

Conwy County Borough Council

Local Code of Corporate Governance 2020

Conwy County Borough Council is committed to the seven principles of Good Governance as agreed by the Chartered Institute of Public Finance Accountancy (CIPFA) and the Society of Local Authority Chief Executives (SOLACE).

These are set out in the CIPFA/SOLACE publication Delivering Good Governance in Local Government: Framework 2016.

Our local Code of Governance is underpinned by these principles and is comprised of a framework of policies, procedures, behaviours and values by which the authority is controlled and governed.

The documents that make up this framework provide the structures and guidance that our members and employees require in order to ensure effective governance across our organisation.

The principles and main documents associated with their delivery are set out below:

Principles	Sub Principles	Demonstrated by
Acting in the public interest requires a commitment to effective arrangements for:		
Principle A Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law	Behaving with integrity	<ul style="list-style-type: none">a) We have a Constitution which sets out how the Council operates, how decisions are made and the procedures which are followed to ensure that these are efficient, transparent and accountable to local people.b) We have a protocol governing Member Officer relations.c) There is a process and Register of personal and business interests.d) There is a process to declare any interests in committee meetings, which are recorded in the minutes.e) There is a policy and associated corporate procedures for ensuring that complaints can be made and impartially investigated, and for ensuring that any lessons learnt can be applied.f) Our Internal Audit Team is an independent objective assurance and consulting activity designed to add value and improve our operations. It helps the Authority to accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes.
		<ul style="list-style-type: none">a) We have a Code of Conduct & Ethics Training for members which is

	<p>Demonstrating a strong commitment to ethical values</p>	<p>communicated via member induction and all members must sign to acknowledge their compliance. Training on the Code of Conduct is also compulsory for all members.</p> <p>b) We have a planning code of conduct,</p> <p>c) We have a Standards Committee which promotes and maintains a high standard of conduct by councillors through the Members' Code of Conduct.</p> <p>d) We have a Staff Induction covers Conwy behavioural values, competency framework, expectations around the role as a public sector employee, the respect booklet, disciplinary policy and financial regulations.</p> <p>e) We have an employee code of conduct.</p> <p>f) We have Corporate Values which are shared with all Members and Staff and underpin all aspects of council services.</p>
	<p>Respecting the rule of law</p>	<p>a) The Head of Law and Governance is the designated 'Monitoring Officer' in accordance with the Local Government and Housing Act, 1989, and ensures compliance with established policies, procedures, laws and regulations</p> <p>b) All statutory officers are issued with job descriptions which clearly state their legislative and regulatory responsibilities.</p> <p>c) We have Contract Procedure Rules (intranet) and we have Declaration of Interests at Meetings</p> <p>d) We hold a new Member Induction</p> <p>e) There is a Whistleblowing Policy (intranet)</p> <p>f) We have a Gifts and Hospitality Register (intranet)</p> <p>g) There is an Anti-Fraud & Corruption policy (intranet) that identifies the responsibilities of both elected members and staff in promoting a culture of honesty and integrity and includes procedures for Anti Money Laundering (intranet)</p> <p>h) We also have an ICT Security Policy (intranet) which aims to preserve the confidentiality, integrity and availability of the IT Systems, electronic assets and information throughout the authority.</p>

<p>Principle B</p> <p>Ensuring openness and comprehensive stakeholder engagement</p>	<p>Openness</p>	<p>a) All Cabinet and Council meetings are held in public (with the exception of exempt items) and all papers are published on our council website.</p> <p>b) In accordance with our Strategic Equality Plan, all key decisions must assess the impact on protected characteristics.</p> <p>c) All reports tabled for Council, Cabinet and Audit & Governance Committee are reviewed by a Report Review Group (RRG) to ensure that they are of a sufficiently high standard</p> <p>d) We webcast key democratic meetings</p> <p>e) There is a committee Forward Work Programme</p> <p>f) There is a Record of Decisions – all committee meetings are minuted and saved on Modern.gov</p> <p>g) The public can ask for information via the Freedom of Information regulations.</p>
	<p>Engaging comprehensively with institutional stakeholders</p>	<p>We maintain relationships with institutional stakeholders and we are involved in several collaboration arrangements in order to improve outcomes for the community. There is a statement on collaboration to which outlines our approach to ensure that good governance and value for money are achieved and that the outcome priorities and values of the Authority are promoted and safeguarded when working in partnership. We review all key collaborations annually to ensure they are still appropriate. We are partners in the following key collaborations</p> <p>a) Regional Leadership Board</p> <p>b) North Wales Economic Ambition Board</p> <p>c) Conwy and Denbighshire Public Services Board</p> <p>d) North Wales Social Care and Well-being Regional Collaborative</p> <p>e) Regional School Effectiveness and Improvement Service - Gwe</p> <p>f) NWCREPS (North Wales Councils Regional Emergency Planning Service)</p> <p>g) Safer Conwy Community Safety Partnership</p> <p>h) A Strategic Housing Partnership supports the implementation of the Conwy Local Housing Strategy</p>
		<p>Community Engagement has been fundamental in the development of all</p>

	<p>Engaging with individual citizens and service users effectively</p>	<p>strategic plans and key decisions. Ensuring people in Conwy are informed, included and listened to, is one of the eight citizen outcomes within the Corporate Plan 2017-2022. We have in place:</p> <ul style="list-style-type: none"> a) Overview & Scrutiny Public Engagement Protocol (intranet) b) Communication and Engagement Strategy c) Community Involvement Strategy d) We are part of the North Wales Citizen Panel e) There are five Local Area Forums (intranet) f) We have processes for Complaints, comments & compliments g) We have a Strategic Equality Plan h) A bilingual software solution for e-petitions i) We have a digital Council Tax Leaflet and digital NDR leaflet which details how we manage our budget. j) We have a strong social media presence on Facebook and Twitter k) We are developing an Improving Access to Conwy Council's Services and Information Strategy. l) We have an instant interpretation system for sign language and BSL videos for FAQs m) We are working to make the website compliant with accessibility legislation. n) There are procedures in place to comply with the legislative requirements of the Freedom of Information Act and the General Data Protection Regulations. <p>We have a Manager's Forum, and a Joint Consultative Committee (JCC) to ensure that there is regular communication with staff and Trades Unions and there is a Staff suggestion scheme.</p> <p>Our approach to modernisation, accessibility, openness and engagement has undergone a significant change through the work of the Modernisation Programme. The programme has resulted in an increased online customer presence and the opening of new office accommodation Coed Pella, which houses most front lines services in one location (with the exception of Environment services which are housed in Mochdre).</p>
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In addition to the overarching requirements for acting in the public interest found in principles A and B, achieving good governance also requires a commitment to and effective arrangements for:

<p>Principle C</p> <p>Defining outcomes in terms of sustainable economic, social and environmental benefits</p>	<p>Defining outcomes</p>	<p>a) During every administration, we publish a Vision and five year strategic Corporate Plan to provide a focus on our key priorities for improvement. This also serves as the council's Well-being Objectives. It is supported by a number of service specific strategies.</p> <p>b) A Medium Term Financial Strategy is also reviewed annually.</p> <p>c) We have a Business Planning Framework for business cases for inclusion within the revenue and capital budgets.</p> <p>d) Annually each service area produces an outcome focused service plan.</p>
	<p>Sustainable economic, social and environmental benefits</p>	<p>The evaluation of progress against strategic outcomes are recorded in a series of Reports including:</p> <ul style="list-style-type: none"> • Corporate Plan Annual Report & 6 monthly performance report • Conwy and Denbighshire PSB Annual Report • Annual Governance Statement • Finance Reports • Director of Social Services Annual Report • Welsh Language Annual Monitoring Report • Carbon Management Strategy • Conwy Economic Strategy
<p>Principle D</p> <p>Determining the interventions necessary to optimise the achievement of the intended outcomes</p>	<p>Determining interventions (courses of action)</p>	<p>We have an approved Constitution which sets out how the Council operates, how decisions are made and the procedures which are followed to ensure that these are efficient, transparent and accountable to local people.</p> <p>The Committee structure details how decisions or interventions are made by local councillors, or officers under their guidance. There are four Overview and Scrutiny committees:</p> <ul style="list-style-type: none"> • Finance & Resources • Economy & Place, • Education & Skills • Social Care and Health

		<p>There are three regulatory committees: Planning Committee, Licensing and Regulation Committee and Audit & Governance Committee. There is also a Standards committee and Democratic Services Committee</p> <p>The Report Review Group (RRG) meet twice a month to review the reports scheduled to go to Cabinet, and consider the forward work plans of the Scrutiny functions. There is a Standard Committee Report Template (Intranet) for all reports.</p> <p>The CEO and Strategic Directors together with the Head of Environment, Roads & Facilities, Head of Corporate Human Resources and the Monitoring Officer meet twice a month as a Strategic Leadership Team (Intranet)</p> <p>The senior management of the Authority meet monthly as the Senior Management Team (Intranet), comprising the CEO, Strategic Directors, and Heads of Service.</p> <p>A Managers' Forum meets quarterly to share messages and seek consistency, listen to key note speakers and debate developments between Directors and managers within the organisation.</p>
	<p>Planning interventions</p>	<p>Six monthly Service Performance Reviews take place to review service progress, risks and finances (Performance Management Framework) (Intranet)</p> <p>There is a School effectiveness and standards Group to review and support school performance.</p> <p>All Staff have a performance development review (pdr) every 6 months.</p> <p>We have a Safeguarding policy (intranet) and there are agreed arrangements enable the Authority to comply with statutory requirements in respect of child protection and the protection of vulnerable adults</p>
	<p>Optimising achievement of intended outcomes</p>	<p>a) We use an integrated performance management system, CAMMS, to support service planning, risk management, incidents, audit and project management.</p> <p>b) There is a Performance Management Framework, (PMF) which seeks to</p>

		<p>provide a clear link between the delivery of objectives set for individual officers in their personal development plans and service plans which in turn help deliver the Corporate Plan citizen outcomes.</p> <p>c) We have in place a Project and Programme Management Framework (intranet) and a Programme and Project Managers Forum (PPM) meet on a quarterly basis.</p> <p>d) The Conwy Opportunities Board provide strategic oversight of all projects and programmes across the authority and reviews all staff suggestions.</p>
<p>Principle E</p> <p>Developing the Councils capacity, including the capacity of its leadership and the individuals within it</p>	<p>Developing the Councils capacity</p>	<p>a) We have a Members' Development Strategy.</p> <p>b) We have an HR Strategy which sets out the authority's approach to the resourcing, leadership, management, development, deployment, performance, culture and reward of employees.</p> <p>c) There is a scheme of delegation which clearly defines the mandate for decision making within all levels of the organisation. This is supported by Standing Orders and financial regulations.</p> <p>d) Recruitment and Selection Policy (Intranet)</p> <p>e) Performance Development Review (PDRs) (Intranet)</p> <p>f) There are a series of HR policies (intranet) which support a variety of aspects of staff management.</p> <p>g) All members of staff are issued with a contract, job description and have an annual performance development review (PDR).</p> <p>h) A staff survey is undertaken every 3 years to seek staff views</p>
	<p>Developing the capability of the Councils leadership and other individuals</p>	<p>a) All staff can access a Corporate Learning and Development Plan (Intranet) which includes a variety of courses to support personal and organisational development.</p> <p>b) There is a Member Development Programme (Intranet)</p> <p>c) There is an Attendance Management Policy and staff have access to an external company for occupational health support.</p> <p>d) We also provide an employee assistance and employee benefits scheme through Care First</p>

<p>Principle F</p> <p>Managing risks and performance through robust internal control and strong public financial management</p>	<p>Managing risks</p>	<p>a) We have a Risk Management Policy and Framework (Intranet)</p> <p>b) The Corporate Risk Register is reviewed every 6 months and published through Audit & Governance Committee</p> <p>c) All services have Health & Safety Risk Assessments (Intranet)</p> <p>d) All services have service continuity plans which are uploaded to Resilience Direct.</p>
	<p>Managing performance</p>	<p>The evaluation of progress against strategic outcomes are recorded in a series of Reports including:</p> <ul style="list-style-type: none"> • Corporate Plan Annual Report & 6 monthly performance report • Conwy and Denbighshire PSB Annual Report • Annual Governance Statement • Finance Reports • Director of Social Services Annual Report • Welsh Language Annual Monitoring Report • Carbon Management Strategy
	<p>Robust internal control</p>	<p>a) Internal Audit haven an Assurance Map which is used to inform the Internal Audit Annual Plan</p> <p>b) There is an Internal Audit Charter (Intranet)</p> <p>c) Internal Audit Performance Reports are regularly produced and presented to Audit & Governance Committee</p> <p>d) An Improvement and Audit Group ensures that identified risks and external and internal audit recommendations for improvement are being appropriately addressed</p> <p>e) We have a policy library to ensure policies are reviewed by their review date.</p>
	<p>Managing data</p>	<p>a) We have an Information Governance Unit which is responsible for General Data Protection Regulations (GDPR), Environmental Information Regulations & Freedom of Information requests (FOIs)</p> <p>b) We have an Information Management Framework of information policies</p> <p>c) Information Governance Training is available online and via sessions for all Elected Members and Staff</p> <p>d) We have a Performance Measure Policy (Intranet) for recording and monitoring data and a Research and Information</p>

		Unit which provides statistical data and needs analysis to support and inform decisions.
	Strong public financial management	<p>The Chief Financial Officer's role (S151 Officer) is included in the responsibilities of the Strategic Director of Finance and Efficiencies. The Director has responsibility for the proper administration of the Authority's financial affairs</p> <p>Our Treasury Management arrangements follow professional practice and are subject to regular review. There are robust arrangements for effective financial control through the Authority's accounting procedures and financial regulations such as:</p> <ul style="list-style-type: none"> • Finance Reports • Medium Term Financial Strategy • Members Allowances Scheme • Prudential Code & Treasury • Asset Management Plan • Statement of Accounts • Financial Regulations • Council Tax Information • Contract Procedure Rules • Corporate Procurement Strategy <p>An Annual Certificate of Compliance issued by external auditors confirms that the Authority complies with its responsibilities relating to financial reporting</p>
<p>Principle G</p> <p>Implementing good practices in transparency reporting and audit, to deliver effective accountability.</p>	<p>Implementing good practice in transparency</p>	<p>a) All Cabinet and Council meetings are held in public (with the exception of exempt items) and all papers are published on our council website.</p> <p>b) All agendas and reports are available on the Authority's website unless they contain exempt information</p> <p>c) We have a Members' register of interests</p> <p>d) There is a Democratic Services Committee</p> <p>e) Audit & Governance Committee Members completed the CIPFA Audit Committee Individual Self-Assessment Knowledge & Skill Framework to identify training requirements.</p>
	<p>Implementing good practices in reporting</p>	<p>a) There are regular Internal Audit Performance Reports presented to Audit and Governance Committee</p> <p>b) An Improvement and Audit Group ensures that identified risks and external and internal audit recommendations for improvement are being appropriately addressed.</p>

	<p>Assurance and effective accountability</p>	<p>a) An annual report of Scrutiny performance is published each year to review and reflect on the scrutiny function</p> <p>b) We have an Overview & Scrutiny Engagement Protocol</p> <p>c) Inspectorate Reports</p> <p>d) The Head of Audit publishes an Annual Report having conducted a review of the effectiveness of our system of internal control and issues a conclusion (Audit opinion) on the control environment.</p> <p>e) We receive an annual programme of external audit reviews and which include</p> <ul style="list-style-type: none"> • Audit Wales reports • Estyn Audit reports • CIW Audit reports