

# Conwy County Borough Council

## Governance Framework 2020

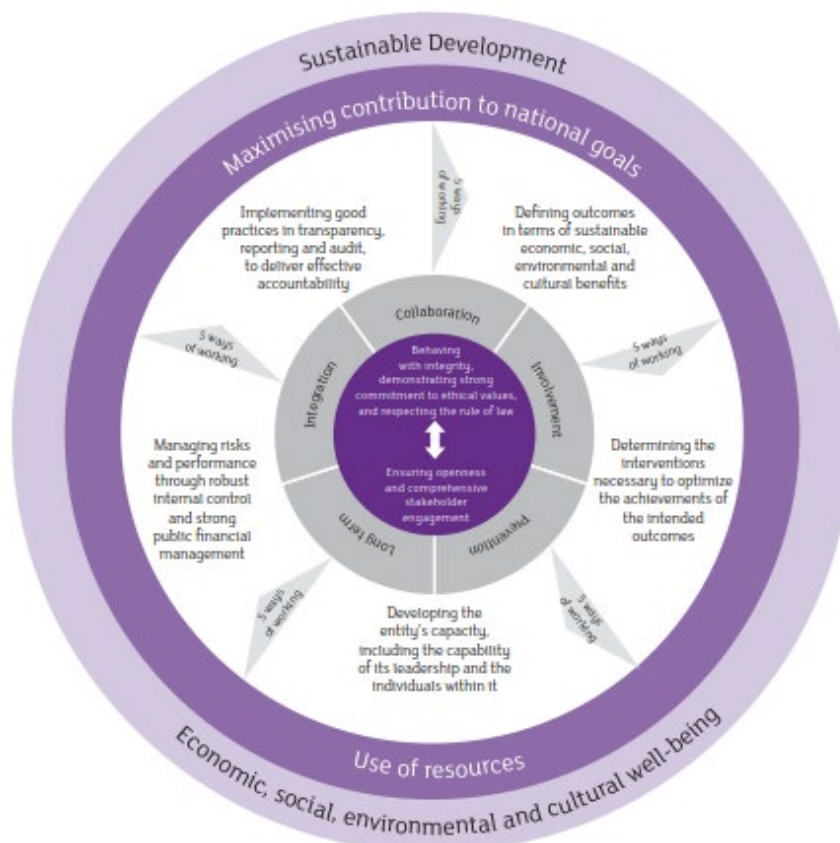
### The Purpose of the Governance Framework

The Governance Framework comprises the systems and processes, culture and values by which the authority is directed and controlled and its activities through which it accounts to, engages with, and leads its communities. It enables the authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate services and value for money.

The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of Conwy County Borough Council's policies, aims and objectives, to evaluate the likelihood and potential impact of those risks being realised, and to manage them efficiently, effectively and economically.

The governance framework has been in place at Conwy County Borough Council for the year ended 31st March 2020 and up to the date of approval of the Annual report and statement of accounts.

*Conwy County Borough Council is committed to ensuring good governance principles and management practices are adopted in all business activities to ensure public trust.*



## CONWY COUNTY BOROUGH COUNCIL GOVERNANCE FRAMEWORK

Corporate Governance 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.

Behaving with Integrity

Openness & Engagement

Sustainable Citizen Focused Outcomes

Interventions to achieve the outcomes

Developing Capacity & Leadership

Managing Finances and Risks

Accountability and Transparency

### Key Documents: Annual Review/ Production

[Corporate Plan](#)  
[Annual Report](#)  
[Annual Governance Statement](#)  
[Finance Reports](#)  
[Corporate Information Security Policy](#)  
[Asset Management Plan](#)  
 Corporate Risk Register  
 Delegations from/to Directors  
 Service Plans  
 Internal/External Audit Protocol  
 Conwy ICT Digital Strategy  
 Information Governance Framework  
[Medium Term Financial Strategy](#)  
[Members Allowances Scheme](#)  
 Prudential Code & Treasury  
[Statement of Accounts](#)  
 Service Continuity Plans

### Key Documents: Ad-hoc Review/ Production

Anti-Fraud & Corruption Policy  
 Business Planning Framework  
[Code of Conduct](#)  
[Community Involvement Strategy](#)  
[Communications & Engagement Strategy](#)  
[Constitution](#)  
 Corporate Procurement Strategy & CPRs  
[Complaints Guidance](#)  
[Strategic Equality Plan](#)  
[Financial Regulations](#)  
 Health and Safety Policies  
[HR Strategy](#)  
[Member/Officer Relations](#)  
 Officer Employment Procedure Rules  
 Partnership Governance Framework  
 Performance Management Framework  
 Public Engagement Protocol  
[Record of Decisions](#)  
 Whistle Blowing Policy  
 Risk Management Policy & Procedures

### Processes /Regulatory Monitoring

<p> <a href="#">Audit and Governance Committee</a>                      Budget Accountability Statements                      Corporate Intranet                      Corporate Training Plan  <a href="#">Council Tax Information</a>                      Customer Feedback Process                      Director of Finance and Resources  <a href="#">Data Protection</a>                      Stakeholder Forums  <a href="#">Freedom of Information</a>                      Head of Paid Service (CEO)                      Independent Remuneration Panel  <a href="#">Inspectorate Reports</a>                      Internal Audit                      Information Governance Group                      Job Descriptions                      Job Evaluation Process                      Law &amp; Governance                      Member Development &amp; induction                      Monitoring Officer                      Managers Forum                      Performance Development Reviews  <a href="#">Combined FWP Council Meetings</a>                      Improvement &amp; Audit Group                      Report Review Group (RRG)                 </p>	<p> <a href="#">Public Services Board</a>                      Corporate H&amp;S Process  <a href="#">Scrutiny Committees</a>  <a href="#">Standards Committee</a>                      Staff Induction                      Staff Surveys                      Strategic Leadership Team                      Senior Management Team                      Scheme of delegation                      External web &amp; social media  <a href="#">Safeguarding Policy</a> </p>
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## Our Strategic Priorities

## Our Vision

# Conwy – a progressive County creating opportunity

## The Way We Work - Our Values

Our values represent the beliefs of our organisation and the expected behaviour from everyone working for Conwy County Borough Council. Our Values are:

We care about what we do  
We are fair to all  
We are innovative  
We are team players

Our Corporate Plan and Well-being Objectives can be found [here](#)

## Our commitment to good governance

To demonstrate our commitment to good governance we outlined the commitments the Council adheres to, to ensure it is doing the right things in the right way in an open, honest and accountable manner.

1. **We will** clearly set out our objectives in our [Corporate Plan](#).
2. **We will** measure how effective our services are and take action to improve them. We will publish information showing how we are progressing towards our objectives in our [Annual Report](#).
3. **We will** work with other public services to improve services for Conwy.
4. **We will** ensure we make the best use of taxpayers' money by taking prudent financial decisions.
5. **We will** set out in our [Constitution](#) who can take which decisions.
6. **We will** behave in ways that reflect our [values](#) and high standards of conduct.
7. **We will** ensure people in the Council making decisions have access to accurate information to help them take decisions in the best interests of the people of Conwy.
8. **We will** record and publish the decisions we take and the reasons for them. Wherever possible, we'll take the most important decisions in public.
9. **We will** carry out scrutiny of our services to make sure they meet our residents' needs.
10. **We will** be sensitive about how we collect and record personal information and safeguard it from misuse.

Each year we self-assess how we are meeting our standards of governance and record this in our [Annual Governance Statement](#). Our external auditors conduct an annual review of the statement

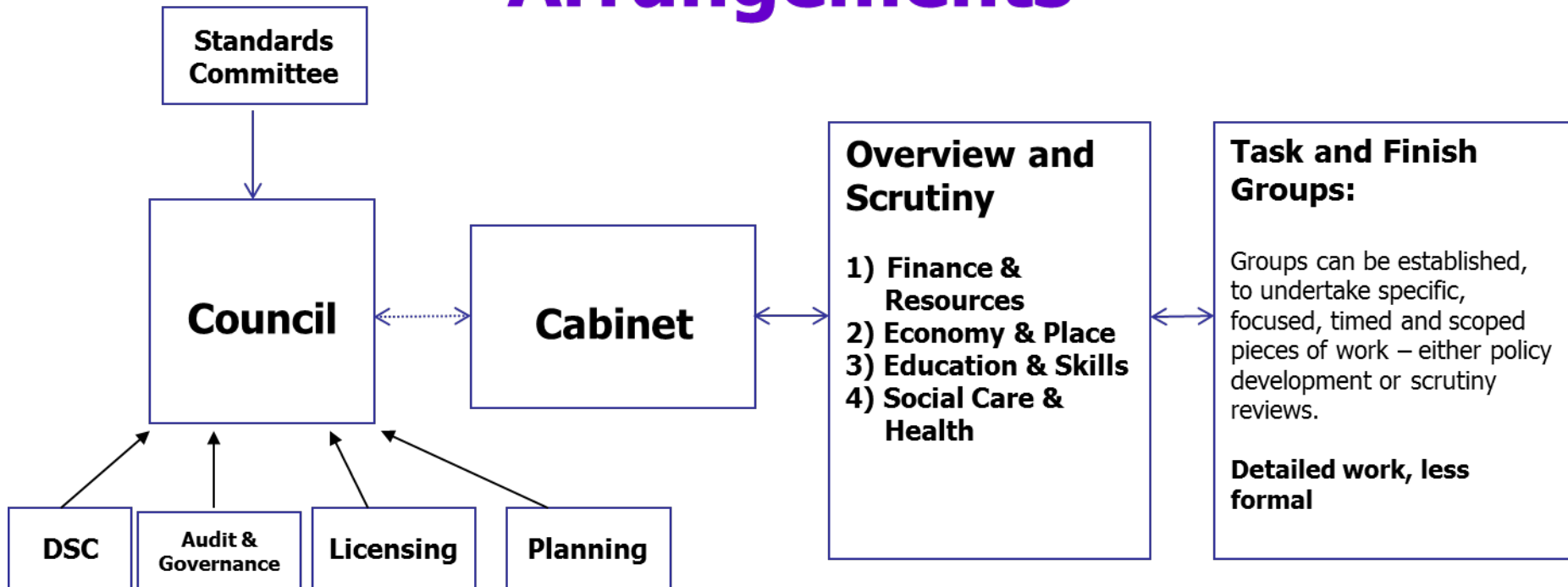
## Governance Structures & Responsibilities

The following bodies and structures fulfil an important role in reviewing and ensuring the effectiveness of Governance.

<b>The Council</b>	The <a href="#">Council</a> (all 59 councillors) sets the overall budget and policies. Council meetings are held regularly throughout the year, and debates the different options for important issues facing the County Borough. Council appoints the Leader of the Council; the Leader then appoints the other members of the Cabinet, and allocates Cabinet member responsibilities (portfolios).
<b>Chair of the Council</b>	The Chair is the ceremonial figurehead of the Council S/He chairs the debate at full council meetings and the position is filled by a Council vote.
<b>Leader</b>	S/He provides leadership to the council and its political administration. S/He has overall responsibility for the political management of the authority, and the delivery of agreed council priorities, strategies and policies. The Leader appoints the Cabinet and designates portfolios.
<b>Cabinet</b>	The <a href="#">Cabinet</a> makes key decisions, though it can also delegate decisions to individual Cabinet Members, to committees, to officers, joint arrangements or other authorities. The Cabinet has 10 members, including the Leader of the Council and each member has different areas of responsibility or portfolios. Cabinet meet regularly around once or twice a month.
<b>Scrutiny Committees</b>	<a href="#">Scrutiny Committees</a> advise on policies and hold the Cabinet to account on specific issues. Scrutiny Committees can also review areas of Council activity or matters of wider local concern. There are 4 scrutiny committees which are overseen by the Finance and Resources Scrutiny Committee
<b>Audit &amp; Governance Committee</b>	This is a statutory committee providing independent assurance on the Council's internal control environment. The Committee agrees the Annual Governance Statement and the Annual Statement of Accounts, Oversees Internal Audit's independence and effectiveness; monitors the effectiveness of value for money arrangements; considers the effectiveness of risk management, including risks of bribery, fraud and corruption and considers External Audit and Inspectors' reports.
<b>Regulatory Committees</b>	The <a href="#">Planning, Audit and Governance</a> , and <a href="#">Licensing Committees</a> make the Council's regulatory decisions;
<b>Standards Committees</b>	A <a href="#">Standards Committee</a> meets to promote high standards of conduct and support councillors to comply with the <a href="#">Code of Conduct</a> .
<b>Head of Paid Service (Chief Executive Officer)</b>	The CEO has overall management and operational responsibility for the authority (including overall management responsibility for employees. S/He provides professional advice to all parties in the decision making process, and a system of recording the Council's decision making process. The Head of Paid Service decides how functions are discharged and how officers are organised.
<b>Chief Financial Officer (s151)</b>	The Chief Financial Officer has responsibility for the proper administration of the Authority's financial affairs, as required by Section 151 of the Local Government Act 1972, and has responsibility

	for overseeing that sound governance arrangements are in place and are embedded in the Authority
<b>Monitoring Officer</b>	S/He ensures compliance with established policies, procedures, laws and regulations
<b>Head of Internal Audit</b>	S/He provides an independent opinion on the adequacy and effectiveness of internal control, risk management and governance arrangements; Delivers a programme of risk based audits, including counter fraud and investigation;
<b>Strategic Leadership Team (SLT)</b>	SLT has a more strategic/tactical role - fed from Cabinet/SMT/individual Heads of Service <ul style="list-style-type: none"> <li>• Addresses concerns and issues raised by the Chief Executive, Monitoring Officer, Section 151 Officer, Head of Corporate HR Services and Head of ERF</li> <li>• Considers adverse incident reports (inc. fraud and health and safety)</li> <li>• Reviews issues emerging from the Programme Boards</li> <li>• Considers grant applications</li> <li>• Receives information regarding inspections and performance - information from Improvement and Audit Group prior to submission to SMT</li> <li>• Reviews SMT agendas</li> </ul>
<b>Senior Management Team (SMT)</b>	SMT is the primary management team of the Authority and includes the Chief Executive, Strategic Directors and all Heads of Service. SMT is responsible for developing, maintaining and implementing the Council's governance, risk and control framework. SMT contributes to the effective corporate management and governance of the Council.
<b>Internal Audit</b>	Provides an independent opinion on the adequacy and effectiveness of internal control, risk management and governance arrangements; Delivers a programme of risk based audits, including counter fraud and investigation;
<b>Improvement and Audit Group (IAG)</b>	Provides ongoing review of the effectiveness of the Governance Framework, monitoring of external regulatory reports and review of risks.
<b>External Audit</b>	Audits and report on the Council's financial statements (including the Annual Governance Statement), providing an opinion on the accounts and use of resources and concluding on the arrangements in place for securing economy, efficiency and effectiveness in the use of resources

# Political and Democratic Arrangements



DSC = Democratic Standards Committee



# Partnership Boards Structure

KEY: Statutory Partnership Multi-Agency Formal Partnership Informal Partnerships Local Authority: Supported by WG Regional Sub-regional → Reporting / Communication

