

CIPFA/SOLACE Definition	Focusing on the purpose of the Council & on outcomes for the community & creating & implementing our medium & long term vision
--------------------------------	--

DCC Definition	We will be an excellent local authority providing high quality & efficient services to all our citizens & service users, which complements our long-term county vision.
-----------------------	---

We exercise strategic leadership by developing & clearly communicating our Corporate Plan & its intended improvement outcomes.	Management Controls		Other Control & Compliance Processes			Independent Assurance		
	Self-Assessment	Other Report / Evidence	Risk Management	Performance Management	Member Scrutiny	Internal Audit	External Regulatory	Consultancy
Corporate Plan clearly showing what the Council is aiming to achieve	Corporate Self-assessment	Corporate Plan 2012-17			County Council Oct 2012		WAO Annual Improvement Letter Jan 13	
Regularly review our vision for the local area and its implications for our governance arrangements		Corporate Plan 2012-17			County Council Oct 2012			
Processes for translating the Council's corporate priorities into the contribution expected from services & how this will be monitored		Corporate Plan Delivery document 2012-13				Corporate Performance Management Nov 2012		
Performance Management Framework to deliver the Corporate Plan & monitor performance against the Plan		Performance Management Framework		Performance Scrutiny Committee Oct 2012	Performance Scrutiny Committee Oct 2012	Corporate Performance Management Nov 2012		
Annual Statement of Accounts		Annual Statement of Accounts 2011-12			Corporate Governance Committee Sep 2012		External Auditors Report in Statement of Accounts	
Annual Performance Report		Annual Performance Report 2011-12		Performance Scrutiny Committee Oct 2012	Performance Scrutiny Committee Oct 2012	Corporate Performance Management Nov 2012		

Service users receive a high quality of service, whether directly, in partnership, or by commissioning.	Management Controls		Other Control & Compliance Processes			Independent Assurance		
	Self-Assessment	Other Report / Evidence	Risk Management	Performance Management	Member Scrutiny	Internal Audit	External Regulatory	Consultancy
Service standards framework		WIP for Apr 2013 implementation						

Customer feedback & complaints framework		Various			Performance Scrutiny Committee Nov 2012			
Partnership Governance framework that includes measurement of service quality		Partnership Governance Toolkit & Register			Partnerships Scrutiny Committee Apr 2012	Partnership Governance Nov 2011		
Performance Management Framework to deliver the Corporate Plan & monitor performance against the Plan		Performance Management Framework		Performance Scrutiny Committee Oct 2012	Performance Scrutiny Committee Oct 2012	Corporate Performance Management Nov 2012		
Project management framework to deliver projects on time, to specification & within budget	CET reports on Project Register giving delivery confidence	Project Management Methodology & Register						
Procurement management framework, including measurement of service quality		Corporate Procurement Strategy 2009-12						

We make best use of our resources to ensure that taxpayers & service users receive excellent value for money.	Management Controls		Other Control & Compliance Processes			Independent Assurance		
	Self-Assessment	Other Report / Evidence	Risk Management	Performance Management	Member Scrutiny	Internal Audit	External Regulatory	Consultancy
Performance management framework		Performance Management Framework		Performance Scrutiny Committee Oct 2012	Performance Scrutiny Committee Oct 2012	Corporate Performance Management Nov 2012		
Medium Term Financial Plan & framework that includes ways to measure value for money		Medium Term Financial Plan 2011/14			Cabinet Dec 2012			
Method to measure the environmental impact of policies, plans & decisions								
HR Strategy & workforce planning		People Strategy 2011-14				Strategic HR Oct 12		

CIPFA/SOLACE Definition	Members & officers working together to achieve a common purpose with clearly defined functions & roles
--------------------------------	--

DCC Definition	Everyone involved in running the Council understands each other's roles & responsibilities & how, together, they will deliver Denbighshire's medium and long-term vision.
-----------------------	---

We ensure effective leadership throughout the organisation & are clear about executive & non-executive functions & the roles & responsibilities of the scrutiny function.	Management Controls		Other Control & Compliance Processes			Independent Assurance		
	Self-Assessment	Other Report / Evidence	Risk Management	Performance Management	Member Scrutiny	Internal Audit	External Regulatory	Consultancy
The Constitution clearly sets out respective roles & responsibilities of the Cabinet & its individual members, particularly relating to governance		Constitution (Article 2)			County Council May 2012			
The Constitution clearly sets out respective roles & responsibilities of other elected members & senior officers		Constitution (Article 2, Article 12 & Part 9)			County Council May 2012			
Scheme of Delegation for decision making		Constitution (Part 9)			County Council May 2012			
Effective leadership at elected member & senior officer level		await staff survey results						

We have constructive working relationships between our elected members & officers & ensure that they carry out their responsibilities to a high standard.	Management Controls		Other Control & Compliance Processes			Independent Assurance		
	Self-Assessment	Other Report / Evidence	Risk Management	Performance Management	Member Scrutiny	Internal Audit	External Regulatory	Consultancy
Regularly monitored & updated scheme of delegation within the Constitution, including a formal schedule of matters specifically reserved for collective decision of the Council		Constitution (Part 9)			County Council May 2012			
CEO responsible & accountable to the organisation for all aspects of operational management		Constitution (Article 12)			County Council May 2012			
Protocol to ensure that the Leader & CEO negotiate their respective roles early in the relationship & they maintain a shared understanding of roles & responsibilities		Constitution (Part 5.3)			County Council May 2012			
Member/Officer Protocol		Constitution (Part 5.3)			County Council May 2012			
S151 Officer responsible to the organisation for ensuring that appropriate advice is given on all financial matters, keeping proper financial records & accounts, & maintaining an effective system of internal financial control.		Constitution (Article 12)			Cabinet Jan 2013			
Terms & conditions for remuneration of elected members & officers & an effective structure for managing the process		Constitution (Part 6)			County Council May 2012			

Monitoring Officer responsible to the organisation for ensuring that it follows agreed procedures & complies with all applicable statutes & regulations		Constitution (Article 12)			County Council May 2012			
Performance management & appraisal processes for elected members & officers		Appraisal process for officers in place. Development in progress for elected members						

We have clear relationships with our partners & the public so that we all know what to expect of each other.	Management Controls		Other Control & Compliance Processes			Independent Assurance		
	Self-Assessment	Other Report / Evidence	Risk Management	Performance Management	Member Scrutiny	Internal Audit	External Regulatory	Consultancy
Partnership Governance Framework that ensures that for each partnership there is: <ul style="list-style-type: none"> - a clear statement of the partnership principles & objectives - clarity of each partner's role within the partnership - a definition of roles of partnership board members - line management responsibilities for staff who support the partnership - a statement of funding sources for joint projects & clear accountability for proper financial administration - a protocol for dispute resolution within the partnership 		Partnership Governance Toolkit			Partnerships Scrutiny Committee Apr 2012	Partnership Governance Nov 2011		

Audit Committee' undertaking core functions as outlined in CIPFA's <i>Audit Committees: Practical Guidance for Local Authorities</i>		Constitution (Part 3)			County Council May 2012			
Effective & impartial Standards Committee		Constitution (Article 9)			County Council May 2012			
Financial Regulations outline officer responsibilities in respect of conflicts of interest, prejudice, bias etc.		Constitution (Part 4.6)			County Council May 2012			
Performance appraisal process includes assessment of conduct		Performance Management Competency Framework						

We have effective organisational values.	Management Controls		Other Control & Compliance Processes			Independent Assurance		
	Self-Assessment	Other Report / Evidence	Risk Management	Performance Management	Member Scrutiny	Internal Audit	External Regulatory	Consultancy
Core Values for elected members & officers that form part of induction training & are regularly communicated with elected members, officers, the community & partners								
Performance appraisal process includes assessment of application of Core Values		Performance Management Competency Framework						
Core Values act as a guide for decision making & as a basis for developing positive & trusting relationships within the organisation								
Partnership Governance Framework that includes a set of values against which decision making and actions can be judged		Partnership Governance Toolkit			Partnerships Scrutiny Committee Apr 2012	Partnership Governance Nov 2011		
Effective operation of systems & processes that are designed to comply with laws, regulations, internal policies & procedures & conform with appropriate ethical standards					Corporate Governance Committee Jul 2012	IA Annual Report 2011/12		

**CIPFA/SOLACE
Definition**

Taking informed & transparent decisions, which are subject to effective scrutiny & managing risk

DCC Definition

Our governance & scrutiny functions are part of our Strong Governance & Leadership Improvement theme

We are rigorous & transparent about how we make decisions & listen & act on the outcome of constructive scrutiny.	Management Controls		Other Control & Compliance Processes			Independent Assurance		
	Self-Assessment	Other Report / Evidence	Risk Management	Performance Management	Member Scrutiny	Internal Audit	External Regulatory	Consultancy
An effective scrutiny function, supported by evidence & data analysis, to challenge decision-makers constructively, including those who work in partnership with the Council	Corporate self-assessment							await outcome of peer review
Decision making protocol, including documenting of evidence for decisions		Constitution (Part 9)			County Council May 2012			
Robust criteria for Part II reports		Criteria report						
Comprehensive & published record of decisions made, including rationale and considerations on which decisions are based		Council Intranet & website						
Process for elected members to declare interests generally & in relation to specific issues &/or reports		All committee meeting agendas			All committee meeting agendas			
Codes of conduct for elected members & officers that form part of induction training & are regularly communicated		Constitution			County Council May 2012			
Register of financial interests & hospitality for officers		Register of hospitality and interests						
Effective 'audit committee', independent of the executive & scrutiny functions, with specific terms of reference & appropriately experience & trained membership		Not yet measured effectiveness						
Customer feedback & complaints framework				Performance Scrutiny Committee Nov 12	Performance Scrutiny Committee Nov 12			
Clear & transparent Freedom of Information arrangements					Corporate Governance Committee Feb 13	Data Protection & Freedom of Information Report Nov 12		
Clear & accessible advertisement of 'public' meetings		Website & libraries						

Arrangements to consider reports of external regulators at the relevant management & elected member levels & monitor action plans arising from regulator reviews					Various			
--	--	--	--	--	---------	--	--	--

We have good-quality information, advice & support to ensure that we deliver services effectively & that these are what the community wants/needs.	Management Controls		Other Control & Compliance Processes			Independent Assurance		
	Self-Assessment	Other Report / Evidence	Risk Management	Performance Management	Member Scrutiny	Internal Audit	External Regulatory	Consultancy
Elected member induction training programme		Training programme						
Training for committee chairs								
Officers provide clear, concise but comprehensive reports & advice for elected members to make decisions, that clearly explains the implications of the decision								
Provision & recording of proper professional advice on matters that have legal or financial implications well in advance of decision making					Cabinet Jan 13			
Policies to govern the management and secure handling, storage, disposal and sharing of information assets					Corporate Governance Committee Feb 13	Data Protection & Freedom of Information Report Nov 12		
Information management framework that ensures secure handling, storage, disposal & sharing of information assets		CET Oct 12				Data Protection & Freedom of Information Report Nov 12		

We have an effective risk management system.	Management Controls		Other Control & Compliance Processes			Independent Assurance		
	Self-Assessment	Other Report / Evidence	Risk Management	Performance Management	Member Scrutiny	Internal Audit	External Regulatory	Consultancy
Risk management embedded into the culture of the organisation, with elected members & managers at all levels recognising that risk management is part of their role.						await outcome of IA report		
Risk management framework that includes regularly updated corporate & service risk registers		Risk management guidance on Intranet	Corporate & Service Risk Registers		Performance Scrutiny Committee Feb 13	await outcome of IA report		
Robust system of internal control, financially & operationally					Corporate Governance Jul 12	Internal Audit Annual Report 2012/3	External Auditors Report in Statement of Accounts	

CIPFA/SOLACE Definition	Developing the capacity & capability of members & officers to be effective
--------------------------------	--

DCC Definition	We support, train & develop our elected members & staff to maintain an adaptable, skilled & flexible workforce, to meet future challenges & adapt to new priorities
-----------------------	---

Our elected members & officers have the skills, knowledge, experience & resources they need to perform well in their roles.	Management Controls		Other Control & Compliance Processes			Independent Assurance		
	Self-Assessment	Other Report / Evidence	Risk Management	Performance Management	Member Scrutiny	Internal Audit	External Regulatory	Consultancy
Elected member & officer induction programmes		Training programme						
Elected member needs assessment & training programme		Being developed						
Officer appraisal process, resulting in training & development plans		Appraisal process for officers						
Corporate training programme for officers		Training programme on Intranet						

We develop the capability of those people with governance responsibilities & evaluate their performance, as individuals & as a group.	Management Controls		Other Control & Compliance Processes			Independent Assurance		
	Self-Assessment	Other Report / Evidence	Risk Management	Performance Management	Member Scrutiny	Internal Audit	External Regulatory	Consultancy
Elected member needs assessment & training programme that includes: - ability to scrutinise & challenge - ability to recognise when outside advice is needed - acting as an ambassador for the community - leadership & influencing skills		Being developed						
Performance management framework for Cabinet as a whole & individual Lead Members		Being developed						
Assessment of 'audit committee' effectiveness		In progress						

We encourage new talent for the organisation so that we can make best use of individuals' skills & resources in balancing continuity & renewal.	Management Controls		Other Control & Compliance Processes			Independent Assurance		
	Self-Assessment	Other Report / Evidence	Risk Management	Performance Management	Member Scrutiny	Internal Audit	External Regulatory	Consultancy
Community Engagement Plan that includes area and/or stakeholder forums		Community Engagement Plan						

Partnership Governance Framework		Partnership Governance Toolkit & Register				Partnership Governance Nov 11		
Workforce development & arrangements for developing emerging talent		Workforce Development Plan						
Middle Managers conferences		Agendas and presentations for Middle Manager Conferences						
Officer appraisal process, resulting in training & development plans		Appraisal process for officers						
Corporate training programme for officers		Training programme on Intranet						
Bright Ideas suggestion scheme to encourage innovation		Bright Ideas on Intranet						

CIPFA/SOLACE Engaging with local people & other stakeholders to ensure robust public accountability

DCC Definition We engage with local people and other stakeholders to ensure robust public accountability

We exercise leadership through a robust scrutiny function that effectively engages local people & all local institutional stakeholders, including partnerships, & develops constructive accountability relationships.	Management Controls		Other Control & Compliance Processes			Independent Assurance		
	Self-Assessment	Other Report / Evidence	Risk Management	Performance Management	Member Scrutiny	Internal Audit	External Regulatory	Consultancy
Robust scrutiny function, including scrutiny of partnerships		Corporate Self-assessment						Awaiting peer review outcome
Assessment of 'audit committee' effectiveness		In progress						
Partnership Governance Framework		Partnership Governance Toolkit & Register			Various	Partnership Governance Nov 11		
Annual reports to Council on scrutiny & 'audit' committee activity								

We take an active & planned approach to dialogue with, and accountability to the public to ensure effective & appropriate service delivery, whether directly, in partnership or by commissioning.	Management Controls		Other Control & Compliance Processes			Independent Assurance		
	Self-Assessment	Other Report / Evidence	Risk Management	Performance Management	Member Scrutiny	Internal Audit	External Regulatory	Consultancy
Community Engagement Plan that includes area and/or stakeholder forums					Communities Scrutiny Committee Oct 12			
Consultation strategy for service delivery								
Customer feedback & complaints framework		Various			Performance Scrutiny Committee Nov 2012			
Partnership Governance Framework		Partnership Governance Toolkit & Register				Partnership Governance Nov 11		
Communication Strategy		Communication Strategy on Intranet						
Clear & accessible advertisement of 'public' meetings		Advertised on website & in libraries						

Robust criteria for Part II reports		Criteria report						
Residents' survey								
Equalities Framework		Strategic Equalities Framework on Website				Staff Survey Mar 2013		
Corporate Plan	Corporate Self-assessment	Corporate Plan 2012-17			County Council Oct 2012		WAO Annual Improvement Letter Jan 13	
Annual Statement of Accounts		Annual Statement of Accounts 2011-12			Corporate Governance Committee Sep 2012		External Auditors Report in Statement of Accounts	
Annual Performance Report		Annual Performance Report 2011-12		Performance Scrutiny Committee Oct 2012	Performance Scrutiny Committee Oct 2012	Corporate Performance Management Nov 2012		

We make best use of human resources by taking an active & planned approach to meet our responsibility to our staff.	Management Controls		Other Control & Compliance Processes			Independent Assurance		
	Self-Assessment	Other Report / Evidence	Risk Management	Performance Management	Member Scrutiny	Internal Audit	External Regulatory	Consultancy
HR Strategy & workforce planning		HR Strategy & workforce Planning document				Strategic HR Oct 12		
Workforce engagement framework								
Staff road shows		CEO Leader roadshows in 2012/3						
Staff surveys		HR Staff survey Feb 13						
CEO breakfast meetings		CEO Breakfast meetings in 2012/3						
Staff Council		Staff council meeting agendas and minutes						