

CIPFA/SOLACE Framework (2016) for good governance in local government

Review of Southwark Council's governance framework against CIPFA/SOLACE Framework January 2020

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

Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
<ul style="list-style-type: none"> Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the council 	<p>Open meetings, consultation process</p> <p>Council assembly meetings / democratic engagement events (e.g. leader's public question time) held around the borough</p> <p>Annual governance statement</p> <p>Codes of conduct for members and officers</p> <p>Induction for new members and staff on expected standard of behaviour</p> <p>Performance management system and appraisals</p>
<ul style="list-style-type: none"> Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood (built on the Nolan principles) 	<p>Fairer future vision and principles / Council Plan</p> <p>Communicating shared values with members, staff, the community and partners – leader's public question time</p> <p>Joint attendance at induction sessions and roadshows for staff by the leader and chief executive</p>
<ul style="list-style-type: none"> Leading by example and using these standard operating principles or values as a framework for decision making and other actions 	<p>Decision making practices</p> <p>Declarations of interests made at meetings</p> <p>Conduct at meetings</p> <p>Shared values guide decision making</p> <p>Develop and maintain an effective standards committee function – see terms of reference for audit, governance and</p>

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
	standards committee
<ul style="list-style-type: none"> • Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively 	Codes of conduct – include requirement to declare interests (evidenced by minutes re members) Member and officer protocol Financial standing orders Contract standing orders Whistleblowing policy Complaints procedure Anti-fraud strategy and fraud and bribery response plan Registers of interest (members and staff) Registers or gifts and hospitality Equality and diversity policy Equality and diversity training Conflicts of interest guidance Induction process
<ul style="list-style-type: none"> • Seeking to establish, monitor and maintain the council's ethical standards and performance 	Codes of conduct – advice to members from monitoring officer Scrutiny of ethical decision making forms integral part of scrutiny members' function Championing ethical compliance at governing body level –

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
	e.g. zero tolerance of fraud and bribery
<ul style="list-style-type: none"> Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the council's culture and operation 	<p>Fairer future vision and principles / Council Plan</p> <p>Fairer Future Procurement Framework approved June 2019 sets out expectations for ethical corporate behaviour, including consideration of 'blacklisting' activity</p> <p>Member code of conduct</p>
<ul style="list-style-type: none"> Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values 	<p>Appraisal processes take account of values and ethical behaviour</p> <p>Staff appointments policy</p> <p>Procurement policy</p>
<ul style="list-style-type: none"> Ensuring that external providers of services on behalf of the council are required to act with integrity and in compliance with the council's high ethical standards 	<p>Partnership frameworks exist on an informal and flexible basis and are governed by agreements, protocols or memoranda of understanding, as appropriate</p> <p>Contracts and grant agreements include requirements in respect of commitment to London Living Wage, Diversity Standard (approved February 2016), Ethical Care Charter</p> <p>Fairer Future Procurement Framework approved June 2019 sets out expectations for ethical corporate behaviour, including consideration of 'blacklisting' activity</p>
<ul style="list-style-type: none"> Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and 	Statutory provisions

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
regulations	Statutory guidance is followed Constitution Whistleblowing policy and procedure Role of monitoring officer and legal services
<ul style="list-style-type: none"> • Creating the conditions to ensure that the statutory officers, other key post holders and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements 	Job descriptions and specifications Learning and development plans Compliance with CIPFA's Statement on the Role of the Chief Financial officer in Local Government (CIPFA, 2015) and CIPFA's Statement on the Role of the Head of internal Audit in Public Services Organisations (CIPFA, 2010) – as confirmed in the annual governance statement Terms of reference Committee support Finance and legal concurrents on decision reports Scheme of delegation and schemes of management
<ul style="list-style-type: none"> • Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders 	Record of legal advice provided by officers is included in concurrents in decision reports
<ul style="list-style-type: none"> • Dealing with breaches of legal and regulatory provisions effectively 	Monitoring officer provisions Record of legal advice provided by officers is included in

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
	<p>concurrents in decision reports</p> <p>Statutory provisions</p> <p>Departments and legal services share the task of looking out for new legislation in their areas and the director of law and democracy in her capacity as monitoring officer issues a regular newsletter which highlights relevant legal matters</p> <p>Legal services encourage departments to seek early legal advice on legality of action</p>
<ul style="list-style-type: none"> • Ensuring corruption and misuse of power are dealt with effectively 	<p>Effective anti-fraud and corruption policies and procedures</p> <p>Regular reports to audit, governance and standards committee on anti-fraud work</p>

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B Ensuring openness and comprehensive stakeholder engagement

Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
<ul style="list-style-type: none"> Ensuring an open culture through demonstrating, documenting and communicating the council's commitment to openness 	<p>The constitution</p> <p>Meetings held in public unless good reasons for confidentiality</p> <p>Publication of data in line with open data requirements, including council tax data</p> <p>Access to information regime</p> <p>Annual report to cabinet, plus regular update on portfolio performance on the website</p> <p>Fairer future vision and council plan</p>
<ul style="list-style-type: none"> Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision should be provided 	<p>Meetings held in public unless good reasons for confidentiality (reasons are published)</p> <p>Publication of decisions, minutes and reports on council's website</p> <p>Overview and scrutiny committee</p>
<ul style="list-style-type: none"> Providing clear reasoning and evidence for decisions in both public records and explanations for stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear 	<p>Decision making protocols</p> <p>Report pro-formas</p> <p>Record of professional advice in reaching decisions – record of financial, legal and procurement advice provided by officers is included in concurrents in decision reports</p> <p>Meeting reports show details of advice given</p>

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
	<p>Discussion between members and officers on the information needs of members to support decision making</p> <p>Agreement on the information that will be provided and timescales</p> <p>Calendar of dates for submitting, publishing and distributing timely reports is adhered to</p>
<ul style="list-style-type: none"> Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/courses of action 	<p>The council's Fairer Future vision is informed through outcome of consultation. In turn, the vision's five principles and ten promises set out how the council will deliver its objectives. The council plan therefore sets the framework for, and is informed by, business plans. Business plans at a service and functional area level highlight how the results of consultation have impacted on forward planning as appropriate</p> <p>Regular customer surveys</p> <p>Consultation in respect of key decisions and through area based meetings</p> <p>'Consultation engagement' section on council's website includes a consultation hub, forums section</p>
<ul style="list-style-type: none"> Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably 	<p>Voluntary and Community Sector Strategy approved November 2016 – co-produced by BCS, council and NHS following extensive 6 month community engagement process</p>

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
<ul style="list-style-type: none"> • Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively 	<p>Databases are held by relevant units for specific purposes – e.g. faith groups, business forum, VCS organisations</p> <p>Better Placed Joint Committee (Lambeth, Lewisham & Southwark) with responsibility for joint activities in respect of growth, economic development and skills</p> <p>Safeguarding boards for children and adults in place</p> <p>Partnership memoranda of understanding (MoUs) in place – e.g. Southwark Construction Skills Centre, London South Bank University</p>
<ul style="list-style-type: none"> • Ensuring that partnerships are based on: <ul style="list-style-type: none"> - Trust - A shared commitment to change - A culture that promotes and accepts challenge among partners <p>And that the added value of partnership working is explicit</p>	<p>Partnership frameworks exist on an informal and flexible basis and are governed by agreements, protocols or memoranda of understanding, as appropriate</p>
<ul style="list-style-type: none"> • Establishing a clear policy on the type of issues that the council will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service provision is contributing towards the achievement of intended outcomes 	<p>The council's Fairer Future vision is informed through outcome of consultation. In turn, the vision's five principles and ten promises set out how the council will deliver its objectives. The council plan therefore sets the framework for, and is informed by, business plans. Business plans at a service and functional area level highlight how the results of consultation have impacted on forward planning as appropriate</p>

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
	<p>Consultation in respect of key decisions and through area based meetings</p> <p>'Consultation engagement' section on council's website includes a consultation hub, forums section</p>
<ul style="list-style-type: none"> Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement 	
<ul style="list-style-type: none"> Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs 	<p>Joint strategic needs assessment – the council's approach to its joint strategic needs assessment is under review, but a housing health needs assessment was published in June 2016 of council tenants, to help inform the council's housing strategy. Reports about other strands (e.g. older people, alcohol, learning disability) are also available on the council's website</p> <p>Consultation hub on website lists current consultations open and has links to outcomes of closed ones</p>
<ul style="list-style-type: none"> Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account 	<p>Reports to cabinet include consultation feedback and feedback on consultation is also published on website which includes a 'You Said We Did' section</p> <p>Monitoring and evaluation frameworks in place – e.g. Southwark Works</p>
<ul style="list-style-type: none"> Balancing feedback from more active stakeholder groups with 	<p>Community Engagement framework sets out principles which</p>

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
<p>other stakeholder groups to ensure inclusivity</p>	<p>aim to ensure wide engagement; monitoring of responses to enable consideration of those not reached</p>
<ul style="list-style-type: none"> • Taking account of the interests of future generations of tax payers and service users 	<p>Joint strategic needs assessment – the council’s approach to its joint strategic needs assessment is under review, but a housing health needs assessment was published in June 2016 of council tenants, to help inform the council’s housing strategy. Reports about other strands (e.g. older people, alcohol, learning disability) are also available on the council’s website</p>

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

Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
<ul style="list-style-type: none"> Having a clear vision which is an agreed formal statement of the council's purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the council's overall strategy, planning and other decisions 	Fairer Future vision, principles and promises Council plan Departmental / unit business plans Efficiency Plan
<ul style="list-style-type: none"> Specifying the intended impact on, or changes for, stakeholders including citizens and service users, over one year or longer 	Council plan Community engagement and involvement Budget principles underpin council's budget decisions and seek to limit impact of budget cuts on the most vulnerable
<ul style="list-style-type: none"> Delivering defined outcomes on a sustainable basis within the resources that will be available 	Annual performance reports Annual statement of accounts
<ul style="list-style-type: none"> Identifying and managing risks to the achievement of outcomes 	Annual performance reports Risk management strategy All cabinet members have a responsibility to ensure that risk is well managed, with the cabinet member for finance, performance and Brexit having specific accountability for corporate risk management. All departments have

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
	<p>departmental risk champions and the strategic director of finance and governance is the corporate risk champion. All departments and business units have risk registers and all risks are allocated an owner.</p> <p>Audit, governance and standards committee also reviews risk management arrangements.</p>
<ul style="list-style-type: none"> Managing service users expectations effectively with regard to determining priorities and making the best use of the resources available 	<p>Community Engagement framework sets out principles which aim to ensure wide engagement; monitoring of responses to enable consideration of those not reached</p> <p>Funded voluntary sector organisations are aware that need to consider other income opportunities which might be available if council funding falls or ceases</p>
<ul style="list-style-type: none"> Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision 	<p>Medium term resources strategy</p> <p>Capital programme and capital investment strategy</p> <p>Economic Wellbeing Strategy refreshed December 2016</p> <p>Fairer Future Procurement Framework approved June 2019</p> <p>Voluntary and Community Sector Strategy approved November 2016 – co-produced by BCS, council and NHS following extensive 6 month community engagement process</p> <p>Efficiency Plan</p>

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
<ul style="list-style-type: none"> Taking a longer term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the council's intended outcomes and short term factors such as the political cycle or financial constraints 	<p>Discussion between members and officers on the information needs of members to support decision making</p> <p>Record of decision making and supporting materials – decision making report template includes requirement under policy implications to report on sustainability considerations where relevant</p>
<ul style="list-style-type: none"> Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs 	<p>Record of decision making and supporting materials – decision making report template includes requirement under policy implications to report on sustainability considerations where relevant</p> <p>Community Engagement framework sets out principles which aim to ensure wide engagement; monitoring of responses to enable consideration of those not reached</p>
<ul style="list-style-type: none"> Ensuring fair access to services 	<p>Fairer Future principles</p> <p>Provision of access to care in line with Care Act 2014 principles, i.e. based on ability to achieve outcomes and how this affects wellbeing</p> <p>Primary and Secondary Access protocols in respect of access to education</p> <p>Protocols ensure fair access and statutory guidance is followed – e.g. procurement decisions require consideration of</p>

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
	economic, social and environmental issues to ensure obligations under Public Services (Social Value) Act 2012 are met.

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

Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
<ul style="list-style-type: none"> Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options, thereby ensuring best value is achieved however services are provided 	<p>Discussions between members and officers on the information needs of members to support decision making</p> <p>Decision making protocols</p> <p>Procurement decisions include consideration of all options and high value/significant procurements require additional pre-procurement strategic assessment</p> <p>Agreement of information that will be provided and timescales</p>
<ul style="list-style-type: none"> Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts 	<p>Medium term resources strategy</p> <p>Fairer Future medium term financial strategy and integrated efficiency plan 2017-18 to 2019-20 approved September 2016</p>
<ul style="list-style-type: none"> Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets 	<p>Calendar of dates for developing and submitting plans and reports that are adhered to</p>
<ul style="list-style-type: none"> Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered 	<p>Forward plan of decisions identifies consultees</p>
<ul style="list-style-type: none"> Considering and monitoring risks facing each partner when collaboratively including shared risks 	<p>Partnership frameworks exist on an informal and flexible basis and are governed by agreements, protocols or memoranda of</p>

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
	<p>understanding, as appropriate –</p> <p>e.g. Central London Forward Joint Venture Agreement, an agreement between 8 boroughs to work together on matters of sustainable economic development</p> <p>Better Placed Joint Committee (Lambeth, Lewisham & Southwark) with responsibility for joint activities in respect of growth, economic development and skills</p> <p>Financial standing orders</p> <p>Financial regulations</p> <p>Health and Wellbeing Board, and Integrated Better Care Fund</p>
<ul style="list-style-type: none"> Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances 	<p>Contract arrangements subject to regular review</p> <p>Regular review of Medium term resources strategy</p> <p>Robust budgeting process</p> <p>Refresh of council plan</p> <p>Procurement decisions include consideration of all options and high value/significant procurements require additional pre-procurement strategic assessment</p> <p>Regular challenge meetings held between Leader and lead cabinet member for each portfolio on performance to provide regular reports on service delivery plans and on progress towards outcome achievement</p>

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
<ul style="list-style-type: none"> Ensuring the medium term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage 	<p>Medium term financial strategy</p> <p>Budget setting - challenge process up to council assembly</p>
<ul style="list-style-type: none"> Ensuring the achievement of social value through service planning and commissioning 	<p>Procurement decisions require consideration of economic, social and environmental issues to ensure obligations under Public Services (Social Value) Act 2012 are met</p> <p>Medium term resources strategy</p> <p>Social value portal to measure social value achieved through the delivery of services under contract</p>

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

Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
<ul style="list-style-type: none"> Reviewing operations, performance use of assets on a regular basis to ensure their continuing effectiveness 	<p>Regular reviews of activities, outputs and planned outcomes</p> <p>Work place strategy approved November 2016 – to improve use of council's offices</p>
<ul style="list-style-type: none"> Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the council's resources are allocated so that outcomes are achieved effectively and efficiently 	<p>Utilisation of research and benchmarking exercise?</p> <p>Work place strategy approved November 2016 – to improve use of council's offices</p>
<ul style="list-style-type: none"> Recognising the benefits of partnerships and collaborative working where added value can be achieved 	<p>Better Placed Joint Committee (Lambeth, Lewisham & Southwark) with responsibility for joint activities in respect of growth, economic development and skills</p>
<ul style="list-style-type: none"> Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources 	<p>Workforce plan – workforce strategy approved November 2016</p> <p>Organisational development plan</p> <p>Investors in People accreditation (Gold status reconfirmed December 2018)</p>
<ul style="list-style-type: none"> Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained 	<p>Chief executive and leader have considered how best to establish and maintain effective communication</p> <p>Roles described in the Constitution and also in the Member and Officer protocol</p>

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
	<p>The relationship between the leader and chief executive is underpinned by the statutory framework relating to the roles of the leader and the head of paid service. Their shared understanding of roles and objectives has been communicated through their joint attendance at induction sessions and roadshows for staff by the leader and chief executive</p>
<ul style="list-style-type: none"> • Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body 	<p>The constitution states what powers are delegated to the cabinet, committees, individual members and what matters are reserved for collective decision of the council. This is updated annually through a review of the constitution</p> <p>Scheme of delegation reviewed at least annually in the light of legal and organisational changes</p> <p>Standing orders and financial regulations which are reviewed on a regular basis</p>
<ul style="list-style-type: none"> • Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure whereby the chief executive leads the council in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and balance for each other's authority 	<p>Roles described in the constitution. Responsibilities of chief executive are also included in employment contract/job description. Accountability through the performance management system</p> <p>The relationship between the leader and chief executive is underpinned by the statutory framework relating to the roles of the leader and the head of paid service</p>

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
<ul style="list-style-type: none"> • Developing the capabilities of members and senior management to achieve effective shared leadership and to enable the council to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by: <ul style="list-style-type: none"> - Ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged - Ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis - Ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from governance weaknesses both internal and external 	<p>Members' training and development via support through the learning and development programme</p> <p>Performance management for officers which includes personal development plans</p> <p>Cabinet as a whole – cabinet performance review process</p> <p>Individual members – performance challenges with the leader and cabinet member for finance, performance and Brexit</p> <p>Induction for officers and members</p> <p>Membership of professional bodies</p> <p>Corporate learning and development</p> <p>Investors in People accreditation (Gold status reconfirmed December 2018)</p> <p>Succession planning</p> <p>Work continues to improve systems and technology used for effective support</p>
<ul style="list-style-type: none"> • Ensuring that there are structures in place to encourage public participation 	<p>Consultations</p> <p>Stakeholders' forums</p> <p>Southwark forums</p> <p>Area based meetings and community champions</p>

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
	<p>Tenants and residents' associations</p> <p>Leaseholder forums and council</p> <p>Consultations with tenants and traders on regeneration projects etc</p> <p>Regular customer surveys</p> <p>Consultation in respect of key decisions and through area based meetings</p> <p>'Consultation engagement' section on council's website includes a consultation hub, forums section</p>
<ul style="list-style-type: none"> • Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections 	<p>Cabinet as a whole – cabinet performance review process</p> <p>Individual members – performance challenges with the leader and cabinet member for finance, performance and Brexit</p>
<ul style="list-style-type: none"> • Holding staff to account through regular performance reviews which take account of training or development needs 	<p>Job descriptions</p> <p>Training and development plan</p> <p>Staff development plans linked to appraisals – performance management for officers which includes personal development plans</p> <p>Implementing appropriate human policies and ensuring that they are working effectively</p>

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
<ul style="list-style-type: none">• Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing	Human resource policies Workforce strategy approved November 2016 includes wellbeing outcomes

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

Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
<ul style="list-style-type: none"> Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making 	<p>Risk management strategy</p> <p>All cabinet members have a responsibility to ensure that risk is well managed, with the cabinet member for finance, performance and Brexit having specific accountability for corporate risk management. All departments have departmental risk champions and the strategic director of finance and governance is the corporate risk champion. All departments and business units have risk registers and all risks are allocated an owner</p> <p>Decision making reports require consideration of risk</p> <p>Audit, governance and standards committee also reviews risk management arrangements</p>
<ul style="list-style-type: none"> Implementing robust and integrated risk management arrangements and ensuring that they are working effectively 	<p>Risk management strategy formally approved and adopted and reviewed and updated on a regular basis</p>
<ul style="list-style-type: none"> Ensuring that responsibilities for managing individual risks are clearly allocated 	<p>All departments and business units have risk registers and all risks are allocated an owner</p>
<ul style="list-style-type: none"> Monitoring service delivery effectively, including planning, specification, execution and independent post implementation review 	<p>Council plan sets out key activities and performance measures</p> <p>Service and departmental business plans and performance monitoring reports incorporate benchmarking information</p>

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	<p>where appropriate</p> <p>The authority monitors its performance using KPIs. The performance against these is reported to the cabinet in the quarterly performance report and is reflected in the Council Plan. There are also different levels of monitoring below the quarterly cabinet report, which includes local PIs</p> <p>Calendar of dates for submitting, publishing and distributing timely reports that are adhered to</p> <p>Monitoring and evaluation frameworks in place – e.g. Southwark Works</p> <p>Positive Ofsted inspection March 2017</p>
<ul style="list-style-type: none"> • Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the council's financial, social and environment position and outlook 	<p>Discussion between members and officers on the information needs of members to support decision making</p> <p>Publication of agenda and minutes of meetings</p> <p>Agreement on the information needed and timescales</p>
<ul style="list-style-type: none"> • Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the council's performance and that of any organisation for which it is responsible 	<p>Role and responsibility for scrutiny has been established and is clear</p> <p>Overview and scrutiny committee and its sub-committees agree work plans each year</p> <p>Agenda and minutes of scrutiny meetings</p> <p>Evidence of improvements as a result of scrutiny</p>

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
	<p>Terms of reference</p> <p>Training for members</p> <p>Membership</p>
<ul style="list-style-type: none"> • Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement 	<p>Calendar of dates for submitting, publishing and distributing timely reports that are adhered to</p> <p>Regular challenge meetings held between Leader and lead cabinet member for each portfolio on performance</p>
<ul style="list-style-type: none"> • Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (e.g. financial statements) 	<p>Financial standards, guidance</p> <p>Financial regulations and standing orders</p> <p>Audit reviews</p>
<ul style="list-style-type: none"> • Aligning the risk management strategy and policies on internal control with achieving the objectives 	<p>Risk management strategy</p> <p>Audit plan</p> <p>Audit reports</p> <p>Effective internal audit function – annual report to audit, governance and standards committee</p>
<ul style="list-style-type: none"> • Evaluating and monitoring the council’s risk management and internal control on a regular basis 	<p>Risk management strategy / policy has been formally approved and adopted and is reviewed and updated on a regular basis</p> <p>Audit reviews</p>

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
<ul style="list-style-type: none"> • Ensuring effective counter fraud and anti-corruption arrangements in place 	<p>Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA, 2014)</p> <p>Appropriate external media communications and coverage at audit, governance and standards committee meetings</p>
<ul style="list-style-type: none"> • Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor 	<p>Annual governance statement</p> <p>Effective internal audit service is resourced and maintained – annual report to audit, governance and standards committee</p>
<ul style="list-style-type: none"> • Ensuring an audit committee which is independent of the executive and accountable to the governing body: <ul style="list-style-type: none"> - Provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment - That its recommendation are listened to and acted upon 	<p>Audit, governance and standards committee complies with best practice as defined by CIPFA in terms of terms of reference, membership and training</p> <p>Audit, governance and standards committee identifies specific governance topics/themes for review as part of annual work programme</p> <p>Annual report to council assembly which includes evidence of effectiveness</p>
<ul style="list-style-type: none"> • Ensuring effective arrangements for the safe collection, storage, use and sharing of data, including processes to safeguard personal data 	<p>Data management framework and procedures</p> <p>Designated DP officer</p> <p>DP policies and procedures</p> <p>Information governance and security sub-group of corporate governance panel in place</p>

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
<ul style="list-style-type: none"> Ensuring effective arrangements when sharing data with other bodies 	<p>Data sharing agreements, including processing requirements where appropriate</p> <p>Data sharing register</p>
<ul style="list-style-type: none"> Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring 	<p>Internal audit reviews include coverage of data quality procedures and reports and data validation procedures where appropriate</p>
<ul style="list-style-type: none"> Ensuring financial management supports both long term achievement of outcomes and short term financial and operational performance 	<p>Robust financial management framework</p> <p>Financial Standing Orders</p> <p>Financial Regulations</p> <p>Provision of appropriate training to ensure staff have appropriate skills to support the delivery of services and transformational change as well as securing good stewardship</p>
<ul style="list-style-type: none"> Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risk and controls 	<p>Budget monitoring reports</p> <p>Audit reviews</p>

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

Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
<ul style="list-style-type: none"> • Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate 	<p>Website Annual report Council style guide and report templates to ensure consistency and appropriate use of language</p>
<ul style="list-style-type: none"> • Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand 	<p>Website Annual report Council complies with Local Government Transparency Code 2015</p>
<ul style="list-style-type: none"> • Reporting at least annually on performance, value for money and the stewardship of its resources 	<p>Annual report Annual financial statements</p>
<ul style="list-style-type: none"> • Ensuring members and senior management own the results 	<p>Appropriate approvals Regular challenge meetings held between Leader and lead cabinet member for each portfolio on performance Enhanced guidance for chief officers on decision making issued autumn 2016</p>
<ul style="list-style-type: none"> • Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including 	<p>Annual governance statement</p>

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
<p>an action plan for improvement and evidence to demonstrate good governance</p>	
<ul style="list-style-type: none"> Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate 	<p>Appropriate provision included in contracts and memoranda of understanding</p> <p>Financial governance arrangements in respect of partnerships require written approval from the chief finance officer</p> <p>Better Placed Joint Committee (Lambeth, Lewisham & Southwark) with responsibility for joint activities in respect of growth, economic development and skills</p>
<ul style="list-style-type: none"> Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations 	<p>Format follows best practice</p>
<ul style="list-style-type: none"> Ensuring that recommendations for corrective action made by external audit are acted upon 	<p>Recommendations have informed positive improvement</p> <p>Compliance with CIPFA's Statement on the Role of the Head of Internal Audit (2010)</p> <p>Compliance with Public Sector Internal Audit Standards</p>
<ul style="list-style-type: none"> Ensuring an effective internal audit service with direct access to members is in place which provides assurance with regard to governance arrangements and recommendations are acted upon 	<p>Recommendations have informed positive improvement</p> <p>Compliance with CIPFA's Statement on the Role of the Head of Internal Audit (2010)</p> <p>Compliance with Public Sector Internal Audit Standards</p>

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Behaviours and actions that demonstrate good governance in practice:	Examples of systems, processes, documentation and other evidence demonstrating compliance
	Effective internal audit function – annual report to audit, governance and standards committee
<ul style="list-style-type: none"> • Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations 	Recommendations have informed positive improvement Positive Ofsted inspection March 2017
<ul style="list-style-type: none"> • Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement 	Audit reviews Annual governance statement
<ul style="list-style-type: none"> • Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met 	Partnership frameworks exist on an informal and flexible basis and are governed by agreements, protocols or memoranda of understanding, as appropriate