

Local Code of Corporate Governance

Introduction

Governance is about how local government bodies ensure that they are doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner. It comprises the systems and processes, cultures and values, by which local government bodies are directed and controlled and through which they account to, engage with and, where appropriate, lead their communities.

The Corporate Governance framework consists of six core principles and the following sets out the actions taken by the Royal Borough in relation to each principle of corporate governance.

Principle 1

Focussing on the purpose of the authority, on outcomes for the community and creating and implementing a vision for the local area.

The Royal Borough:

- Develops and promotes the authority's purpose and vision.
- Reviews on a regular basis the authority's vision for the local area and its implications for the authority's governance arrangements.
- Ensures that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners.
- Publishes an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance.
- Decides how the quality of service for users is to be measured and makes sure that the information needed to review service quality effectively and regularly is available.
- Puts in place effective arrangements to identify and deal with failure in service delivery.
- Decides how value for money is to be assessed and makes sure that the authority or partnership has the information needed to review value for money and performance effectively.
- Considers the environmental impact of policies, plans and decisions.

Principle 2

Members and officers working together to achieve a common purpose with clearly defined functions and roles.

The Royal Borough:

- Sets out a clear statement of the respective roles and responsibilities of the executive and of the executive's members individually and the authority's approach towards putting this into practice.
- Sets out a clear statement of the respective roles and responsibilities of other authority members, members generally and of senior officers.
- Determines a scheme of delegation and reserve powers within the constitution, including a formal schedule of those matters specifically reserved for the collective decision of the authority, taking account of relevant legislation, and ensure that it is monitored and updated when required.
- Makes the Joint Chief Executive responsible and accountable to the authority for all aspects of operational management.
- Develop protocols to ensure that the Leader and Joint Chief Executive negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained.
- Makes a senior officer (the S.151 officer) responsible to the authority for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control.
- Makes a senior officer responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with.
- Develops protocols to ensure effective communication between members and officers in their respective roles.
- Sets out the terms and conditions for the remuneration of members and officers and an effective structure for managing the process, including an effective independent remuneration panel for members' allowances.
- Ensures that effective mechanisms exist to monitor service delivery.
- Ensures that the organisation's vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation

with the local community and other key stakeholders, and that they are clearly articulated and disseminated.

- When working in partnership, ensures that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the authority.
- When working in partnership, ensures that there is clarity about the legal status of the partnership; ensures that representatives of organisations both understand and make clear to all other parties the extent of their authority to bind their organisation to partner decisions.

Principle 3

Promoting the values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

The Royal Borough:

- Ensures that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect.
- Ensures that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols.
- Puts in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and puts in place appropriate processes to ensure that they continue to operate in practice.
- Develops and maintains shared values including leadership values both for the organisation and for staff reflecting public expectations, and communicates these with members, staff, the community and partners.
- Puts in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitors their continuing effectiveness in practice.
- Uses the organisation's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority.
- In pursuing the vision of a partnership, agrees a set of values against which decision making and actions can be judged. Such values will be demonstrated by partners' behaviour both individually and collectively.

Principle 4

Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.

The Royal Borough:

- Develops and maintains an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall and that of any organisation for which it is responsible.
- Develops and maintains open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based.
- Puts in place arrangements to safeguard members and employees against conflicts of interest and puts in place appropriate processes to ensure that they continue to operate in practice.
- Develops and maintains an effective Audit and Transparency Committee which is independent of the executive and scrutiny functions.
- Ensures that effective, transparent and accessible arrangements are in place for dealing with complaints.
- Ensures that those making decisions whether for the authority or the partnership are provided with information that is founded on good quality data and fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications.
- Ensures that proper professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately.
- Ensures that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their job.
- Ensures that effective arrangements for whistle blowing are in place to which officers, staff and all those contracting with or appointed by the authority have access.
- Actively recognises the limits of lawful activity placed on the authority by, for example, the ultra vires doctrine but also strives to utilise its powers to the full benefit of the community.

- Recognises the limits of lawful action and observes both the specific requirements of legislation and the general responsibilities placed on the authority by public law.
- Observes all specific legislative requirements placed upon the authority, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justice – into its procedures and decision making processes.

Principle 5

Developing the capacity and capability of members and officers to be effective.

The Royal Borough:

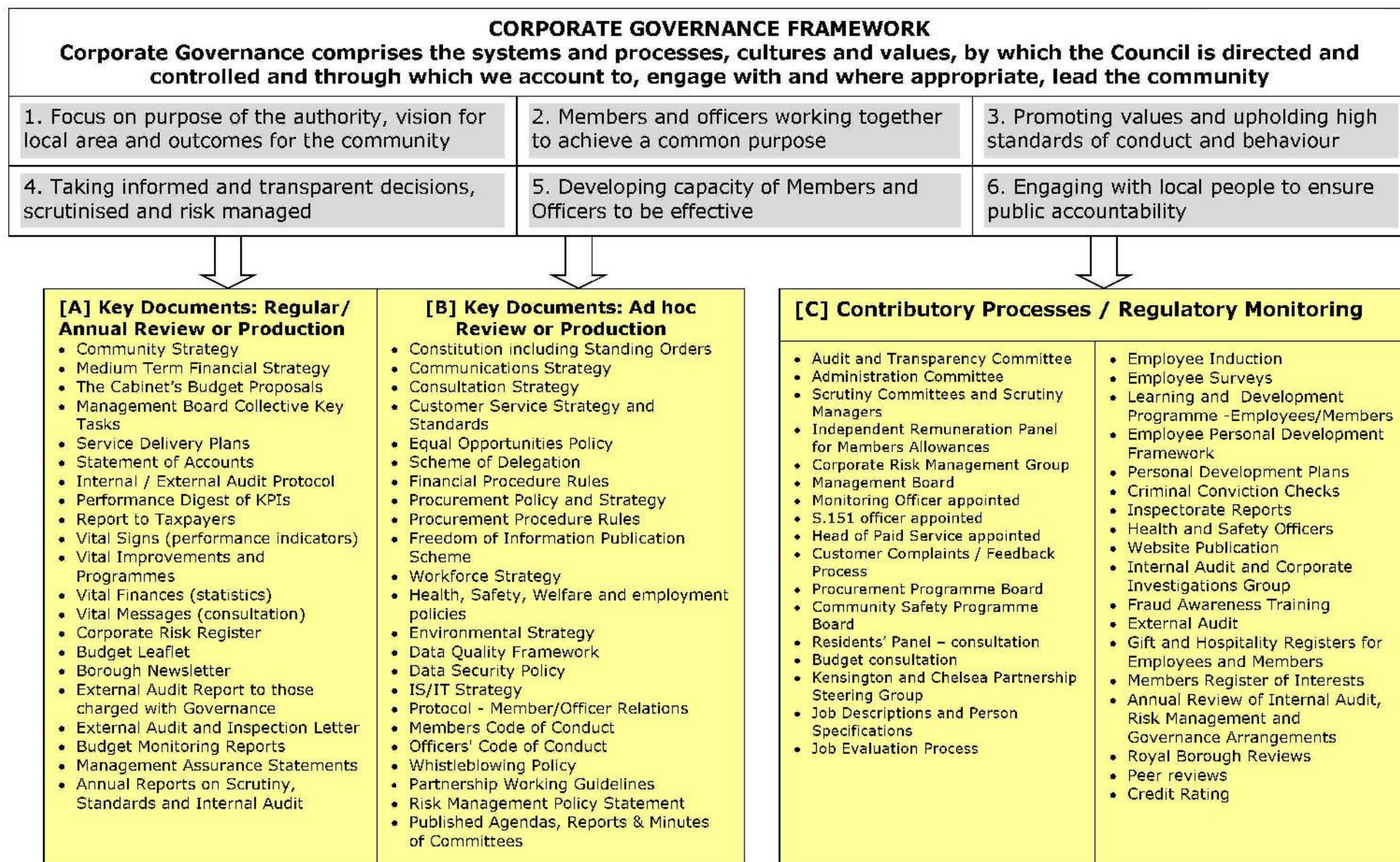
- Provides induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis.
- Ensures that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the authority.
- Assesses the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively.
- Develops skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed.
- Ensures that effective arrangements are put in place for reviewing the development needs of individual members and provides a personal development plan to address them.
- Ensures that effective arrangements are in place designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority.
- Ensures that career structures are in place for members and officers to encourage participation and development.

Principle 6

Engaging with local people and other stakeholders to ensure robust public accountability.

The Royal Borough:

- Makes clear to itself, all staff and the community *to whom* it is accountable and *for what*.
- Considers those institutional stakeholders to whom the authority is accountable and assesses the effectiveness of the relationships and any changes required.
- Produces an annual report on the activity of the scrutiny function.
- Ensures clear channels of communication are in place with all sections of the community and other stakeholders, and puts in place monitoring arrangements and ensures that they operate effectively.
- Holds meetings in public unless there are good reasons for confidentiality.
- Ensures that arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements will recognise that different sections of the community have different priorities and will establish explicit processes for dealing with these competing demands.
- Establishes a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users about including a feedback mechanism for those consultees to demonstrate what has changed as a result.
- On an annual basis, publishes information on the authority's vision, strategy, plans and financial statements, outcomes, achievements and the satisfaction of service users in the previous period.
- Ensures that the authority as a whole is open and accessible to the community, service users and its staff and ensures that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so.
- Develops and maintains a clear policy on how staff and their representatives are consulted and involved in decision making.



RESPONSIBILITY FOR KEY DOCUMENTS AND CONTRIBUTORY PROCESSES

*The "responsibility" shown relates to the lead person for the document or process
e.g. defining requirements, issuing corporate guidelines, or reporting.*

[A] Key Documents: Regular / Annual Review or Production

Document	Responsibility
Community Strategy	Director of Strategy and Local Services
Medium Term Financial Strategy	Town Clerk and Executive Director of Finance
Cabinet Business Plan	Director of Strategy and Local Services
Management Board Collective Key Tasks	Town Clerk and Executive Director of Finance
Service Delivery Plans	Director of Strategy and Local Services
Statement of Accounts	Town Clerk and Executive Director of Finance
Internal / External Audit Protocol	Town Clerk and Executive Director of Finance
Local Area Agreements	Director of Strategy and Local Services
Performance Digest of KPIs	Director of Strategy and Local Services
Report to Taxpayers	Director of Strategy and Local Services
Vital Signs (performance indicators)	Director of Strategy and Local Services
Vital Improvements (projects)	Director of Strategy and Local Services
Vital Finances (statistics)	Town Clerk and Executive Director of Finance
Vital Messages (consultation)	Director of Strategy and Local Services
Corporate Risk Register	Town Clerk and Exec Director for Finance/ Dir Strategy and Local Services
Budget Leaflet	Town Clerk and Executive Director of Finance
Borough Newsletter	Head of Media and Communications
External Audit Report To Those Charged With Governance	External auditor and Town Clerk and Executive Director of Finance
External Audit and Inspection Letter	External auditor and Town Clerk and Executive Director of Finance
Budget Monitoring Reports	Town Clerk and Executive Director of Finance
Management Assurance Statements	Town Clerk and Executive Director of Finance
Report on Scrutiny	Director of Strategy and Local Services
Report on Internal Audit	Town Clerk and Executive Director of Finance

[B] Key Documents: Ad hoc Review or Production

Document	Responsibility
Constitution including Standing Orders	Monitoring Officer
Communications Strategy	Head of Media and Communications
Consultation Strategy	Director of Strategy and Local Services
Customer Service Strategy and Standards	Director of Human Resources
Equal Opportunities Policy	Director of Human Resources
Scheme of Delegation	Director of Legal Services
Financial Procedure Rules	Town Clerk and Executive Director of Finance
Procurement Policy and Strategy	Town Clerk and Executive Director of Finance
Procurement Procedure Rules	Town Clerk and Executive Director of Finance
Freedom of Information Publication Scheme	Town Clerk and Executive Director of Finance
Workforce Strategy	Director of Human Resources
Health, Safety, Welfare and Employment Policies	Director of Human Resources

Document	Responsibility
Environmental Strategy	Exec Director for Environment, Leisure and Residents' Services
Data Quality Framework	Director of Strategy and Local Services
Data Security Policy	Town Clerk and Executive Director of Finance
IS/IT Strategy	Town Clerk and Executive Director of Finance
Protocol - Member/Officer Relations	Director of Human Resources
Members Code of Conduct	Monitoring Officer
Officers Code of Conduct	Director of Human Resources
Whistleblowing Policy	Town Clerk and Executive Director of Finance
Partnership Working Guidelines	Director of Strategy and Local Services
Risk Management Policy Statement	Town Clerk and Executive Director of Finance
Published Agendas, Reports & Minutes of Committees	Director of Strategy and Local Services

[C] Contributory Processes / Regulatory Monitoring

Document/Process	Responsibility / Lead
Audit and Transparency Committee	Town Clerk and Executive Director of Finance
Administration Committee	Director of Strategy and Local Services
Scrutiny Committees & Scrutiny Managers	Director of Strategy and Local Services
Independent Remuneration Panel for Members Allowances	Director of Strategy and Local Services
Corporate Risk Management Group	Exec Director, Transport, Environment and Leisure Services?
Management Board	Town Clerk and Executive Director of Finance
Monitoring Officer appointed	Joint Chief Executive
S.151 officer appointed	Joint Chief Executive
Head of Paid Service appointed	Joint Chief Executive
Customer Complaints / Feedback Process	Town Clerk and Executive Director of Finance
Procurement Programme Board	Town Clerk and Executive Director of Finance
Community Safety Programme Board	Director of Strategy and Local Services
Residents' Panel – consultation	Director of Strategy and Local Services
Budget consultation	Town Clerk and Executive Director of Finance
Kensington and Chelsea Partnership Steering Group	Director of Strategy and Local Services
Job Descriptions and Person Specifications	Director of Human Resources
Job Evaluation Process	Director of Human Resources
Employee Induction	Director of Human Resources
Employee Surveys	Director of Human Resources
Learning and Development Programme -Employees/Members	Director of Human Resources
Employee Personal Development Framework	Director of Human Resources
Personal Development Plans	Director of Human Resources
Criminal Conviction Checks	Director of Human Resources
Inspectorate Reports (CPA)	Director of Strategy and Local Services
Health and Safety Officers	Director of Human Resources
Website Publication	Town Clerk and Executive Director of Finance
Internal Audit and Fraud Unit	Town Clerk and Executive Director of Finance

Part Five: D. Local Code of Corporate Governance

Document/Process	Responsibility / Lead
External Audit	Town Clerk and Executive Director of Finance
Gifts and Hospitality Register for Employees	Director of Human Resources
Members Register of Interests	Monitoring Officer
Annual Review of Internal Audit, Risk Management and Governance Arrangements	Town Clerk and Executive Director of Finance
Royal Borough Reviews	Director of Strategy and Local Services
Peer reviews	Director of Strategy and Local Services
Credit Rating	Town Clerk and Executive Director of Finance