

Eden District Council
Accounts & Governance Committee
22 December 2021

Local Code of Governance

Portfolio:	Resources
Report from:	Assistant Director Finance & HR
Wards:	All Wards
OPEN PUBLIC ITEM	

1 Purpose

- 1.1 To set out the detail supporting the Council's Local Code of Governance 2021-22. Members are asked to confirm that the Local Code of Governance fairly reflects the corporate governance arrangements in place at the Council.

2 Recommendation

It is recommended that the Accounts & Governance Committee:

1. Note the Review of the Local Code of Governance 2020-21,
2. Propose any further amendments and endorse the Local Code of Governance Action Plan for 2021-22, and
3. Approve the Local Code of Governance for 2021-22.

3 Report Details

- 3.1 The purpose of the Local Code is to set out the main features of the Council's corporate governance arrangements.
- 3.2 The existing code was reviewed to check compliance with the code during the year 2020-21. The results of this review are shown in Appendix A.
- The review was performed in the majority before the Council meeting on 25 November which approved the new Constitution.
- 3.3 Where improvements could be made to compliance, these have been included in an Action Plan set out in Appendix B.
- Realistic deadlines have been set for each action and a summary of progress already achieved included where appropriate.
- These actions will continue to be monitored by the Assistant director Finance & HR during 2021/22 and will be reported on as part of the review for 2021/22.
- 3.4 Following the review, some changes are proposed to the Local Code of Governance and the revised version is included as Appendix C.

The amendments proposed are as follows:

3.4.1 Layout of the document changed to make it easier to read including initiating a reference system.

3.4.2 Updates in relation to changes in Scrutiny Committee Structure.

3.4.3 Proposed amendments for clarity following the Review of the Local Code of Governance for 2020-21.

All changes are shown as track changes in the document for ease of review.

4 Policy Framework

4.1 The Council has four corporate priorities which are:

- Sustainable;
- Healthy, safe and secure;
- Connected; and
- Creative

4.2 This report meets sustainable corporate priority.

5 Consultation

5.1 No consultation has taken place.

6 Implications

6.1 Financial and Resources

6.1.1 Any decision to reduce or increase resources or alternatively increase income must be made within the context of the Council's stated priorities, as set out in its Council Plan 2019-2023 as agreed at Council on 7 November 2019.

6.1.2 There are no direct financial implications. However, the AGS and Local Code set out a number of key financial controls.

6.2 Legal

6.2.1 It is a statutory requirement that all local authorities produce an AGS. Part of the preparation of the AGS is have in place and to regularly review the Local Code of Governance.

6.3 Human Resources

6.3.1 There are no Human Resource implications.

6.4 Environmental

6.4.1 There are no significant effects on carbon emissions and ecosystems.

6.5 Statutory Considerations

Consideration:	Details of any implications and proposed measures to address:
Equality and Diversity	Proper governance arrangements will ensure that equality and diversity issues are appropriately addressed

Consideration:	Details of any implications and proposed measures to address:
Health, Social Environmental and Economic Impact	There are no implications
Crime and Disorder	There are no implications
Children and Safeguarding	There are no implications

6.6 Risk Management

Risk	Consequence	Controls Required
There is a risk that Members and senior officers do not properly own the Local Code	The documents are agreed without proper review and scrutiny	Reporting on the Local Code, with supporting detail to the Accounts and Governance Committee as a separate document and not as part of the annual accounts.

7 Other Options Considered

7.1 No other options were considered.

8 Reasons for the Decision/Recommendation

8.1 To ensure that the Local Code of Governance is properly supported by evidence and fairly reflect Members' understanding of the Council's corporate governance arrangements.

Tracking Information

Governance Check	Date Considered
Chief Finance Officer (or Deputy)	14/12/21 (Deputy)
Monitoring Officer (or Deputy)	14/12/2021

Background Papers: Delivering Good Governance in Local Government:
CIPFA/SOLACE Framework
Accounts and Audit Regulations 2015
CIPFA: The Role of the Chief Finance Officer in Public Sector Organisations

Appendices: Appendix A: Review of the Local Code of Governance 2020-21
Appendix B: Local Code of Governance Action Plan 2021-22
Appendix C: Local Code of Governance 2021-22

Contact Officer: Marianne Bastille, Assistant Director Finance & HR

Eden District Council

Review of Compliance with Local Code of Governance

April 2020 to March 2021

Introduction

This review was performed by the Assistance Director: Finance & HR in September / October 2021. At this point it was identified that:

- 1) The current Code of Governance was not available on the public website as a stand-alone document. It was only available as part of the review of the Code in 18/19
- 2) The Code of Governance was not officially approved for the year 2020/21
- 3) The Annual Governance Statement for 2019/20 referred to the Local Code of Governance and indicated a link but the link did not work.
- 4) No evidence of the Review of the 2019/20 cycle was available

Notes

Website – publically available website for Eden District Council: www.eden.gov.uk

Sharepoint – Site used by staff and Members to share information including about Council procedures

Constitution – the Constitution in place as at April 2021.

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
	<p>Eden District Council has adopted a Local Code of Corporate Governance which is structured around the key principles set out by the CIPFA/Solace framework: Delivering Good Governance in Local Government</p>	<p>Local Code of Governance link in 19/20 AGS statement doesn't work.</p> <p>A link to the Code of Local Governance for 2019/20, found on the public website on Annual Governance Statements page, shows the Local Corporate Governance Review for 2018/19</p> <p>AGS for 20/21 not yet published as of 29/9/21</p>	<p>This review will bring the review cycle up to date. The Local Code of Conduct for 2021/22 has been drafted ready for approval following the approval of this review.</p> <p>The Assistant Director Finance & HR will be responsible for the annual review of the Local Code of Corporate Governance in April of each year and the presentation of the review to the Accounts and Governance Committee for approval.</p> <p>The Assistant Director Finance & HR will be responsible for providing suggested updates to the Local Code of Governance each year, which will be approved by the Accounts and Governance Committee in April/May each year for that year.</p> <p>The Local Code of Governance and the</p>

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
			<p>Review of the Local Code of Governance will be published each year, following approval, on the public website on the Annual Governance Statements page.</p> <p>ACTION: Local Code of Governance for 2021/22 to be approved and published</p>
	Principle 1 – Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law		
A1	Enabling Scrutiny to 'call-in' any Executive decisions contrary to the Budgetary and Policy Framework	<p>Constitution Article 6 – Overview and Scrutiny Terms of Reference p31 and Scrutiny Procedure Rules, rule 15, p222</p> <p>No call-ins were made during 20/21</p>	Provision in Place
A2	Having Codes of Conduct for Officers and Members in which there is guidance on Officer Member Relationships	<p>Constitution Part 5 A, C & E</p> <p>Information also held in the Corporate Centre on sharepoint under Officer Behaviour, however not all links from this page worked.</p>	<p>Provision in Place</p> <p>ACTION: Links in Corporate Centre on Sharepoint under Officer Behaviour to be updated.</p>
A3	Maintaining an Accounts and Governance Committee that meets regularly and takes an active interest in the	<p>Committee details - Accounts and Governance Committee (eden.gov.uk)</p> <p>Committee met 4 times during 20/21 in Jun, Jul, Nov and Jan.</p> <p>Complaints Procedure reviewed 12/11/20 (AGc/25/10/20)</p>	Provision in Place

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
	maintenance of standards across the Council. In particular, it is responsible for monitoring of the Corporate Complaints Procedure and Members Code of Conduct	Constitution Article 9 (9.3) cover responsibility of the A&G Committee One item relating to Code of Conduct – Parish Council also raised at the meeting on 13/1/21	
A4	Maintaining an Independent Remuneration Panel (IRP) to advise the Council on allowances to be paid to Members	Last report was to Council on 20 April 2017, item 8 to cover 2017/18 to 2020/21. Members Allowances are included in the constitution.	Provision in Place ACTION: The IRP will need to meet again to set rates for 2021/22 and 2022/23.
A5	Having a Corporate Leadership Team, which includes the Chief Executive, Deputy Chief Executive, Directors' Monitoring Officer and the Chief Financial Officer, which have access to papers to minutes	CLT met regularly throughout 20/21. Minutes Held: ManagementTeam - All Documents (eden.gov.uk) Last 2 sets of minutes on bulletin board as per expectation	Provision in Place ACTION: Amend wording of provision to read 'which has access to papers to meetings' instead of 'which have access to papers to minutes'
A6	Having an Extended Leadership Team which includes all Assistant Directors as well as the Corporate Leadership Team meeting bi-weekly.	Disruptions in staffing due to One Eden Restructure, Covid19 and changes in staffing, meant that meetings were sporadic during 2020/21. Business Continuity meetings were held throughout the year which included all members of the Extended Leadership Team.	Provision not fully in place during 2020/21. ACTION: ELT meetings to occur monthly. With minutes for key

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
	Key messages are published on the Council's Corporate Bulletin Board.	All new Assistant Directors are expected to be in place by August 2021	discussions which are then published to bulletin board on Sharepoint.
A7	Having published procedures to demonstrate compliance with the Freedom of Information Act and the Environmental Information Regulations	Freedom of Information (FOI) (eden.gov.uk) Environmental Information Regulations 2004 (eden.gov.uk) Webpages are clear on procedure to follow. However a link to the Access to Information Policy page from the FOI page would be useful. All pages appear to be up to date.	Provision in Place ACTION: Add a link to the Access to Information Policy onto the FOI page
A8	Having a constitution which sets out clearly the roles and duties of the Council's statutory officers, that is, the Chief Executive, Chief Finance Officer (Director of Resources) and the Monitoring Officer (Assistant Director: Legal and Governance). The Constitution sets out key aspects of the Council's internal control mechanism, in particular, the Accounting and Audit rules, the Procurement	Constitution Constitution contains all the required roles and duties however could be clearer in some areas throughout layout	Provision in Place ACTION: Full Review of Constitution to be completed in 21/22 to include making roles clearer.

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
	rules and the Scheme of Delegation		
A9	The Constitution is reviewed annually	Constitution Constitution was reviewed and an updated version published in September 2020	Provision in Place ACTION: Full Review of Constitution to be completed in 21/22 to include making roles clearer.
A10	Maintaining an Accounts and Governance Committee that meets regularly and takes an active interest in the maintenance of standards across the council. In particular it is responsible for monitoring the corporate Complaints Procedures	Responsibility for standards in place as per article 9 of the Constitution. AGC met 4 times through year. On 12/11/21 it reviewed the Annual Report on complaints.	Provision in Place
A11	All reports have to be seen by the Chief Finance Officer and the Monitoring Officer. Completion of these governance checks has to be noted on the report.	Report template includes a Financial and Resources heading as well as a Legal heading in the Implications Section but no evidence that report has been reviewed	Provision not evidenced ACTION: Add a 'Sign-off' section to all reports to committees to show evidence of review by CFO and MO. Completed September 2021.

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
	The Monitoring officer and S151 officer sign off every committee report.		
A12	Having clear documented approach to fraud and whistle-blowing, which is regularly updated and communicated to staff and is in accordance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA 2014)	<p>Employment Handbook section 6.12 (Fraud) & Section 6.6 (Confidential Reporting (Whistleblowing))</p> <p>The Policies, plans, strategies other essential documents (eden.gov.uk) page on the website includes:</p> <p>Anti-fraud, theft, bribery and corruption strategy and response plan (2021); and Confidential Reporting Code (2017)</p>	<p>Provision in Place</p> <p>ACTION: Confidential Reporting Code due for Review in 2021/22.</p>
A13	Having a policy on the Regulation of the Investigatory Powers Act (RIPA)	<p>Regulation of Investigatory Powers Act Page on sharepoint including Corporate Guidelines and Policy, updated June 2018</p> <p>No indication on policy of date for update of the RIPA Policy.</p>	<p>Provision in Place</p> <p>ACTION: Review of Regulation of Investigatory Powers Act Guidelines and Policy (to include statement that due for renewal annually)</p>
A14	Having a clear complaints procedure	<p>Complaints to Eden District Council (Procedure for submitting a complaint)</p> <p>Complaints are co-ordinated by the MO or Officers within Legal & Democratic Services. Officers involved will be directed as to what is expected of them depending on the circumstances.</p>	Provision in Place
A15	Using complaints and compliments as a positive improvement tool	Accounts & Governance Committee Meeting 12/11/2020 which considered the report:	Provision in Place

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
		<p>Complaints & Compliments – Ombudsman’s Annual Report and the Council’s Own Procedure.</p> <p>Report indicates that improvements were made to service provision following an upheld complaint</p>	
	Principle 2 – Ensuring openness and comprehensive stakeholder engagement		
B1	Conducting as much Council business in public as possible	<p>Committee details - Council (eden.gov.uk)</p> <p>Of all the agenda items at Council, only 2 items were restricted during 20/21. (CI/38/07/20 and CI/85/02/21)</p>	Provision in Place
B2	Providing full information on the Council's business on its website	<p>Eden District Council home page</p> <p>A large amount of information was available although not always in an obvious place</p>	Provision in Place
B3	The Council meets nine times per year. The Executive meets monthly: committees and panels meet regularly as set out in the Constitution. Apart from exempt items, all committee business is open to the public. Reports and minutes are publicly available	<p>The council met 9 times in the year 1/4/20 to 31/3/21. Executive met 12 times (not in August but twice in November).</p> <p>Committee structure and details (eden.gov.uk)</p> <p>No of meetings of other committee:</p> <p>Overview & Scrutiny – 4 times Budget Planning Committee – 8 times Accounts & Governance – 4 times HR& Appeals – 6 times Licensing Committee – 2 times Planning Committee – 18 times</p> <p>Reports and Minutes publically available for all meetings</p>	Provision in Place

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
B4	Clear recording of the reasons for member decisions	<p>Minutes published for all committee meetings:</p> <p>Committee structure and details (eden.gov.uk)</p> <p>Sample selected and checked that minutes had been taken and published</p>	Provision in place
B5	Having a clear complaints procedure	<p>Complaints to Eden District Council (Procedure for submitting a complaint)</p> <p>Complaints are co-ordinated by the MO or Officers within Legal & Democratic Services. Officers involved will be directed as to what is expected of them depending on the circumstances.</p>	Provision in Place
B6	Using complaints and compliments as a positive improvement tool	<p>Accounts & Governance Committee Meeting 12/11/2020 which considered the report:</p> <p>Complaints & Compliments – Ombudsman’s Annual Report and the Council’s Own Procedure.</p> <p>Report indicates that improvements were made to service provision following an upheld complaint</p>	Provision in Place
B7	Ensuring all inspection and audit reports considered by Members are public documents. Any recommendations from such reports are tracked through regular reports to the Accounts and Governance Committee	<p>Publication of all external assessments.</p> <p>Internal Audit reports presented regularly through Accounts and Governance Committee agenda, including monitoring of implementation of recommendations, for example, eg July 2020.</p>	Provision in Place
B8	Having a Statement of Community Involvement	The statement of community involvement sits within consultation policy and programme not updated for 2018/19; item for action plan.	Provision not in Place

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
			ACTION: Create a Consultation policy, including a statement of community involvement
B9	Promoting citizenship by active involvement with local schools	Not possible during Covid-19	Provision unable to be maintained during Covid-19 Pandemic
B10	Actively consulting through a range of channels	Eden District Council invites you to have your say Have your Say section includes information on complaints, consultations and other comments/enquiries. Have your Say section not clear from Eden Website landing page.	Provision in Place ACTION: Add a direct link from Home Page under Your Council to Have your Say section
B11	Holding a Community Conference, which includes a wider range of public, private and voluntary organisations to inform the Council Plan	No new council plan during 20/21	Not applicable to current year
B12	Using a range of customer feedback mechanisms including satisfaction surveys	Customer Feedback is sought in a variety of ways including consultations across the Council and ability to provide complaint or compliment through website.	Provision in Place
B13	Maintaining and regularly updating a database of all major partnerships that the Council is	Not in evidence to Overview and Scrutiny during 20/21 Protocol last updated Sept 2018. Not published.	Provision not in Place

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
	involved in and that these are in accordance with the Council's Partnerships' Protocol. Members reviewing the database in public annually		ACTION: Review, update and publish Council's Partnership Protocol ACTION: Prepare and Maintain a list of all major partnerships. Overview and Scrutiny to review annually.
B14	Encouraging prospective candidates for election to come forward	Becoming a district or parish councillor in Eden No elections were held in 20/21.	Provision in Place
B15	Communicating to the public through effective use of the media, as set out in the Council's Communication Strategy	Media Releases Website, Facebook, Twitter, Instagram, YouTube and VideoAsk channels have all been utilised in 20/21 Draft social media protocols, policy and guidance in use, awaiting approval from CLT Draft communication strategy in use, awaiting approval from CLT Media and publicity protocols (eden.gov.uk)	Provision partly in place ACTION: Social Media Protocols, Policy and Guidance to be approved by CLT ACTION: Communication Strategy to be approved by CLT
B16	Having a Community Engagement and Consultation Section on the website	Community engagement and consultation (eden.gov.uk) Have your Say section includes information on complaints, consultations and other comments/enquiries. Have your Say section not clear from Eden Website landing page.	Provision in Place ACTION: Add a direct link from Home Page under Your Council to Have your Say section

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
B17	Having a Consultation policy and programme	<p>Mentioned on Policies, plans, strategies other essential documents (eden.gov.uk) as being on the Community engagement and consultation (eden.gov.uk) page, but this page doesn't include it.</p> <p>Comms have been working on an ad hoc basis with various departments to deliver communications strategies for various consultations. Recent campaigns include the Partial Review of the Eden Local Plan, the Economic Development Plan Policy Consultation and the soon to launch Appleby Conservation Area consultation.</p> <p>This was raised as an action point in the AGS in 18/19.</p>	<p>Provision partly in place</p> <p>ACTION: Remove link from Policies page</p> <p>ACTION: Create a consultation policy, with strategies and programmes to stay ad hoc.</p>
B18	Using the County Council hosted Consultation Finder on our website	<p>Our consultations are included on the County Council Site rather than their 'finder' being put on our site.</p> <p>Find Activities - Cumbria County Council - Citizen Space Then filter on Area = Eden.</p> <p>Could only see one open consultation relating to Eden on County website. However on Eden website there is several. There is evidence of consultations relating to the year 2020/21 being included.</p> <p>CCC Citizen Space consultation tool is being used. The upcoming Appleby Conservation Area consultation will use this service</p>	<p>Provision partly in place.</p> <p>ACTION: Recommend provision is re-worded for next version.</p>
Principle 3 – Defining Outcomes in terms of sustainable economic, social and environmental benefits			
C1	Having a Council Plan including strategic targets	<p>Eden District Corporate Plan 2019 to 2023</p> <p>Corporate Strategic Priorities 2021 to 2022 (eden.gov.uk)</p> <p>Corporate Plan is in place and Strategic Priorities are set annually</p>	Provision in Place

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
C2	Having an annually updated Corporate Procurement Strategy, based on the National Procurement Strategy for Local Government	<p>Procurement Strategy mentioned on Policies page as being on Procurement Page. But Procurement page says 2018 version available on request.</p> <p>No evidence of Procurement Strategy review by committee since 2018</p> <p>Internal audit assurance review of Procurement in 2020/21 gave a 'reasonable assurance' overall assessment</p>	<p>Provision not in Place</p> <p>ACTION: Review of Procurement Strategy to take place in 2021/22 and be published.</p> <p>ACTION: Assistant Director: Finance & HR to be responsible for Procurement at EDC.</p>
C3	Council considering its Resources Plan annually	<p>Resources Plan 2018-22 considered at Council on 6/9/18</p> <p>A plan was going to be presented to BPC on 30/9/20 but was withdrawn.</p> <p>MTFS & Resources Planning 2021-25 Presented to Executive October 2020.</p>	Provision in Place
C4	Having a published Customer Charter	<p>Eden District Council customer charter</p> <p>Last updated 1/2/21</p>	Provision in Place
C5	Having a comprehensive approach to emergency disaster planning. The council regularly updates its Business Continuity Plan and the Emergency Response Plan, both of which are regularly tested through an exercise	<p>About emergency planning at Eden District Council</p> <p>Emergency Response Plan updated April 2020.</p> <p>Eden District Council business continuity planning</p> <p>Business Continuity Plan 2020 (eden.gov.uk) updated April 2020</p> <p>A business continuity group was set up during Covid19 pandemic to ensure that the functions of the council could continue to be provided during the pandemic.</p>	Provision in Place

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
		<p>Recovery Plan and Corporate Plan Updated accordingly CE6-20 Recovery-Plan-and-Corporate-Plan-Update-July-2020.pdf (eden.gov.uk)</p> <p>No annual exercise completed in 20/21, however actual 'emergency/disaster' scenario of Covid19 tested the plan in action.</p>	
C6	Having a regular Emergency Planning Group which is responsible for maintaining the Eden Emergency Response Plan	Emergency planning group was put on hold in 20/21 and instead the Business Continuity Group was set up to ensure the Council continued to operate as required during Covid19	<p>Provision placed on hold with alternative measures in place</p> <p>ACTION: Once Business Continuity group disbanded in 2021/22, re-instate Emergency Planning Group to meet quarterly</p>
C7	Having an 'out of hours' response service	<p>https://www.eden.gov.uk/your-council/emergency-planning/emergency-telephone-numbers/</p> <p>This page was not easy to find in an emergency. It should be considered to have a link to this on the front page directly. (Currently you have to click on Your Council, then select Emergency telephone numbers)</p>	<p>Provision in Place</p> <p>ACTION: Link to Emergency response contact details on front page (ie 1-click)</p>
C8	Having an Access to Services Policy	<p>www.eden.gov.uk/your-council/equality-and-diversity/our-equality-duties/equal-access-to-services/</p> <p>No Access to Services Policy found however Equal access information provided on website.</p> <p>The Policy should cover how we will meet the access needs of all local residents and businesses not just those with disabilities.</p>	<p>Provision not in place</p> <p>ACTION: Access to Services Policy to be created</p>

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
C9	Considering the economic, social and environmental benefits as part of the decision making process	<p>All Committee papers have an Implications Section which includes individual sections on</p> <p>Financial & Resources; Legal; Human Resources; Statutory Considerations (Equality & Diversity; Health, Social Environmental & Economic Impact; Crime and Disorder; Children Safeguarding)</p> <p>Several papers from 20/21 were reviewed and all contained input in these sections</p>	Provision in place
Principle 4 – Determining the interventions necessary to optimise the achievement of the intended outcomes			
D1	An Efficiency and Value for Money Policy (reviewed biennially)	<p>Money management at Eden District Council</p> <p>Efficiency and Value for Money Policy (eden.gov.uk) Last updated April 2017, was due to be reviewed April 2019.</p> <p>Annual Efficiency Report on website (money management page) but last done 2017-18. Should be removed from website and replaced with updated version when available</p>	<p>Provision partly in place</p> <p>ACTION: Efficiency and Value for Money Policy review required.</p> <p>ACTION: Annual Efficiency Report on website (money management page) to be replaced with updated version when available.</p>
D2	Clear recording of the reasons for member decisions	<p>Minutes published for all committee meetings:</p> <p>Committee structure and details (eden.gov.uk)</p> <p>Sample selected and checked that minutes had been taken and published</p>	Provision in place
D3	Stating clear and meaningful priorities and having effective	<p>Eden District Corporate Plan 2019 to 2023</p> <p>Corporate Strategic Priorities 2021 to 2022 (eden.gov.uk)</p>	Provision in place

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
	arrangements in place to monitor progress against these	Performance Reports presented to Overview and Scrutiny quarterly. These include Corporate Plan Dashboard, KPIs and Corporate Risk Map (Risk Register) Eg Sept 2020 – Quarter 1 reports presented and discussed	
D4	Setting clear targets which translate the agreed priorities into outcomes. These are regularly reviewed	Performance Reports are presented to Overview and Scrutiny quarterly. These include Corporate Plan Dashboard, KPIs and Corporate Risk Map (Risk Register) Eg Sept 2020 – Quarter 1 reports presented and discussed	Provision in Place
D5	A regular review of the Council's priorities	Eden District Corporate Plan 2019 to 2023 prepared for each term. With a Strategic Priorities list: Corporate Strategic Priorities 2021 to 2022 (eden.gov.uk) being prepared annually.	Provision in Place
D6	Securing continuous improvement through regular savings/income generation exercise and the annual programme of Scrutiny Committee reviews	One Eden Programme which included delivering savings, approved November 2019 and progress reviewed by Executive eg 20/10/20 Agenda for Executive on Tuesday, 20th October, 2020, 6.00 pm (eden.gov.uk) Overview and Scrutiny have a workplan to forward plan items for scrutiny eg 3/9/20 G 36 20 Work Plan Report.pdf (eden.gov.uk)	Provision in place
D7	Ensuring that the financial management of the Council is sound, by regular and timely reporting to budget holders, Management Team, Leaders and the	Executive & Budget Planning Committee see quarterly reports on Financial Management Eg July 2020 BPc & Exec Quarter 1 Budget Monitoring and MTFP Review Nov 2020 BPc & Exec Quarter 2 Budget Monitoring, Half Year Review of Treasury Management	Provision partly in place ACTION: Formalise budget monitoring processes to ensure that budget holders are aware of actual or potential budget variances so that

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
	Council as a whole. This includes both revenue and capital monitoring. It is the responsibility of the relevant budget holder to investigate and take action on any identified budget variance. Every budget is owned by a budget holder	<p>Dec 2020 BPc and Exec MTFP Review</p> <p>Jan 2021 BPc & Exec Budget Proposals 21/22 and MTFP</p> <p>Feb 2021 BPc & Exec Revenue and Capital Budget 20/21 and MTFP & Q3 Budget Monitoring</p> <p>Reporting of budget monitoring to budget holders (officers and members – portfolio holders) and management team appears to be ad hoc with no pre-determined timetable or format</p>	<p>they can take appropriate action</p> <p>ACTION: Consider changing to “Ensure that the financial management of the Council is sound by annual review of compliance with the CIPFA Financial Management Code”</p> <p>ACTION: Perform an annual review of compliance with the Financial Management Code</p>
D8	Regularly monitoring key service delivery indicators through regular reports to the Corporate Management Team and the Leader. Where below target performance is seen as significant, explanations and proposed corrective actions are requested	<p>Key PI report to ELT/CLT – started in Q2 20/21</p> <p>Performance Reports presented to Overview and Scrutiny quarterly. These include Corporate Plan Dashboard, KPIs and Corporate Risk Map (Risk Register)</p> <p>Eg Sept 2020 – Quarter 1 reports presented and discussed</p>	Provision in Place
D9	Providing strategic management through the monthly meeting of the Executive and weekly	Browse meetings - Executive (eden.gov.uk)	Provision in Place

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
	Leader and Chief Executive meetings	Weekly Leader and Chief Executive meetings are held informally and hence not minuted	
D10	Clearly placing policy development as the role of the Executive	Constitution (responsibility for functions) p107, para 6.1	Provision in Place
D11	Having an annually updated Corporate Procurement Strategy, based on the National Procurement Strategy for Local Government	Procurement Strategy mentioned on Policies page as being on Procurement Page. But Procurement page says 2018 version available on request. No evidence of Procurement Strategy review by committee since 2018 Internal audit assurance review of Procurement in 2020/21 gave a 'reasonable assurance' overall assessment	Provision not in Place ACTION: Review of Procurement Strategy to take place in 2021/22 and be published. ACTION: Assistant Director: Finance & HR to be responsible for Procurement at EDC.
D12	Council considering its Resources Plan annually	Resources Plan 2018-22 considered at Council on 6/9/18 A plan was going to be presented to BPC on 30/9/20 but was withdrawn. MTFS & Resources Planning 2021-25 Presented to Executive October 2020.	Provision in Place
D13	Setting a medium term financial strategy based on regularly refreshed priorities	MTFP prepared and regularly presented to Exec to consider alongside priorities	Provision in place
D14	Ensuring that any new bid for resources is judged against how far it advances corporate priorities and objectives	Corporate Priorities are included within all committee reports; any bid for resources would need to be clear how it fits with these. Budget growth bids are considered by Portfolio Holders and then approved by Executive. Eg Executive 16/3/21 Agenda Item E135/03/21	Provision in place

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
	Principle 5 – Developing the entity’s capacity, including the capability of its leadership and the individuals within it		
E1	Having clear, published employee policies	<p>Constitution (website)</p> <p>Eden District Council employment policies and documents – 12 separate policies</p> <p>Most policies were last updated in January 2018</p>	<p>Provision in Place</p> <p>ACTION: Policies not reviewed for over 3 years to be updated in 2021/22.</p>
E2	Maintaining and updating a triennial Asset Management Plan	Asset Management Plan 2017-2020 (eden.gov.uk)	<p>Provision in Place</p> <p>ACTION: Asset Management Plan requires updating.</p>
E3	Holding a regular cross departmental Asset Management Group	Asset Management Group meetings held quarterly	Provision in Place.
E4	Considering cost against a 'family' group of local authorities	<p>Not evidenced by reports however EDC is part of the CWAG, CCFO and procurement groups of finance and procurement staff across Cumbria. This allows for comparison with our nearest neighbours.</p> <p>Option to join LG Futures financial information service which includes annual benchmarking information on Fees & Charges and Council Tax and Business Rates. However this may not be value for money and may not include cost comparisons.</p>	Provision in place
E5	Adopting a 'what works' basis to service provision by using in-house provision, outsourcing, sharing service provision and partnership	Outsourcing of blue collar services, leisure management, pest control, internal audit, arboriculture and major capital scheme management. Provision by another local authority of services, for example, car parks (enforcement and cash collection). Shared IT Service with South Lakeland District Council.	Provision in Place

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
	arrangements as appropriate		
E6	Providing strategic management through the monthly meeting of the Executive and weekly Leader and Chief Executive meetings	Browse meetings - Executive (eden.gov.uk) Browse meetings - Leader Portfolio Holder Meeting (eden.gov.uk) Meetings are adhoc rather than scheduled. Agenda and decisions for Portfolio meetings are published on website. The chief executive also holds weekly briefings with the leader. Notes of these are not published.	Provision in Place
E7	Clearly setting out the rules for the Executive, Scrutiny Committee and the regulatory committees in the Constitution	Constitution A full detailed review of the Constitution is due in 2021/22 which aims to make the responsibilities and rules of each committee as clear as possible	Provision in Place
E8	The Executive meets monthly: committees and panels meet regularly as set out in the Constitution. Apart from exempt items, all committee business is open to the public. Reports and minutes are publicly available	Committee structure and details (eden.gov.uk) No of meetings if each committee: Executive – 11 times Overview & Scrutiny – 4 times Budget Planning Committee – 8 times Accounts & Governance – 4 times HR& Appeals – 6 times Licensing Committee – 2 times Planning Committee – 18 times Reports and Minutes publically available for all meetings	Provision in place
E9	Providing job descriptions for all Member roles within the Constitution	Constitution, part 3 schedule 1, page 117	Provision in place

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
E10	Having a Constitution which sets out clearly the roles and duties of the Council's statutory officers, that is, the Chief Executive, Chief Finance Officer (Director of Finance) and the Monitoring Officer (Deputy Chief Executive). The Constitution sets out key aspects of the Council's internal control mechanism, in particular, the Accounting and Audit Rules, the Procurement Rules and the Scheme of Delegation Clearly stating powers delegated to officers and ensuring that these are maximised	Constitution	Provision in place
E11	Having a Scheme of Delegation which clearly sets out decisions delegated to officers. This is annually reviewed and updated	Constitution. Thorough review of constitution is ongoing through One Eden plan Review of Constitution is expected to conclude in 2021/22.	Provision in Place
E12	Giving effective induction training to new Elected		Provision on hold during 20/21

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
	Members and staff including Senior Officers	<p>A full training induction programme was be provided for all Councillors after the May 2019 elections. Agreed AGc/66/02/19, Update provided to Council AGc/83/04/19.</p> <p>Monitored through Accounts and Governance Committee as reported in February 2019.</p> <p>Make-up of committees remained the same during 20/21 so no new induction for members of committees was required.</p> <p>There were no new members in 20/21 either.</p>	ACTION: RE-instate for any new members and Senior officers from 21/22
E13	Providing proactive Member training	<p>Planning and Licensing training is compulsory every year for any member of those committees. This was waived during 20/21 due to Covid19.</p> <p>Usually training sessions are provided on other topics such as Annual Accounts, Universal Credit and any other topic which may be beneficial for Members, however these was also put on hold due to lockdown arrangements during Covid-19</p> <p>Officer training is driven through the annual appraisal process. This is currently being refreshed. How many staff accessed training budget in 20/21?</p>	<p>Provision on hold due to Covid19</p> <p>ACTION: Re-instate training plan and training provision during 21/22.</p>
E14	Having a performance and appraisal system so that all members of staff know what is expected of them. In addition, an annual training plan is agreed as part of the appraisal process	<p>No current official performance appraisal system run in 2020/21.</p> <p>Many job descriptions are being re-written as part of the One Eden restructure.</p>	<p>Provision not in Place</p> <p>ACTION: To re-instate a performance and appraisal system including a training plan</p>

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
	Principle 6 – Managing risks and performance through robust internal control and strong public financial management		
F1	The Executive receives regular reports on budgets, capital scheme progress and the Risk Register	<p>Browse meetings - Executive (eden.gov.uk)</p> <p>July 2020 – Provisional Outturn 19/20 & Quarter 1 Budget Monitoring & MTFP Review; Oct 2020 – MTFS & Resources Planning ; Nov 2020 – Q2 Budget monitoring & MTFP; Dec 2020 – MTFP</p> <p>Jan 2021 – Budget Proposals 21/22 & MTFP; Feb 2021 – Q3 budget monitoring, Final Budget 21/22 and MTFP</p> <p>Budget monitoring included Capital</p> <p>The Risk Management Strategy and the Corporate Risk Register are undergoing a fundamental review to bring them up to date. This is expected to be concluded in quarter 1 of 2021/22.</p>	<p>Provision partially in place</p> <p>ACTION: Complete the Risk Management Strategy and the Corporate Risk Register fundamental review to bring them up to date.</p>
F2	The Council having a Risk Management Strategy which is annually reviewed and updated	<p>Risk Management Strategy 2019 on website.</p> <p>However an annual update was not presented to Council during the year 2020-2021</p> <p>The Risk Management Strategy and the Corporate Risk Register are undergoing a fundamental review to bring them up to date. This is expected to be concluded in quarter 1 of 2021/22.</p>	<p>Provision partially in Place</p> <p>ACTION: Complete the Risk Management Strategy and the Corporate Risk Register fundamental review to bring them up to date.</p>
F3	The Council maintaining a Risk Register. This is reviewed quarterly by the Management Team and Executive. It is scrutinised annually by the Scrutiny Co-	The Risk Management Strategy and the Corporate Risk Register are undergoing a fundamental review to bring them up to date. This is expected to be concluded in quarter 1 of 2021/22.	<p>Provision not in place</p> <p>ACTION: Complete the Risk Management Strategy and the Corporate Risk Register</p>

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
	ordinating Board and the Management Team. After each quarterly update, all staff are reminded of its presence. New risks are often identified outside the quarterly reviews, mainly through Management Team discussion on particular issues		fundamental review to bring them up to date.
F4	Having a 'Risk Management Implications' section in all committee reports	<p>A risk Management section is included in all council papers under the Implications Section.</p> <p>For the papers reviewed (CI/59/11/20; BPc/4/06/20; AGc/12/07/20), this section had been completed</p>	Provision in Place
F5	Enabling Scrutiny to 'call-in' any Executive decisions contrary to the Budgetary and Policy framework	<p>https://www.eden.gov.uk/media/5837/constitution_september2020_accessible.pdf</p> <p>Article 6, Section 6.2 (4)</p> <p>Right was not exercised in 2020/21</p>	Provision in place
F6	Maintaining and updating a triennial Asset Management Plan	Asset Management Plan 2017-2020 (eden.gov.uk)	<p>Provision in Place</p> <p>ACTION: Asset Management Plan due for update</p>
F7	Holding a regular cross departmental Asset Management Group	Asset Management Group meetings held quarterly	Provision in Place.

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
F8	Approving SMART targets for the Council's wholly owned company to give a basis for monitoring performance.	<p>Targets were last set in July 2019 at Executive for 19/20</p> <p>Consideration is currently being made of the most appropriate vehicle for this provision and hence targets have not been set in 20/21. These plans were delayed due to Covid19.</p>	<p>Provision not in Place</p> <p>ACTION: Decision to be taken on future of subsidiary. Once determined then targets to be set if appropriate.</p>
F9	Having a dedicated contracts and procurement team to provide corporate support to the procurement process and direct oversight of a number of material out-sourced contracts.	<p>https://www.eden.gov.uk/media/5837/constitution_september2020_accessible.pdf includes Procurement Rules. Associated Procurement Procedures are also in place. Internal audit assurance review of Procurement in 2020/21 gave a 'reasonable assurance' overall assessment.</p> <p>The new structure under One Eden includes the role 'Contract and Procurement Manager'. This role is responsible for 5 members of staff of which one is nominated to support procurement.</p> <p>Issue raised in AGS 18-19 re Processes for management and oversight of contracts which need to be reviewed and improved. Contract management was not addressed by internal audit report</p>	<p>Provision in Place</p> <p>ACTION: to ensure that the contracts database is complete with accurate data on contract timescales.</p>
F10	Using Key Performance Indices to manage key strategic or higher risk contracts	KPIs for one key contract (Waste) is included in EDC quarterly performance monitoring.	Provision in Place
F11	Having a Confidential Reporting Code which clearly documents the procedure for staff to report matters of concern, which is regularly updated and communicated to staff	<p>Employment Handbook section 6.12 (Fraud) & Section 6.6 (Confidential Reporting (Whistleblowing))</p> <p>The Policies, plans, strategies other essential documents (eden.gov.uk) page on the website includes Confidential Reporting Code (2017)</p>	<p>Provision in Place</p> <p>ACTION: Confidential Reporting Code will need updating in 2021/22</p>

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
F12	Having an annually updated Anti-Fraud, Theft, Bribery and Corruption Policy which is in accordance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA 2014)	<p>Employment Handbook section 6.12 (Fraud) & Section 6.6 (Confidential Reporting (Whistleblowing))</p> <p>The Policies, plans, strategies other essential documents (eden.gov.uk) page on the website includes Anti-fraud, theft, bribery and corruption strategy and response plan (2021)</p>	Provision in place
F13	Maintaining an effective internal audit function	<p>Internal Audit provision during 2020/21 was all provided by TIAA (check leave date of Gary Little Internal Auditor).</p> <p>External review of Council's Internal Audit Service in February 2019. Per the Public Sector Internal Audit Standards this should be done every 5 years.</p> <p>Annual Internal Audit Plan 20/21 was presented to Accounts and Governance Committee AGc/48/02/20.</p> <p>This was followed by a quarter 1 update in July 2020. A summary progress report was presented in April 2021. In year updates were affected by Covid19.</p>	<p>Provision in Place</p> <p>ACTION: Quarterly reports will be re-instated for 21/22.</p>
F14	Maintaining robust financial control with a suitably qualified section 151 Officer	The Council complies with the CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2015).	Provision in place
F15	Having a Data Quality Statement	<p>Data Quality Statement</p> <p>Last approved by Management Team, 15 March 2016</p>	<p>Provision not up to date</p> <p>ACTION: Review Data Quality Statement in 21/22</p>

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
F16	Having a clear and effective policy on data protection	The Policies, plans, strategies other essential documents (eden.gov.uk) page The Data Protection Policy page includes the Data Protection Policy (2018)	Provision in Place ACTION: Data Protection Policy due to review
F17	Having clear and effective information governance policies, systems and procedures	The Policies, plans, strategies other essential documents (eden.gov.uk) page includes: Access to Information Policy Data Protection Policy Data Quality Statement Information Security Policy Records Management policies, systems and procedures as well as Record Retention policy/schedule are under review.	Provision partly in Place ACTION: Records Management & Retention Policies, systems and Procedures to be review, updated and published.
F18	Having clear and effective information security policies, systems and procedures	Information Security Policy (2020) was updated in November 2020.	Provision in place
F19	Having and maintaining an ICT Services Risk Register	ICT Risk Register held by ICT department. Document is confidential to reduce risk of malicious targeting.	Provision in place
F20	Setting a medium term financial strategy based on regularly refreshed priorities	MTFS Noted at Executive October 2020. E/45/10/20.	Provision in Place
F21	Considering cost against a 'family' group of local authorities	Not evidenced by reports however EDC is part of the CWAG, CCFO and procurement groups of finance and procurement staff across Cumbria. This allows for comparison with our nearest neighbours.	Provision in place

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
		Option to join LG Futures financial information service which includes annual benchmarking information on Fees & Charges and Council Tax and Business Rates. However this may not be value for money and may not include cost comparisons.	
F22	Ensuring that any new bid for resources is judged against how far it advances corporate priorities and objectives	Corporate Priorities are included within all committee reports; any bid for resources would need to be clear how it fits with these. Budget growth bids are considered by Portfolio Holders and then approved by Executive. Eg Executive 16/3/21 Agenda Item E135/03/21	Provision in place
F23	Securing continuous improvement through regular savings/ income generation exercises and the annual programme of Scrutiny Committee reviews	One Eden Programme which included delivering savings, approved November 2019 and progress reviewed by Executive eg 20/10/20 Agenda for Executive on Tuesday, 20th October, 2020, 6.00 pm (eden.gov.uk) Overview and Scrutiny have a workplan to forward plan items for scrutiny eg 3/9/20 G 36 20 Work Plan Report.pdf (eden.gov.uk)	Provision in Place
F24	Ensuring that the financial management of the Council is sound, by regular and timely reporting to budget holders, Management Team, Leaders and the Council as a whole. This includes both revenue and capital monitoring. It is the responsibility of the relevant budget holder to investigate and take action on any identified budget variance. Every	Executive & Budget Planning Committee see quarterly reports on Financial Management Eg July 2020 BPc & Exec Quarter 1 Budget Monitoring and MTFP Review Nov 2020 BPc & Exec Quarter 2 Budget Monitoring, Half Year Review of Treasury Management Dec 2020 BPc and Exec MTFP Review Jan 2021 BPc & Exec Budget Proposals 21/22 and MTFP Feb 2021 BPc & Exec Revenue and Capital Budget 20/21 and MTFP & Q3 Budget Monitoring	Provision partly in place ACTION: Formalise budget monitoring processes to ensure that budget holders are aware of actual or potential budget variances so that they can take appropriate action

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
	budget is owned by a budget holder	Reporting of budget monitoring to budget holders (officers and members – portfolio holders) and management team appears to be ad hoc with no pre-determined timetable or format	
F25	The Executive receives regular reports on budgets, capital scheme progress and the Risk Register	Browse meetings - Executive (eden.gov.uk) July 2020 – Provisional Outturn 19/20 & Quarter 1 Budget Monitoring & MTFP Review; Oct 2020 – MTFS & Resources Planning ; Nov 2020 – Q2 Budget monitoring & MTFP; Dec 2020 – MTFP Jan 2021 – Budget Proposals 21/22 & MTFP; Feb 2021 – Q3 budget monitoring, Final Budget 21/22 and MTFP Budget monitoring included Capital The Risk Management Strategy and the Corporate Risk Register are undergoing a fundamental review to bring them up to date. This is expected to be concluded in quarter 1 of 2021/22.	Provision partially in place ACTION: Complete the Risk Management Strategy and the Corporate Risk Register fundamental review to bring them up to date.
Principle 7 – Implementing good practices in transparency, reporting, and audit to deliver effective accountability			
G1	Providing full information on the Council's business on its web	Your Council page on website provides links to information on the council's business including: committee meetings, councillors, management structure, finances, documents	Provision in Place
G2	Compliance with the Local Government Transparency Code and Open Data	Open data (eden.gov.uk)	Provision in Place
G3	The Council meets nine times per year. The Executive meets monthly: committees and panels meet regularly as	The council met 9 times in the year 1/4/20 to 31/3/21. Executive met 12 times (not in August but twice in November). Committee structure and details (eden.gov.uk)	Provision in Place

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
	set out in the Constitution. Apart from exempt items, all committee business is open to the public. Reports and minutes are publicly available	<p>No of meetings of other committee:</p> <p>Overview & Scrutiny – 4 times Budget Planning Committee – 8 times Accounts & Governance – 4 times HR& Appeals – 6 times Licensing Committee – 2 times Planning Committee – 18 times</p> <p>Reports and Minutes publically available for all meetings</p>	
G4	Conducting as much Council business in public as possible	<p>Committee details - Council (eden.gov.uk)</p> <p>Of all the agenda items at Council, only 2 items were restricted during 20/21. (C/38/07/20 and C/85/02/21)</p>	Provision in Place
G5	Clear recording of the reasons for member decisions	Minutes in evidence on website for all Council and Executive meetings	Provision in Place
G6	The Scrutiny Co-ordinating Board is responsible for risk management arrangements	<p>Constitution states that Scrutiny Committee is responsible for Risk Management</p> <p>No evidence during 20/21 of consideration of Risk Management by Overview and Scrutiny.</p>	<p>Provision partly in Place</p> <p>ACTION: Amend to Overview and Scrutiny</p> <p>ACTION: Ensure that Risk Management Updates are considered by Overview and Scrutiny regularly</p>
G7	Maintaining an Accounts and Governance Committee that meets	Committee details - Accounts and Governance Committee (eden.gov.uk)	Provision in Place

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
	regularly and takes an active interest in the maintenance of standards across the Council. In particular, it is responsible for monitoring the corporate Complaints Procedure	<p>Committee met 4 times during 20/21 in Jun, Jul, Nov and Jan.</p> <p>Complaints Procedure reviewed 12/11/20 (AGc/25/10/20)</p> <p>https://www.eden.gov.uk/media/5837/constitution_september2020_accessible.pdf</p> <p>Article 9 (9.3) cover responsibility of the A&G Committee</p> <p>One item relating to Code of Conduct – Parish Council also raised at the meeting on 13/1/21</p>	
G8	Council considers the Annual Audit Letter from the external auditor	Due to the delay in preparation of the 19/20 accounts, no Annual audit letter was provided during the 20/21 year. The letter of representation from the External Auditors was presented to Accounts & Governance Committee in August 2021 (AGc/18/08/20).	Provision in Place
G9	The Accounts and Governance Committee approves the annual accounts	Due to the delay in preparation of the 19/20 accounts, no Annual audit letter was provided during the 20/21 year. The Annual accounts were approved by the Accounts & Governance Committee in August 2021 (AGc/18/08/20).	Provision in Place
G10	The Accounts and Governance Committee approves the Annual Governance Statement	Due to the delay in preparation of the 19/20 accounts, no Annual audit letter was provided during the 20/21 year. The AGS was approved by the Accounts & Governance Committee in August 2021 (AGc/18/08/20).	Provision in Place
G11	The Accounts and Governance Committee receives all reports from the Internal Audit Service and the external auditor	<p>Annual Internal Audit Plan 20/21 was presented to Accounts and Governance Committee AGc/48/02/20.</p> <p>This was followed by a quarter 1 update in July 2020. A summary progress report was presented in April 2021. In year updates were affected by Covid19.</p>	Provision in Place

New Ref	Provision	Evidence of adherence 1/4/20 to 31/3/21	Review Commentary & Planned Actions
		An External Audit plan for 19/20 was provided to AGc in June 2020 and an update was again provided in July 2021.	
G12	The Accounts and Governance Committee approves the Anti-Fraud, Theft and Corruption Strategy which is in accordance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA 2014)	Annual Review of the Anti-fraud, Theft, Bribery and Corruption Strategy and Response Plan reviewed October 2020 Agenda for Accounts and Governance Committee on Thursday, 12th November, 2020, 6.45 pm (eden.gov.uk)	Provision in Place

Authorised for publication by Accounts and Governance Committee x x 2021

EDC - Local Code of Governance Action Plan 2021-22

Admin only exclude from AGS Action Plan
Existing item already on AGS Action Plan

Reference	Issue to Address	Responsible	Due by	Progress
A2 – Officer Behaviour Guidance Accessibility	Link to Protocol on Member/Officer Relations on sharepoint under Officer Behaviour does not work.	Linzi Gate, HR & OD Manager	31/12/2021	
A4 - IRP	Independent Remuneration Panel to meet to advise Council on allowances to Members for 21/22 and 22/23	Marianne Bastille, Assistant Director Finance & HR	31/7/2021	IRP met 19 May 2021 but work was then suspended pending LGR announcements. IRP re-convened in October 2021 and presented to council in November 2021.
A6 – ELT Meetings	ELT meetings to occur monthly with minutes for key discussions. Key messages are then published to Bulletin Board on Sharepoint.	Marianne Bastille, Assistant Director Finance & HR	30/9/2021	ELT meetings have been held informally since July 2021. We are in the process of arranging for these to be made more formal and minutes taken.
A7 – Link to Access to Information Policy	Link to the Access to Information Policy page from the FOI page to be added	John Everingham, Communication and Engagement Manager	31/12/2021	
A8/A9 – Constitution Review	Full Review of Constitution to be completed	Lisa Tremble, Assistant Director Legal and Democratic Services (MO)	31/12/2021	Constitution has been updated and is awaiting Council approval on 25 November 2021.

Reference	Issue to Address	Responsible	Due by	Progress
A11 – MO and s151 Approval of papers	A sign-off section to be added to all committee papers to evidence review by MO and s151 officer	Lisa Tremble, Assistant Director Legal and Democratic Services (MO)	31/12/2021	Complete September 2021.
A12/F11 – Confidential Reporting Code	Confidential Reporting Code due for review in 2021/22	Marianne Bastille, Assistant Director Finance & HR	31/3/2022	
A13 – Regulation of Investigatory Powers Act Guidelines and Policy	Regulation of Investigatory Powers Act Guidelines and Policy to be reviewed (incl statement that due for renewal annually)	Lisa Tremble, Assistant Director Legal and Democratic Services (MO)	31/3/2022	Due to be reviewed and approved at Executive on 23 November 2021.
B8/B17 – Consultation Policy	Create a Consultation Policy, including a statement of community involvement. Publish document on Community engagement and consultation (eden.gov.uk) page	Amanda Yellowley, Assistant Director Customers & Performance	31/3/2022	
B10/B16 – Access to Have Your Say section	Add a direct link from Home Page under Your Council to Have your Say section	John Everingham, Communication and Engagement Manager	31/12/2021	

Reference	Issue to Address	Responsible	Due by	Progress
B13 – Partnership Protocol	Review, update and publish Council's Partnership Protocol	Marianne Bastille, Assistant Director Finance & HR	31/3/2022	
B13 – Partnership Register	Prepare and Maintain a list of all major partnerships. Overview and Scrutiny to review annually.	Marianne Bastille, Assistant Director Finance & HR	31/3/2022	
B15 – Communication Strategy	Communication Strategy to be approved by CLT	John Everingham, Communication and Engagement Manager	31/12/2021	
C2/D11 – Procurement Strategy	Review of Procurement Strategy and publication	Marianne Bastille, Assistant Director Finance & HR	31/12/2021	Strategy is in process of being reviewed and updated. Approval by Resources Portfolio to follow.
C6 – Emergency Planning Group	RE-instate the Emergency Planning Group, responsible for maintaining the Eden Emergency Response Plan. To meet quarterly.	Les Clark, Deputy Chief Executive	31/12/2021	
C7 – Emergency Response contact	Add a link to the Emergency Response Contact details onto front page of EDC website	John Everingham, Communication and	31/12/2021	

Reference	Issue to Address	Responsible	Due by	Progress
		Engagement Manager		
C8 – Access to Services Policy	Create Access to Services Policies	Amanda Yellowley, Assistant Director Customers & Performance	31/3/2022	
D1 – Efficiency & Value for Money Policy	Review required of the Efficiency & Value for Money Policy	Marianne Bastille, Assistant Director Finance & HR	31/3/2022	
D2 – Annual Efficiency report	Annual Efficiency Report to be completed and added to website (money management page)	Marianne Bastille, Assistant Director Finance & HR	31/12/21	
D7 – Quarterly Budget monitoring	Formalise budget monitoring processes to ensure that budget holders are aware of actual or potential budget variances so that they can take appropriate action	Marianne Bastille, Assistant Director Finance & HR	31/3/2022	
D7 – Financial Management Code	Perform an annual review of compliance with the Financial Management Code for 21/22 and ongoing annually.	Marianne Bastille, Assistant Director Finance & HR	31/7/2022	

Reference	Issue to Address	Responsible	Due by	Progress
E1 – All Employee Policies	Employment Policies not reviewed for over 3 years to be updated	Linzi Gate, HR & OD Manager	31/3/2022	
E2/F6 – Asset Management Plan	Asset Management Plan to be updated	Laura Cadman, Assistant Director Delivery	1/4/2024	This will be considered as part of Local Government re-organisation discussions during 2021/2022
E12 – Induction Training	Re-instate induction training for new members	Lisa Tremble, Assistant Director Legal and Democratic Services (MO)	31/12/2021	In Progress. New members training programme due to be approved at Accounts & Governance Committee on 18 November.
E12 – Induction Training	Re-instate induction training for new senior officers	Linzi Gate, HR & OD Manager	31/12/2021	
E13 – Member Training	Re-instate training plan and training provision for members	Lisa Tremble, Assistant Director Legal and Democratic Services (MO)	31/3/2022	In Progress. New members training programme due to be approved at Accounts & Governance Committee on 18 November.
E14 – Appraisal System	Re-instate a performance and appraisal system including a training plan	Linzi Gate, HR & OD Manager	31/3/2022	In progress with mandated manager meetings occurring in December 2021 and full appraisal system to be launched in March/April.
F1/F2/F3 – Risk Management Strategy and Corporate Risk Register	Complete the Risk Management Strategy and the Corporate Risk Register fundamental review to bring them up to date	Amanda Yellowley, Assistant Director Customers & Performance	31/7/2021	Complete

Reference	Issue to Address	Responsible	Due by	Progress
F8 – Targets for wholly owned subsidiary	Decision to be taken on future of subsidiary. Once determined then targets to be set if appropriate.	Paul Sutton, Interim Director of Resources	31/3/2022	
F9 – Contract Database	Ensure that the contracts database is complete with accurate data on contract timescales.	Neil Buck, Contracts & Procurement Manager	31/12/2021	In progress
F17 – Records Management & Retention Policy	Records Management & Retention Policies, systems and Procedures to be review, updated and published	Lisa Tremble, Assistant Director Legal and Democratic Services (MO)	31/3/2022	In Progress
G6 – Risk Management Responsibility	Ensure that Risk Management Updates are considered by Overview and Scrutiny regularly	Marianne Bastille, Assistant Director Finance & HR	31/3/2022	

Eden District Council

Local Code of Governance

April 2021

Amendments

- 1) Changed layout of document from prior year to separate out review and initiate a reference system
- 2) Updated for change in Scrutiny committee structure
- 3) Proposed amendments for clarity following Code of Governance Review for 20/21

Table of Contents

1	Introduction	1
2	The Council commits itself to the following principles:	1
2.1	Principle A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law	1
2.2	Principle B: Ensuring openness and comprehensive stakeholder engagement.....	2
2.3	Principle C: Defining outcomes in terms of sustainable economic, social and environmental benefits.....	3
2.4	Principle D: Determining the Interventions necessary to optimise the achievement of the intended outcomes.....	3
2.5	Principle E: Developing the entity's capacity, including the capability of its leadership and the individuals within it.....	4
2.6	Principle F: Managing Risks and performance through robust internal control and strong financial management	4
2.7	Principle G: Implementing good practices in transparency, reporting and audit to delivery effective accountability	5
3	Annual Review of Corporate Governance	6

1 Introduction

This Local Code of Governance has been developed from a framework document produced by The Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives and Senior Managers (SOLACE). The CIPFA/SOLACE Delivering Good Governance in Local Government: Framework (2016) defines governance as follows:

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

To deliver good governance in the public sector, both governing bodies and individuals working for public sector entities must try to achieve their entity’s objectives while acting in the public interest at all times.

Acting in the public interest implies primary consideration of the benefits for society, which should result in positive outcomes for service users and other stakeholders.”

The framework contains seven principles. These are as follows:

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

Principle B – Ensuring openness and comprehensive stakeholder engagement

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

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

Principle E – Developing the entity’s capacity, including the capability of its leadership and the individuals within it

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

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

The Council is committed to these principles and has adopted them into its Local Code. The remainder of this document sets out the local arrangements that support the achievement of these principles. The Council will review the effectiveness of these arrangements against the Framework on an annual basis.

2 The Council commits itself to the following principles:

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

A1) Enabling Scrutiny to ‘call-in’ any Executive decisions contrary to the Budgetary and Policy Framework

A2) Having Codes of Conduct for Officers and Members in which there is guidance on Officer Member Relationships

- A3) Maintaining an Accounts and Governance Committee that meets regularly and takes an active interest in the maintenance of standards across the Council. In particular, it is responsible for monitoring of the Corporate Complaints Procedure and Members Code of Conduct
- A4) Maintaining an Independent Remuneration Panel (IRP) to advise the Council on allowances to be paid to Members
- A5) Having a Corporate Leadership Team, which includes the Chief Executive, Deputy Chief Executive, Directors' Monitoring Officer and the Chief Financial Officer, which has sve access to papers to minutesmeetings.
- A6) Having an Extended Leadership Team which includes all Assistant Directors as well as the Corporate Leadership Team meeting bi-weekly.
- A7) Having published procedures to demonstrate compliance with the Freedom of Information Act and the Environmental Information Regulations.
- A8) Having a constitution which sets out clearly the roles and duties of the Council's statutory officers, that is, the Chief Executive, Chief Finance Officer (Director of Resources) and the Monitoring Officer (Assistant Director: Legal and Governance). The Constitution sets out key aspects of the Council's internal control mechanism, in particular, the Accounting and Audit rules, the Procurement rules and the Scheme of Delegation.
- A9) The Constitution is reviewed annually.
- A10) Maintaining an Accounts and Governance Committee that meets regularly and takes an active interest in the maintenance of standards across the Council. In particular it is responsible for monitoring the corporate Complaints Procedures.
- A11) All reports have to be seen by the Chief Finance Officer and the Monitoring Officer. Completion of these governance checks has to be noted on the report. The Monitoring Officer and s151 Officer sign off every committee report.
- A12) Having clear documented approach to fraud and whistle-blowing, which is regularly updated and communicated to staff and is in accordance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA 2014).
- A13) Having a policy on the Regulation of the Investigatory Powers Act (RIPA).
- A14) Having a clear complaints procedure.
- A15) Using complaints and compliments as a positive improvement tool.

2.2 Principle B: Ensuring openness and comprehensive stakeholder engagement

- B1) Conducting as much Council business in the public as possible
- B2) Providing full information on the Council's business on its website
- B3) The Council meets 9 times per year. The Executive meets monthly; the committees and panels meet regularly as set out in the Constitution. Apart from exempt items, all formal business is open to the public. Reports and Minutes are publically available
- B4) Clear recording of the reasons for member decisions
- B5) Having a clear Complaints Procedure
- B6) Using Complaints and compliments as a positive improvement tool
- B7) Ensuring all inspection and audit reports considered by Members are public documents. Any recommendations from such reports are tracked through regular reports to the Accounts and Governance Committee
- B8) Having a Statement of Community Involvement
- B9) Promoting citizenship by active involvement with local schools
- B10) Actively consulting through a range of channels
- B11) Holding a Community Conference, which includes a wider range of public, private and voluntary organisations to inform the Council Plan

- B12) Using a range of customer feedback mechanisms including satisfaction surveys
- B13) Maintaining and regularly updating a database of all major partnerships that the Council is involved in and that these are in accordance with the Council's Partnerships' Protocol. This database is reviewed in public annually
- B14) Encouraging prospective candidates for election to come forward
- B15) Communicating to the public through effective use of the media, as set out in the Council's Communication Strategy
- B16) Having a community engagement and Consultation section on the website which includes using the County Council hosted Consultation Finder on our website.
- B17) Having a Consultation policy and programme
- B18) Using the County Council hosted Consultation Finder ~~on our website~~

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

- C1) Having a Council Plan including Strategic Targets
- C2) Having an annually updated Corporate Procurement Strategy, based on the National Procurement Strategy for Local Government
- C3) Council considering its Resources Plan annually
- C4) Having a published Customer Charter
- C5) Having a comprehensive approach to emergency and disaster planning. The Council regularly updates its Business Continuity Plan and the Emergency Response Plan, both of which are regularly tested through an exercise
- C6) Having a regular Emergency Planning Group which is responsible for maintaining the Eden Emergency Response Plan
- C7) Having an 'out of hours' response service
- C8) Having an Access to Services Policy
- C9) Considering the economic, social and environmental benefits as part of the decision making process

2.4 Principle D: Determining the Interventions necessary to optimise the achievement of the intended outcomes

- D1) An Efficiency and Value for Money Policy (reviewed biennially)
- D2) Clear recording of the reasons for members decisions
- D3) Stating clear and meaningful priorities and having effective arrangements in place to monitor progress against these
- D4) Setting clear targets which translate the agreed priorities into outcomes. These are regularly reviewed
- D5) A regular review of the Council's priorities
- D6) Securing continuous improvement through regular savings/income generation exercises and the annual programme of Scrutiny Committee reviews
- D7) Ensuring that the financial management of the Council is sound, by ~~regular and timely reporting to budget holders, Management Team, Leaders and the Council as a whole. This includes both revenue and capital monitoring. It is the responsibility of the relevant budget holder to investigate and take action on any identified budget variance. Every budget is owned by a budget holder~~ annual review of compliance with the CIPFA Financial Management Code.
- D8) Regularly monitoring key service delivery indicators through regular reports to the Corporate Management Team and the Leader. Where below target performance is seen as significant, explanations and proposed corrective actions are requested.

- D9) Providing strategic management through the monthly meeting of the Executive and weekly Leader and Chief Executive meetings
- D10) Clearly placing policy development as the role of the Executive
- D11) Having an annually updated Corporate Procurement Strategy, based on the National Procurement Strategy for Local Government
- D12) Council considering its Resources Plan annually
- D13) Setting a medium term financial strategy based on regularly refreshed priorities
- D14) Ensuring that any new bid for resources is judged against how far it advances the corporate priorities and objectives

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

- E1) Having clear, published employee policies
- E2) Maintaining and updating a triennial Asset Management Plan
- E3) Holding a regular cross-departmental Asset Management Group
- E4) Considering cost against a 'family' group of local authorities
- E5) Adopting a 'what works' basis to service provision by using in-house provision, outsourcing, sharing service provision and partnership arrangements as appropriate
- E6) Providing strategic management through the monthly meeting of the Executive and weekly Leader and Chief Executive meetings
- E7) Clearly setting out the rules for the Executive, Scrutiny Committee and the regulatory committees in the Constitution
- E8) The Executive meets monthly; committees and panels meet regularly as set out in the Constitution. Apart from exempt items, all committee business is open to the public. Reports and minutes are publicly available
- E9) Providing job descriptions for all Member roles within the Constitution
- E10) Having a Constitution which sets out clearly the roles and duties of the Council's statutory officers, that is, the Chief Executive, chief Finance Officer (Director of Resources) and the Monitoring Officer (Assistant Director: Legal and Governance). The Constitution sets out key aspects of the Council's internal control mechanism, in particular, the Accounting and Audit Rules, the Procurement Rules and the Scheme of Delegation. Clearly stating powers delegated to officers and ensuring that these are maximised
- E11) Having a Scheme of Delegation which clearly sets out decisions delegated to officers. This is annually reviewed and updated
- E12) Giving effective induction training to new Elected Members and staff including Senior Officers
- E13) Providing pro-active Member training
- E14) Having a performance and appraisal system so that all members of staff know what is expected of them. In addition, an annual training plan is agreed as part of the appraisal process

2.6 Principle F: Managing Risks and performance through robust internal control and strong financial management

- F1) The Executive received regular reports on budgets, capital scheme progress and the Risk Register
- F2) The Council having a Risk Management Strategy which is annually reviewed and updated
- F3) The Council maintaining a Risk Register. This is reviewed quarterly by the management Team and Executive. It is scrutinised annually by the [Overview & Scrutiny Committee](#) ~~Co-ordinating Board~~ and the

- Management Team. After each quarterly update, all staff are reminded of its presence. New risks are often identified outside the quarterly reviews, mainly through Management Team discussion on particular issues
- F4) Having a 'Risk Management Implications' section in all committee reports
 - F5) Enabling Scrutiny to 'call-in' any Executive decisions contrary to the Budgetary and Policy framework.
Having codes of conduct for officers and Members in which there is guidance on officer/Member relationships
 - F6) Maintaining and updating a triennial Asset Management Plan
 - F7) Holding regular cross departmental Asset Management Group
 - F8) Approving SMART targets for the Council's wholly owned company to give a basis for monitoring performance
 - F9) Having a dedicated contracts and procurement team to provide corporate support to the procurement process and direct oversight of a number of material out-sourced contracts.
 - F10) Using Key Performance Indices to manage key strategic or higher risk contracts
 - F11) Having a Confidential Reporting Code which clearly documents the procedure for staff to report matters of concern, which is updated and communicated to staff
 - F12) Having an annually updated Anti-Fraud, Theft, Bribery and Corruption Policy which is in accordance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA 2014)
 - F13) Maintaining an effective internal audit function
 - F14) Maintaining robust financial control with a suitably qualified section 151 Officer
 - F15) Having a Data Quality Statement
 - F16) Having a clear and effective policy on data protection
 - F17) Having clear and effective information governance policies, systems and procedures
 - F18) Having clear and effective information security policies, systems and procedures
 - F19) Having and maintaining an ICT Services Risk Register
 - F20) Setting a medium term financial strategy based on regularly refreshed priorities
 - F21) Considering cost against a 'family' group of local authorities
 - F22) Ensuring that any new bid for resources is judged against how far it advances corporate priorities and objectives
 - F23) Securing continuous improvement through regular savings/income generation exercises and the annual programme of Scrutiny Committee reviews
 - F24) Ensuring that the financial management of the Council is sound, by regular and timely reporting to budget holders, Management Team, Leaders and the Council as whole. This includes both revenue and capital monitoring. It is the responsibility of the relevant budget holder to investigate and take action on any identified budget variance. Every budget is owned by a budget holder
 - F25) The Executive receives regular reports on budgets, capital scheme progress and the Risk Register

2.7 Principle G: Implementing good practices in transparency, reporting and audit to delivery effective accountability

- G1) Providing full information on the Council's business on its website
- G2) Compliance with the Local Government Transparency Code and Open Data
- G3) The Council meets nine times per year. The Executive meets monthly; committees and panels meet regularly as set out in the Constitution. Apart from exempt items, all committee business is open to the public. Reports and minutes are publically available
- G4) Conducting as much business in public as possible
- G5) Clear recording of the reasons for member decisions
- G6) The [Overview & Scrutiny Committee](#) ~~Co-ordinating Board~~ is responsible for risk management arrangements

- G7) Maintaining an Accounts and Governance Committee that meets regularly and takes an active interest in the maintenance of standards across the Council. In particular, it is responsible for monitoring the corporate Complaints Procedure
- G8) Council considers the Annual Audit Letter from the external auditor
- G9) The Accounts and Governance Committee Approves the Annual Accounts
- G10) The Accounts and Governance Committee Approves the Annual Governance Statement
- G11) The Accounts and Governance Committee Receives all reports from the Internal Audit services and the external auditor
- G12) The Accounts and Governance Committee approves Anti-Fraud, Theft and Corruption Strategy which is in accordance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA 2014).

3 Annual Review of Corporate Governance

At the end of the year, the Council will produce its Annual Governance Statement which will review the effectiveness of the actual system of internal control in place against both the Local Code of Governance and the CIPFA best practice framework. The review will draw upon various sources of evidence including:

- Detailed self-assessment against CIPFA best practice examples
- Internal Audit reports and opinion
- Relevant Reports from External Audit
- Reports from Overview & Scrutiny and Accounts & Governance Committees
- Assurances from senior management and significant partners

As part of its governance role, the Accounts & Governance Committee will oversee this review on behalf of the Council.