to be used for internal communications:</p> <ul style="list-style-type: none"> <li>• New quarterly staff magazine</li> <li>• Chief Executive's Blog</li> <li>• Team Briefs for managers to inform and update staff on key issues</li> <li>• A3 poster sites across the Council.</li> </ul>

	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
		Community Planning structure – Renfrewshire Forum for Empowering Communities Review of Community Planning Partnership governance was approved by full Council in December 2016	Renfrewshire Forum for Empowering Communities is taking a lead role in giving local communities a voice in Renfrewshire. It provides meaningful, sustained and effective engagement with communities and citizens. It values the knowledge, skills, capacity and potential that our communities have and seeks to build on the commitment and confidence evident in local groups and organisations. The aim is to localise decision making and accountability as far as possible and work co-operatively with communities.
4.2.3	Considering and monitoring risks facing each partner when working collaboratively including shared risks.	Strategic Partnership Agreements	Strategic Partnership Agreements set out the shared commitment to achieving priorities and objectives for Renfrewshire.
		Minutes of Agreement	Minutes of Agreement set out the rights, duties, powers, liabilities and obligations of parties to the Agreement e.g. the Council and partner organisations. Appointments of members to outside bodies are not taken up until the Director of Finance and Resources confirms that the organisation has appropriate insurance policies in place.
4.2.4	Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances.	Council Plan Refresh	The new five year Council Plan was approved in September 2017. The plan is flexible to accommodate the ever changing political, legal and economic climate of local government. There is an accompanying performance framework which sits alongside the Council Plan and sets out the six monthly monitoring cycle.

	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
4.2.5	Establishing appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured.	Service Improvement Plans and key performance indicators Council Plan Performance Framework CMT Performance Scorecard Quarterly monitoring	<p>Each year, every service is required to produce a rolling 3 year service improvement plan which outlines how the service will contribute to the Council Plan and Community Plan priorities, and details how its actions and plans will achieve improved outcomes for customers/communities in the future.</p> <p>Services are required to select a range of key performance indicators to create a scorecard to measure how well they are contributing to these priorities. It is monitored at a mid-year point and at the end of that service improvement plan year. The last Service Improvement Plan Monitoring Reports were presented to boards in August 2017. Information including commentary on performance is collected and analysed using the Covalent performance management system.</p>
4.2.6	Ensuring capacity exists to generate the information required to review service quality regularly.	Performance Scrutiny Framework for SIPs CMT Scorecard Annual Complaints Report	<p>The Council has a comprehensive performance scrutiny framework in place for service improvement plans. These cover:</p> <p>(i) Spring – review progress of Service Plan implementation and report the new Service Improvement Plan covering the next three years to Board. A report on the Annual Complaints performance is also taken to Board.</p> <p>(ii) Autumn – report to Board the mid-year point progress to allow elected members to scrutinise performance against targets and due dates. In addition, there are internal meetings with the Chief Executive and the Corporate Management Team to monitor and scrutinise performance at Council</p>

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
		<p>Performance reviewed each year by Audit, Risk and Scrutiny Board</p>	<p>and service level.</p> <p>(iii) Quarterly – a quarterly performance scorecard is discussed at the Corporate Management Team meetings reporting on the performance of services during the previous quarter.</p> <p>The Council's performance in terms of Local Government Benchmarking Framework indicators is reported to and reviewed by the Audit, Risk and Scrutiny Board each year. This includes information on service levels, service costs and customer satisfaction. The report also sets out the actions which will be taken to improve performance for the indicators in the bottom quartile (ranked 25<sup>th</sup> to 32<sup>nd</sup>).</p>
4.2.7	Preparing budgets in accordance with organisational objectives, strategies and the medium-term financial plan.	<p>Annual financial statements, annual accounts and annual audit review</p> <p>Budget guidance and protocols</p> <p>Medium-term financial planning</p> <p>Corporate plans</p>	<p>The Council complies with this requirement through the publication of its Annual Accounts, through the regular submission of budget reports to Policy Boards, the submission of the annual audit review and other audit reports to the Council and/or Audit, Risk and Scrutiny Board as appropriate and by publishing performance information on our website.</p> <p>The Council's financial outlook for the medium term is presented to Leadership Board in December each year. The report sets out the current financial position and the significant financial challenges to be faced in the forthcoming years, together with likely indications of grant and borrowing levels. Overall the Council's immediate financial position takes into consideration all known influencing factors.</p>

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
4.2.8	Informing medium and long-term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy.	Budget guidance and protocols Medium-term financial planning Corporate plans	The Council's financial outlook for the medium term is presented to Leadership Board in December each year. The report sets out the current financial position and the significant financial challenges to be faced in the forthcoming years, together with likely indications of grant and borrowing levels. Overall the Council's immediate financial position takes into consideration all known influencing factors.
<b>4.3 Optimising achievement of intended outcomes</b>			
4.3.1	Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints.	Service Improvement Plans	Each service improvement plan includes a section on finance and resources and includes information on gross revenue estimates for the coming year, and identifies resource pressures.

	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
		Financial outlook	The Council's financial outlook for the medium term is presented each year. The report sets out the current financial position and the significant financial challenges to be faced in the forthcoming years, together with likely indications of grant and borrowing levels. Overall the Council's immediate financial position takes into consideration all known influencing factors.
4.3.2	Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term.	Budgeting guidance and protocols	A revised programme of financial management training for budget holders is currently being implemented as part of the Aspire programme. This will act as a refresher and update for operational staff. Financial reports detailing revenue expenditure and income are made to policy boards throughout the year and are based on the total cost of the main divisions of service and the total cost based on the key expenditure headings such as employee costs etc. Capital expenditure and income reports also follow this same process with each capital project showing the previous year's cumulative spend (full cost)
4.3.3	Ensuring the medium term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage.	Financial Outlook 2017/18 – 2019/20	The Council's financial outlook for the medium term is presented each year. The report sets out the current financial position and the significant financial challenges to be faced in the forthcoming years, together with likely indications of grant and borrowing levels. Overall the Council's immediate financial position takes into consideration all known influencing factors.
4.3.4	Ensuring the achievement of 'social value' through service planning and commissioning.	Service Improvement Plans	Services are required to demonstrate through the service improvement plans how they contribute to the Council Plan and Community Plan objectives

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			for Renfrewshire. They also demonstrate the achievements of the various outcomes and targets agreed by the Council and its partners.
		Community Benefits	<p>A Community Benefits Strategy was developed and approved by the Procurement Sub Committee in June 2014.</p> <p>A suite of guidance documents have been produced to provide procurement staff with the tools to effectively manage Community Benefits</p> <p>The outcomes and impact of Community Benefits to Renfrewshire will be monitored by CPU Compliance Team and be integral to the Supplier Management process.</p>

**PRINCIPLE 5: Developing the entity's capacity, including the capability of its leadership and the individuals within it.**

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
<b>5.1 Developing the entity's capacity</b>			
5.1.1	Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness.	Audit, Risk and Scrutiny Board	The Audit, Risk and Scrutiny Board prepare an annual programme, including areas for specific review. Members suggesting an area for review must identify the purpose and objectives of the review and the intended outcome. The Board takes a common sense approach to reviewing decisions and policies and the process provides the opportunity for elected members to examine the various functions of the Council, to ask questions on how decisions have been made, to consider whether service improvements can be

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			<p>put in place and makes recommendations as appropriate. For each review, the Chief Executive appoints a lead officer to assist members of the Board to identify potential issues and questions to be asked of witnesses. Following each review, a report is prepared by the lead officers on behalf of the Board for approval by the Board and thereafter the Council. If appropriate, minority of dissenting views are recorded in the minutes of the meeting.</p>
		<p>Covalent and Corporate Management Team / Council Plan scorecard</p>	<p>Performance information from across services is monitored by the Chief Executive and the Corporate Management Team using the Council's performance management system, Covalent. The system is used to monitor strategic PIs, statutory indicators and operational indicators.</p>
		<p>Council Plan and LOIP reports Council Plan Performance Framework Local Government Benchmarking Framework (LGBF)</p>	<p>The Council provides regular updates covering performance in terms of delivering on the Council Plan, and in conjunction with partners, on the Community Plan / Local Outcome Improvement Plan.</p>
		<p>Service Improvement Plan – 6 monthly outturn report</p>	<p>Each service also produces an outturn report annually, which summarises performance achieved against its service improvement plan. These updates are reported to the relevant policy board for the service in spring each year and are available online.</p>
<p>5.1.2</p>	<p>Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority's resources are allocated so that outcomes</p>	<p>Benchmarking / peer review</p>	<p>Services across the Council are involved in both formal and informal benchmarking arrangements through for example, the Association for Public Service Excellence and Scottish Community Care Benchmarking Network. Development and</p>



	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
	are achieved effectively and efficiently.		Housing Services participate in the Scottish Housing Best Value Network (SHBVN) annual benchmarking process. The Council has also been heavily involved in the development of the Local Government Benchmarking Framework and the subsequent benchmarking groups. This provides national benchmarking information on a range of indicators covering service delivery, cost and customer satisfaction.
5.1.3	Recognising the benefits of partnerships and collaborative working where added value can be achieved.	Community Plan and Local Outcome Improvement Plan	<p>The Council currently complies with this requirement through its Community Plan and Local Outcome Improvement Plan (LOIP), which set out a clear vision for partnerships and for Renfrewshire and its people, as well as the key areas of priority and actions to be undertaken.</p> <p>The new Community Plan, which was agreed by Council on 28 September 2017, was based upon extensive research and community consultation which identified the key issues facing Renfrewshire.</p>
		Strategic Partnership Agreements	Two Strategic Partnership agreements were agreed in 2016 with the University of the West of Scotland and West College Scotland, which set out how key joint priorities which will be progressed in partnership.
5.1.4	Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources.	Workforce Plan	A Council workforce plan was approved by the Finance, Resources and Customer Services Board in August 2017, with each service having an individual workforce plans also. All plans are designed around the six step methodology of workforce planning and incorporates 5 strategic themes:

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			<ul style="list-style-type: none"> <li>- A modernised and flexible workforce;</li> <li>- A developing workforce;</li> <li>- A resilient workforce;</li> <li>- A skilled workforce; and</li> <li>- A partnering workforce.</li> </ul> <p>The themes are aligned to the Council Plan which will enable the Council to address future working challenges, supporting organisational change. Workforce planning priorities under the five key themes will be integrated and driven through the Service Improvement Plan process. This will ensure robust monitoring of progress and that workforce planning is not seen as a standalone activity.</p>
<b>5.2 Developing the capability of the entity's leadership and other individuals</b>			
5.2.1	Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained.	Protocol for relationships between Political Groups, Elected Members and Officers Member Development Programme	The Council's elected members and inter-party protocols and protocol for members/officers relations were reviewed in 2014 and combined into one composite protocol which was approved at the Finance and Resources Policy Board on 12 <sup>th</sup> November 2014
		Councillors' Code of Conduct, Code of Conduct for Employees	The Council complies with this requirement through the Councillors' Code of Conduct and the Code of Conduct for Employees. The Council's protocol for relationships between political groups, elected members and officers sets out the rights and responsibilities of Councillors and political groups in the course of conducting council business; good practice guidelines in relation to the multi-member ward issues. Members were provided with a briefing on the

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			respective roles and responsibilities of officers and members as part of their induction following the local government elections in 2017.
		Meetings between Chief Executive and Leader	The Chief Executive holds weekly meetings with the Leader.
		Cross Party Sounding Board	The Council at its statutory meeting held in May 2017 established as part of its decision-making structure a Cross Party Sounding Board the remit of which is to act as a sounding board and discussion forum, with no decision making powers: to provide an opportunity to discuss matters of common interest or of council wide relevance. Members include 2 administration and 4 opposition members.
5.2.2	Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decisions making of the governing body.	Scheme of delegation	The Council's scheme of delegation ensures that decisions are made at the lowest or most local level consistent with the nature of the issues involved. With the exception of those powers which cannot be delegated or have been reserved to the Council, functions have been delegated to Boards and committees, the chief executive, directors and heads of service and other officers. The scheme also includes a section detailing, statutory officers. The Scheme is reviewed on a regular basis. A review of the Council's decision making structure was undertaken and agreed at the statutory meeting of the Council in May 2017 incorporating changes of the scheme of delegation to Boards.

	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
5.2.3	Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure, whereby the chief executive leads the authority in implementing the strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority.	Conditions of Employment, scheme of delegation, statutory provisions and job descriptions/person specification	The Chief Executive has responsibility as head of the paid service for all aspects of operational management.
		Annual review	The Chief Executive is subject to a facilitated annual review by the leaders of the political groups at which objectives are agreed and reviewed.
5.2.4	<p>Developing the capabilities of members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by:</p> <ul style="list-style-type: none"> <li>– ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged.</li> <li>– ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis.</li> <li>– ensuring personal, organisational and system-wide development through shared learning, including</li> </ul>	Members Induction	<p>A welcome and induction package of events was delivered for newly-elected and returning Councillors following the local government election in May 2017. Notice of further development events and opportunities is issued to Councillors each month.</p> <p>Councillors have access to the Improvement Service CPD framework to identify further induction and development requirements. Councillors are encouraged to use the CPD framework and are supported throughout the process. An annual register of training and development delivered for Councillors is published online. Preparations are underway for a focussed development week for members to take place in April 2018.</p>
		MTIPD/MDP2/360 reviews	The OD Strategy outlines a proposal to review existing approaches to people development. The transitional arrangements will continue to apply existing MTIPD/MDP performance review processes to ensure that all learning and development needs are identified and auctioned and that service improvement and career pathways are discussed and promoted.

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
	lessons learnt from both internal and external governance weaknesses.		Development of an evidence-based appraisal process, aligned to the Council Plan priorities and linked through a 'golden thread' approach to individual performance, is integral to the overall review of the Councils approach to workforce development. MTIPD/MDP2/260 reviews will be replaced by the new People, Performance and Talent Policy to be implemented in April 2018.
		I-Learn Training	A number of e-learning modules are available to employees to support their learning and development. This includes a comprehensive e-learning induction module for employees which covers terms and conditions and the statutory appointments of officers are detailed in the Council's scheme of delegation and this is reviewed on a regular basis.
		New Leadership Development Training Programmes Review of Employee Development	Two new Leadership Development Programmes were introduced in 2017, Leaders of the Future and ASPIRE. These programmes aim to develop leaders by focusing on enhancing skills, knowledge and competency in key leadership areas and strengthening capacity to lead and deliver change effectively. The CMI Level 3 Certificate in First Line Management was launched in 2017.  The above work is reflective of the BVAR recommendation by Audit Scotland in 2017 around workforce development
5.2.5	Ensuring that there are structures in place to encourage public participation.	Consultation and engagement mechanisms	Council services engage and consult with communities in a number of ways including: Public Services Panel, Focus Groups, Tenants and

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			Residents Forum, service user groups, Community Planning process, Complaints procedure, local area committees and Community Councils.
		Consultation Strategy and stakeholder engagement framework	<p>The Consultation Strategy sets out the broad approach for engaging with stakeholders. It provides a framework within which services can develop consultation practices and procedures appropriate to the specific requirements of the services being delivered and users of those services. It is published on Renfo and was shared with partners.</p> <p>The Policy and Commissioning service is currently undertaking a review of existing consultation approaches to ascertain their effectiveness and to establish best practice which could be applied across the organisation. This is part of the development of a stakeholder engagement framework.</p>
		Local Area Committees	<p>One of the key ways in which the Council has encouraged local people to participate in local decision making is through the creation of five local area committees. The committees give local people and groups more input into the delivery of services within their own area, including the right to review and monitor performance and to be consulted at a local level wherever possible. The Council's review of community-level governance arrangements is ongoing.</p>
5.2.6	Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from	Improvement Service CPD framework for elected members.	Councillors are encouraged to assess their own performance and identify any development needs using the CPD framework.

	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
	peer review and inspections.		
		Peer reviews	Using the IS CPD framework, Councillors can opt to undertake a 360° peer review of their performance as an elected member.
5.2.7	Holding staff to account through regular performance reviews which take account of training or development needs.	Pentana performance management system – Corporate Management Team / Council Plan scorecard	Performance information from across services is monitored by the Chief Executive and the Corporate Management Team using the Council's performance management system, Pentana. The system is used to monitor strategic PIs, statutory indicators and operational indicators.
		Audit, Risk and Scrutiny Board	The Audit, Risk and Scrutiny Board agree an annual programme of activities which includes areas for specific investigation. The Audit, Risk and Scrutiny Board also has a written intimation procedure in respect of which any member of the Board may request that a particular matter be considered by the Board. Each of the policy boards has a scrutiny function and the local area committees also perform this role.
		Improvement Service CPD framework for elected members.	The CPD framework for Councillors was developed by the Improvement Service and all members have access to it. Members are encouraged to assess their own development needs and develop a personal development plan.
		Appraisal Process	A People, Performance, and Talent Policy, Guidance and Competency Frameworks for all levels across the Council will replace the current frameworks of MTIPD and MDP and will be implemented in April 2018. PDR is a continuous

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			<p>coaching and development cycle, which allows managers to identify the development needs of individuals or teams of employees. It also provides the opportunity for managers to give employees feedback on performance.</p> <p>The People, Performance and Talent Policy and Competency Framework will recognise good performance, support under performance at an early stage and promote the behaviours required by the Council. The process will involve a structured programme of 1 to 1 or team meetings and reviews throughout the year. This will allow a manager and their employee(s) to discuss and agree performance levels expected and set out objectives to be achieved throughout the year. Objectives will be agreed in line with the new Council new core competency framework.</p>
5.2.8	Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing.	OD Strategy – health and wellbeing Health and Safety Plans for each service	The health and safety team have a review programme in place, a number of guidance documents are currently being refreshed with input from services and trade unions, where appropriate. In addition, a new Health, Safety and Wellbeing Strategy is in the process of being developed with an anticipated implementation date of summer 2018.

**PRINCIPLE 6: Managing risks and performance through robust internal controls and strong public financial management**



	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
<b>6.1 Managing risk</b>			
6.1.1	Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making.	“Risk Matters” – the Councils Risk Management Policy and Strategy	<p>The council has a well-established risk management strategy which is subject to routine monitoring and review. Risk Matters is formally reviewed by the Audit, Risk and Scrutiny Board at periodic intervals of not more than 2 years and annually (interim review) by the Corporate Risk Management Group (CRMG) to ensure it reflects current standards and best practice and fully reflects the rapidly changing environment in local government.</p> <p>Risk Matters is explicit regarding the council’s risk management philosophy and regarding members’ and managers’ responsibility for risk management.</p>
		Strategic Risk Management Development Plan (SRMDP)	<p>The Strategic Risk Management Plan underpins Risk Matters. It reflects the development work required to fulfil the Strategic Risk Management Objectives outlined in Risk Matters. Progress on the SRMDP is monitored by the CRMG on a quarterly basis.</p> <p>The Audit, Risk and Scrutiny Board was renamed to reflect the importance of considering risks in the decision making process.</p>
6.1.2	Implementing robust and integrated risk management arrangements and ensuring that they are working effectively.	<p>Strategic and Corporate Risk Register</p> <ul style="list-style-type: none"> <li>• Submission report to Board</li> <li>• Quarterly reports to CRMG</li> <li>• Midyear report to Board</li> </ul> <p>Service Risk Management Plans</p> <ul style="list-style-type: none"> <li>• Submission reports to Boards</li> <li>• Regular reports to SMTs/DMTs</li> </ul>	The Council maintains, routinely monitors and reviews the corporate risk register and service risk management plans in accordance with Risk Matters.

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
		<ul style="list-style-type: none"> <li>• Midyear report to Boards</li> </ul>	
		Risk Management Annual Report	A report on the effectiveness of the council's risk management framework is provided to the Audit, Risk and Scrutiny Board on an annual basis.
6.1.3	Ensuring that responsibilities for managing individual risks are clearly allocated.	Corporate Risk Management Group	The Corporate Risk Management Group oversees the council's risk management framework on behalf of the Corporate Management Team. The Group oversees the ongoing development, monitoring and review of the corporate risk register and facilitates an escalation process whereby risk can be moved between corporate or service level.
<b>6.2 Managing performance</b>			
6.2.1	Monitoring service delivery effectively including planning, specification, execution and independent post-implementation review.	Service Improvement plans and key performance indicators	<p>Each year, every service is required to produce a rolling 3 year service improvement plan which outlines how the service will contribute to the Council Plan and Community Plan priorities, and details how its actions and plans will achieve improved outcomes for customers/communities in the future. Services are required to select a range of key performance indicators to create a scorecard to measure how well they are contributing to these priorities. It is monitored at a mid-year point and at the end of that service improvement plan year.</p> <p>Information including commentary on performance is collected and analysed using the Covalent</p>

	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
			performance management system.
6.2.2	Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook.	Reports to Council / boards	Reports to the Council and all Board meetings provide members with sufficient information on which they are able to take decisions, including personnel, legal, risk, financial and other implications relating to the key Council Plan / Community Plan themes, and provide recommendations.
		Annual timetable of board meetings	A timetable covering the various board cycles is approved by the Council and is available online dates of pre-agenda meetings are available to relevant officers and members. A spreadsheet is issued quarterly to services advising of last lodging dates for reports. The Council has approved its timetable of meetings until June 2019.
6.2.3	Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible.  (OR, for a committee system) Encouraging effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making.	Audit, Risk and Scrutiny Board	The Audit, Risk and Scrutiny Board's remit includes audit scrutiny, monitoring and review of service delivery, performance, policies and practice, community leadership through monitoring of other public bodies, and standards and ethics.  The Board conducts an annual programme of reviews which have addressed a number of areas, most recently the terms and conditions of a Council house lease.  The remit of the Board was revised at the statutory meeting on the 18 <sup>th</sup> of May to meet Best Value Assurance requirements and to include wider oversight of risk and risk management in the Council the Board was renamed as the Audit, Risk and Scrutiny Board. The Petitions function was

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			<p>removed to the Petitions Board and the Convenor was changed from being a member of the Administration group to a member of the Opposition. Now the Convenor and the Depute Convenor are both from the Opposition groups.</p>
6.2.4	<p>Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement.</p>	<p>Service Improvement Plans and key performance indicators Council Plan Performance Framework</p> <p>Corporate Management Team scorecard / spotlight meetings</p>	<p>Each year, every service is required to produce a rolling 3 year service improvement plan which outlines how the service will contribute to the Council Plan and Community Plan priorities, and details how its actions and plans will achieve improved outcomes for customers/communities in the future. Services are required to select a range of key performance indicators to create a scorecard to measure how well they are contributing to these priorities. It is monitored at a mid-year point and at the end of that service improvement plan year by the relevant Policy Boards.</p> <p>The Plans are also reviewed at a service level by the relevant Senior Management Team.</p> <p>For 2016/17 the Corporate Management Team now hold quarterly spotlight meetings on thematic areas of performance that are of strategic importance and relate to the Council Plan priorities.</p>

	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
		Performance reviewed each year by Audit, Risk and Scrutiny Board Annual Complaints Report	<p>The Council's performance in terms of Local Government Benchmarking Framework Indicators is also reported to and reviewed by the Audit, Risk and Scrutiny Board each year. This includes information on service levels, service costs and customer satisfaction.</p> <p>In addition, the Annual Complaints Report is presented to Board In March each year. This includes a breakdown on number of complaints, how timeously we have responded to complainants and the service improvements made as a consequence.</p>
6.2.5	Ensuring there is consistency between specification stages (such as budgets) and post-implementation reporting (eg financial statements).	Financial regulations and financial codes	The Council has in place financial regulations which set out the responsibilities of the Director of Finance and Resources, who has been appointed as the 'proper officer', along with the responsibilities of the Chief Executive, Directors and other authorised people for the financial affairs of the Council. These regulations also set out the responsibilities of the Leadership Board, the Audit, Risk and Scrutiny Board and the various policy boards for our financial affairs. These are currently being reviewed.
<b>6.3 Robust internal control</b>			
6.3.1	Aligning the risk management strategy and policies on internal control with achieving objectives.	"Risk Matters" – the council's Risk Management Policy and Strategy	The council has a well-established risk management strategy which is subject to routine monitoring and review. Risk Matters is formally reviewed by the Audit, Risk and Scrutiny Board at periodic intervals of not more than 2 years and

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			annually (interim review) by the Corporate Risk Management Group (CRMG) to ensure it reflects current standards and best practice and fully reflects the rapidly changing environment in local government.
		Audit reports and Audit, Risk and Scrutiny Board	In terms of the Public Sector Internal Audit Standards, the Council's Chief Auditor submits an annual report to the Audit, Risk and Scrutiny Board on the activities of internal audit to demonstrate performance and containing a view on the overall adequacy and effectiveness of the council's framework of governance, risk management and control. Again, in terms of the above standards, regular reports are submitted to the Audit, Risk and Scrutiny Board in relation to the findings of the Council's internal and external auditors which detail the main issues arising.  Annual Internal Audit risk based plan is approved by the Board.
6.3.2	Evaluating and monitoring risk management and internal control on a regular basis.	Risk Management Annual Report	A report on the effectiveness of the council's risk management framework is provided to the Audit, Risk and Scrutiny Board on an annual basis.
		Financial Regulations and codes	The Audit, Risk and Scrutiny Board will approve the annual risk management plan and strategy.
6.3.3	Ensuring effective counter fraud and anti-corruption arrangements are in place.	Strategy for the prevention and detection of fraud and corruption Internal Audit arrangements Corporate counter fraud arrangements Integrity Group Anti-Money Laundering policy	A strategy for the prevention and detection of fraud and corruption is in place. The Council's Integrity Group has been established to strengthen the council's internal resilience to corruption.  Effective counter fraud arrangements are in place

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			having established a counter-fraud team. The Chief Auditor has also been appointed as the Money Laundering Reporting Officer.
6.3.4	Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor.	Code of Corporate Governance Guidance Annual Governance Statement Internal Audit Annual report	The Council complies with this requirement through its Code of Corporate Governance Guidance which details the organisation's governance arrangements. This is in line with national guidance and is updated on an annual basis.
6.3.5	<p>Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body:</p> <ul style="list-style-type: none"> <li>– provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment.</li> <li>– that its recommendations are listened to and acted upon.</li> </ul>	Audit, Risk and Scrutiny Board	The Audit, Risk and Scrutiny Board functions as the Council's audit committee and has an overview of the internal audit role to ensure that resources are being targeted effectively. The Board reviews the Council's internal control mechanisms, approves action where appropriate, considers reports by external auditors and submits recommendations to the Council where this is considered appropriate.
		Training programme for Audit, Risk and Scrutiny Board	The Chief Auditor provides a regular briefing programme for members of the Board, prepared in consultation with them, to assist them in fulfilling their audit committee role. Issues covered by the training programme include the role of the Audit committee and CyberSecurity. This programme is approved annually by the Board.
		Training and development programme for officers	The council continues to optimise learning and development through the continuation of MDP, MTIPD and 360 degree performance reviews and by encouraging employees to be involved in activities and projects to prepare them for future roles and to enhance their current skills. As the council reshapes and re-sizes through the Better

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			Council Change Programme these programmes will be reviewed to ensure fitness for purpose.
<b>6.4 Managing data</b>			
6.4.1	Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data	Information Governance Strategy and Framework Information Governance Team Data protection policies and procedures Information Governance Learning & Development Strategy General Data Protection Regulations (GDPR)	The Council is subject to routine external audit by the Information Commissioners' Office (ICO) and also by internal audit. The Managing Solicitor reports monitoring figures, agreed with the ICO during the 2012 ICO audit, to the Senior Information Risk Owner (SIRO) on a monthly basis and to the CMT on at least a six monthly basis.  Work is underway to prepare for the introduction of the General Data Protection Regulations (GDPR) in May 2018.
6.4.2	Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies.	Data sharing agreements Data processing agreements Central repository of data sharing and data processing agreements Cyber Security	Data sharing and data processing agreements are in place as appropriate. There is a central repository of signed agreements. The Council Data Sharing Code, based on the ICO code, was approved by the Finance, Resources and Customer Services Board.  Cyber security transfer and sharing requirements are included with the legal documents.



	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
6.4.3	Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring.	Service Improvement Plans and key performance indicators	Each year, every service is required to produce a rolling 3 year service improvement plan which outlines how the service will contribute to the Council Plan and Community Plan priorities, and details how its actions and plans will achieve improved outcomes for customers/communities in the future. Services are required to select a range of key performance indicators to create a scorecard to measure how well they are contributing to these priorities. It is monitored at a mid-year point and at the end of that service improvement plan year. The last Service Improvement Plan 'Monitoring Reports' (mid-point) were presented to boards in autumn 2016. Information including commentary on performance is collected and analysed using the Covalent performance management system.
		Performance reviewed annually by Audit, Risk and Scrutiny Board	The Council's performance in terms of Local Government Benchmarking Framework Indicators is also reported to and reviewed by the Audit, Risk and Scrutiny Board each year. This includes information on service levels, service costs and customer satisfaction.
		SPI Direction	The SPI Direction sets out the requirements of and delivery of performance indicators. Internal Audit undertakes an annual review of a sample of statutory performance indicators.
<b>6.5 Strong public financial management</b>			
6.5.1	Ensuring financial management supports both long-term achievement of outcomes and short-term financial and operational performance.	Financial strategy and financial monitoring reports	Regular financial monitoring reports detailing the current financial position together with the projected outturns for each main service area (and its appropriate divisions) are reported on a routine

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			basis to Policy Boards. These reports also advise members of any management action that is being taken or is planned for the future to alleviate any current or projected deviations from the initial financial plan.
6.5.2	Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls.	Budget management training	A revised programme of financial management training for budget holders is currently being implemented as part of the Aspire programme. This will act as a refresher and update for operational staff to assist them in undertaking financial responsibilities.

#### **PRINCIPLE 7: Implementing good practices in transparency, reporting and audit to deliver effective accountability**

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
<b>7.1 Implementing good practice in transparency</b>			
7.1.1	Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate.	Renfrewshire Performs	The annual statutory performance indicator public performance report is published, has been uploaded onto the Council's website in an accessible format. The new website will feature more accessible and easier to find performance pages.
7.1.2	Striking a balance between providing the right amount of information to satisfy transparency demand and enhance public scrutiny while not being too onerous to provide and for users to understand.	Public Performance Report – "It's all about you"	The Council publishes an annual report "It's all about you". This provides information to the public on performance of services and the council in an easy to read format.
<b>7.2 Implementing good practices in reporting</b>			

	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
7.2.1	Reporting at least annually on performance, value for money and the stewardship of its resources.	Annual financial statements, annual accounts and annual audit review	The Council publishes its Annual Accounts, through the regular submission of budget reports to Policy Boards, the submission of the annual audit review and other audit reports to the Council and/or Audit, Risk and Scrutiny Board as appropriate and by publishing performance information on our website.
		Public Performance Report – “It’s all about you”	The Council publishes an annual report “It’s all about you”. This provides information to the public on performance of services and the council in an easy to read format.
		Efficiency Statement	The Council produces and publishes an Annual Efficiency Statement which reports on its efficiency projects and activities and seeks to quantify the level of efficiency gains achieved by the Council over the period.
7.2.2	Ensuring members and senior management own the results.	Performance papers to Boards	Elected Members receive a number of performance reports at Policy Boards, including reports on the performance of the Council Plan, Community Plan, Service Improvement Plans, Complaints and Local Government Benchmarking Framework (LGBF).
7.2.3	Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including an action plan for improvement and evidence to demonstrate good governance (annual governance statement)	Annual Governance statement	The Council complies with this requirement through its Annual Governance statement which details the organisation’s governance arrangements. This is in line with national guidance and is updated on an annual basis. The statement is submitted to the Audit, Risk and Scrutiny Board.

	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
7.2.3	Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate.	Annual governance statement	The Council complies with this requirement through its Annual Governance statement which details the organisation's governance arrangements. This is in line with national guidance and is updated on an annual basis. The statement is submitted to the Audit, Risk and Scrutiny Board.
7.2.4	Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations.	Annual financial statements, annual accounts and annual audit review	The Council publishes its Annual Accounts, through the regular submission of budget reports to Policy Boards, the submission of the annual audit review and other audit reports to the Council and/or Audit, Risk and Scrutiny Board as appropriate and by publishing performance information on our website.
<b>7.3 Assurance and effective accountability</b>			
7.3.1	Ensuring that recommendations for corrective action made by external audit are acted upon.	Audit, Risk and Scrutiny Board reports	Recommendations made by external audit, together with management's response to the action plans are reported on to the Audit, Risk and Scrutiny Board.
7.3.2	Ensuring an effective internal audit service with direct access to members is in place which provides assurance with regard to governance arrangements and recommendations are acted upon.	Audit, Risk and Scrutiny Board report Annual Internal Audit Charter	In terms of the Public Sector Internal Audit Standards, the Council's Chief Auditor submits quarterly reports on internal audit performance and an annual report to the Audit, Risk and Scrutiny Board on the activities of internal audit to demonstrate performance and containing a view on the overall adequacy and effectiveness of the council's framework of governance, risk management and control. Again, in terms of the above standards, regular reports are submitted to the Audit, Risk and Scrutiny Board in relation to

	Requirements of corporate governance	Evidence of meeting requirement	Demonstration of annual compliance
			the findings of the Council's internal and external auditors which details the main issues arising.
7.3.3	Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations.	Benchmarking / peer review	Services across the Council are involved in both formal and informal benchmarking arrangements through for example, the Association for Public Sector Excellence. Development and Housing Services participate in the Scottish Housing Best Value Network (SHBVN) annual benchmarking process. The Council has also been heavily involved in the development of the Local Government Benchmarking Framework and the subsequent benchmarking groups. This provides national benchmarking information on a range of indicators covering service delivery, cost and customer satisfaction.
		Best Value Audit	The Council took part in the Best Value Assurance Audit process from January to June 2017. An action plan to respond to recommendations contained within the BVAR report was approved at the full Council meeting on 28 <sup>th</sup> September 2017.
		Independent Inspection and Audit	The Council is independently evaluated by bodies such as the Care Inspectorate, Education Scotland, Audit Scotland and the Scottish Public Services Ombudsman (who considers complaints against the Council).
7.3.4	Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement.	Annual governance statement Self Assessment Checklists	Any key risks identified through the annual self assessment process which is undertaken by the Directors of each Service would be reflected in the governance statement.
7.3.5	Ensuring that when working in	Community Planning Boards	Arrangements are in place between Renfrewshire

	<b>Requirements of corporate governance</b>	<b>Evidence of meeting requirement</b>	<b>Demonstration of annual compliance</b>
	<p>partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met.</p>	<p>Integrated Joint Boards / Health and Social Care Partnerships Renfrewshire Leisure</p>	<p>Council and its Community Planning partners, the IJB and Renfrewshire Leisure.</p> <p>Governance arrangements, such as systems for managing, monitoring and scrutinising the IJB's business and finances have been developed.</p> <p>Effective arrangements are in place for sharing information between partners that can lead to improving how services are provided, such as the Community Safety Partnership.</p> <p>The Head of Policy and Commissioning is the Monitoring Officer undertakes quarterly meetings to review performance of Renfrewshire Leisure. Six-monthly updates and an Annual Business Plan is reported to, and agreed by Leadership Board.</p>