

CODE OF CORPORATE GOVERNANCE



WHAT IS CORPORATE GOVERNANCE?

1. Governance is about how the Council ensures that it is 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 and cultures and values, by which the Council is directed and controlled and through which it accounts to, engages with and leads its communities.
2. Corporate governance in public bodies can be defined as “the framework of accountability to users, stakeholders and the wider community, within which organisations take decisions and lead and control their functions, to achieve their objectives”. It can be further defined as including “robust systems and processes, effective leadership and high standards of behaviour, a culture based on openness and honesty and an external focus on the needs of service users and the public”.

GUIDANCE AND FRAMEWORK

3. Corporate Governance as an issue came to prominence in early 1990 following several major financial scandals. Subsequent reports that looked at local government identified ten principles of public life: selflessness, integrity, objectivity, accountability, openness, honesty and leadership, respect for others, duty to uphold the law and stewardship (using resources prudently).
4. In 2012 Cipfa & SOLACE produced an updated guidance and framework with the identified principles that should underpin the governance of each local authority, and a structured approach to assist individual authorities to achieve good governance.
5. Good governance means:
 - Focussing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area
 - Councillors and officers working together to achieve a common purpose with clearly defined functions and roles
 - Promoting the values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour
 - Taking informed and transparent decisions which are subject to effective scrutiny and managing risk
 - Developing the capacity and capability of councillors and officers to be effective
 - Engaging with local people and other stakeholders to ensure robust public accountability.
6. The Framework urges local authorities to test their structures against these principles by:
 1. Reviewing their existing governance arrangements against the Framework

2. Developing and maintaining an up-to-date local code of governance including arrangements for ensuring its ongoing application and effectiveness
 3. Preparing a governance statement in order to report publicly on the extent to which they comply with their own code on an annual basis, including how they have monitored the effectiveness of their governance arrangements in the year, and on any planned changes for the coming period.
7. The preparation and publication of an annual governance statement in accordance with this Framework is necessary to meet the statutory requirement set out in Regulation 4(2) of the Accounts and Audit (England) Regulations 2011 for authorities to prepare a statement of internal control in accordance with “proper practices”.
- Internal control and risk management are increasingly recognised as important elements of good Corporate Governance.
 - The scope of internal control spans the whole range of the Council’s activities and includes controls designed to ensure that:
 - The Council’s policies are implemented in practice;
 - High quality services are delivered efficiently and effectively;
 - The Council’s values and ethical standards are met;
 - Laws and Regulations are complied with
 - Required procedures are adhered to;
 - Financial statements and other published performance information is accurate and reliable;
 - Human, financial, environmental and other resources are managed efficiently and effectively.
8. The Regulations place a requirement on the Council to conduct at least an annual review of the effectiveness of its internal controls and identify areas where improvements can be made.

POSITION IN OXFORDSHIRE

9. The implementation of the Accounts and Audit Regulations 2003 (as amended) required the production of a Statement on Internal Control, which formed part of the Council’s Statement of Accounts. The Council’s Cabinet determined that this statutory assessment was the preferred assurance statement for the Council on Corporate Governance matters. The Audit Committee has approved a Corporate Governance Assurance Framework, which sets out the Corporate Governance arrangements within the Council and sets out the roles and responsibilities of key Officers, Councillors and Committees within that process.
10. This Local Code of Corporate Governance sets out how Oxfordshire County Council complies with the requirements of the Code and identifies key documents, which provide detailed information as to how the Council ensures these Corporate Governance principles are adhered to.

11. Reviewed and updated by the **Audit & Governance Committee.**

12. Review Date: **April 2018**

Nick Graham
Monitoring Officer

Principle 1 – Focussing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area

Supporting Principles:	Oxfordshire County Council commits itself to:	Evidence that the Council complies with these requirements:
<p>1.1 exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcomes for citizens and service users</p>	<p>1.1.1 develop and promote the authority's purpose and vision</p>	<p>OCC Fire & Rescue service Community Risk Management Plan (CRMP) 2013 – 2018.</p> <p>New CRMP currently being developed for 2017-22.</p> <p>OCC Fire & Rescue Service Annual Report Annual Governance Statement</p> <p>Financial Plan 2012 – 2017</p> <p>Equality Policy 2012 – 2017</p> <p>Local Transport Plan 2015 – 2031</p> <p>Children & Young People's Plan 2015 – 2018</p> <p>Council Plan 2016 - 2020 Community-led Plans and Action</p> <p>Equality Policy 2012 – 2017 Joint Physical Disability Strategy 2012 – 2016</p> <p>OCC Emergency Plan</p>

	<p>1.1.2 review on a regular basis the authority's vision for the local area and its implications for the authority's governance arrangements</p>	<p>OCC Fire & Rescue Service Annual Report</p> <p>Health & Wellbeing Strategy</p> <p>Corporate Governance Assurance Framework</p> <p>Corporate Plan</p> <p>Directorate and Service Business Strategies</p> <p>Community-led Plans and Action</p> <p>Performance Reports</p> <p>Scrutiny Committees</p> <p>Cabinet Forward Plan</p> <p>OCC Emergency Plan</p>
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	<p>1.1.3 ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners</p>	<p>Growth Board</p> <p>Oxfordshire Partnership Board:</p> <ul style="list-style-type: none"> • Environment • Safer Communities • Oxfordshire Growth • Stronger Communities Alliance • Health & Wellbeing • Local Enterprise <p>OCC Emergency Plan</p>
	<p>1.1.4 publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance</p>	<p>OCC Fire & Rescue Service Annual Report</p> <p>Annual Governance Statement</p> <p>The Statement of Accounts, which is published on the council's website sets out the financial position and results for the council for the relevant year.</p> <p>Narrative statement as required by the Accounts and Audit Regulations 2015</p> <p>External Audit and Inspection Letter</p> <p>Corporate Plan reflects on achievements in the previous year.</p>

<p>1.2 ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning</p>	<p>1.2.1 decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available</p>	<p>Quarterly Performance Reports to Cabinet following consideration by Scrutiny Committee</p> <p>Oxfordshire County Council Corporate Plan</p> <p>Directorate and Service Business Strategies</p> <p>Report to Audit & Governance Committee Quarterly Performance Reports to Cabinet</p> <p>Health & Wellbeing Board</p> <p>External inspection regimes – from Ofsted and CQC</p>
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	<p>1.2.2 put in place effective arrangements to identify and deal with failure in service delivery</p>	<p>Fire & Rescue Service Operational Assessment Peer Review</p> <p>Corporate Complaints Policy and Procedure</p> <p>Adults and Children’s Social Care Complaints processes</p> <p>Local Government Ombudsman Annual Letter</p> <p>Quarterly Performance Reports to CCMT, Cabinet and Performance Scrutiny</p> <p>Health & Wellbeing Board</p> <p>Scrutiny, Service and Cabinet Reviews</p> <p>Complaints Team identify and escalate serious complaints to the Monitoring Officer and Directorate leads, as required.</p> <p>Debriefs of Incident response & Lessons learnt database on Resilience Direct</p> <p>Audit & Governance Committee</p>
<p>1.3 ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money</p>	<p>1.3.1 decide how value for money is to be measured and make sure that the authority or partnership has the information needed to review value for money and performance effectively. Measure the</p>	<p>OCC Fire & Rescue Service Statement of Assurance</p> <p>Performance Management Framework and quarterly performance reporting to Performance Scrutiny.</p>

	<p>environmental impact of policies, plans and decisions</p>	<p>Corporate Plan</p> <p>Medium Term Financial Plan</p> <p>Service and Resource Planning Process including Social & Community Impact Assessments (SCIAs)</p> <p>Budget monitoring process and REGULAR reports to Cabinet set out financial performance and reflect on the achievement of the budget changes in the Medium Term Financial Plan</p>
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Principle 2 – Councillors and Officers working together to achieve a common purpose with clearly defined functions and roles

Supporting Principles:	Oxfordshire County Council commits itself to:	Evidence that the Council complies with these requirements:
<p>2.1 ensuring effective leadership throughout the authority and being clear about executive and non-executive functions and of the roles and responsibilities of the scrutiny function</p>	<p>2.1.1 set out a clear statement of the respective roles and responsibilities of the cabinet and of the cabinet members individually and the authority's approach towards putting this into practice</p>	<p>The Constitution</p> <p>Schemes of Delegation</p> <p>Portfolio Holders Reports to Council</p> <p>The Council, Cabinet and Council Committee Agendas and Minutes</p> <p>Forward Plan</p> <p>OCC Emergency Plan</p> <p>Business Continuity Steering Group Strategy</p> <p>The role of Scrutiny in Policy Development and Review (Terms of Reference – Constitution Article 7)</p> <p>Appraisals</p> <p>Training to ensure understanding of roles and responsibilities</p> <p>Oxfordshire Partnership Governance Framework adopted in 2009</p>

	2.1.2 set out a clear statement of the respective roles and responsibilities of county councillors and of senior officers	<p>The Constitution, including:</p> <ul style="list-style-type: none"> • Members' and Officer's Code of Conduct • Protocol on Member' Rights and Responsibilities • Protocol on Member/Officer Relations <p>Member Champions (Article 2, Appendix 1 of the Constitution)</p>
2.2 ensuring that a constructive working relationship exists between councillors and officers and that the responsibilities of councillors and officers are carried out to a high standard	2.2.1 determine a scheme of delegation and reserve powers within the constitution, including a formal schedule of those matters specifically reserved for collective decision of the authority, taking account of relevant legislation, and ensure that it is monitored and updated when required	<p>The Constitution</p> <p>Schemes of Delegation</p> <p>Annual review of the Constitution</p>
	2.2.2 make a chief executive or equivalent responsible and accountable to the authority for all aspects of operational management	<p>Head of Paid Service</p> <p>Job Description</p> <p>The Constitution</p> <p>Scheme of Delegation</p> <p>OCC Emergency Plan</p>
	2.2.3 develop protocols to ensure that the leader and chief executive (or equivalent) negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained	<p>The Constitution:</p> <ul style="list-style-type: none"> • Protocol on Member/Officer Relations <p>Protocol on Members' Rights and Responsibilities</p>

	<p>2.2.4 make a senior officer (the S151 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</p>	<p>The financial control framework is maintained and implemented by the Chief Finance Officer (Lorna Baxter) who is the section 151 officer for the authority.</p> <p>CIPFA has published guidance on the role of the Chief Financial Officer in public service organisations. This sets out five key principles that must be in place to enable the chief financial officer to fulfil their statutory and public interest duties and make a positive and effective contribution to an authority.</p> <ul style="list-style-type: none">• The Chief Financial Officer is a member of the County Council Management Team, helping it to develop and implement strategy and to resource and deliver the County Council's strategic objectives.• The Chief Financial Officer is actively involved in, and able to bring influence to bear on, all material business decisions to ensure immediate and longer term implications, opportunities and risks are fully considered, and aligned with the Medium Term Financial Strategy.• The Chief Financial Officer leads the promotion and delivery by the County Council of good financial management so that public money is safeguarded at all times and used appropriately, economically, efficiently and effectively.
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	<p>2.2.5 make a senior officer (usually the monitoring officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with</p>	<p>Chief Legal Officer & Monitoring Officer</p> <p>Regular attendance at County Council Management Team as ex officio member</p> <p>Job Description</p> <p>Constitution</p> <p>Scheme of Delegation</p> <p>Role of Officers – Intranet</p> <p>Monitoring Officer Protocol</p> <p>Corporate Governance Assurance Framework</p> <p>The Constitution</p> <ul style="list-style-type: none"> • Role of Officers – Intranet • Scheme of Delegation • Audit and Governance Committee <p>Monitoring Officer protocol</p> <p>Corporate Governance Assurance Framework</p>
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<p>2.3 ensuring relationships between the authority, its partners and the public are clear so that each know what to expect of the other</p>	<p>2.3.1 develop protocols to ensure effective communication between councillors and officers in their respective roles</p>	<p>The Constitution:</p> <ul style="list-style-type: none">• Protocol on Member/Officer Relations• Protocol on Members' Rights and Responsibilities <p>Political Group Leader Meetings</p> <p>Regular briefing meetings</p> <p>Review of effectiveness by Audit & Governance Committee</p>
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	<p>2.3.2 set out the terms and conditions for remuneration of councillors and officers and an effective structure for managing the process, including an effective remuneration</p>	<p>Job evaluation</p> <p>The IBC portal is used to manage changes to posts. Budget monitoring process ensures payments to employees are in line with contracts and agreed scale points.</p> <p>Independent Remuneration Panel</p> <p>Constitution – members’ allowances scheme</p> <p>Dedicated webpage on members’ allowances:</p> <ul style="list-style-type: none">• Reports of Independent Remuneration Panel• Description of process• Publication of monthly and annual totals of members’ allowances received/claimed <p>Guidance notes to councillors on claiming expenses and using online IBC system</p> <p>Internal Audit review, periodically, of members’ allowances practices and checking</p>
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	<p>2.3.3 ensure that effective mechanisms exist to monitor service delivery</p>	<p>Annual Report</p> <p>Quarterly Performance Reports Balanced Scorecard</p> <p>Quarterly Performance Reports</p> <p>Independent Inspections</p> <p>Assurance mapping of management control processes. The production of statements of assurances for the efficacy of services.</p>
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	<p>2.3.4 ensure 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</p>	<p>OCC Fire & Rescue Service Community Risk Management Plan 2013 – 2018</p> <p>Corporate, Directorate and Service Plans Oxfordshire 2030 (Community Strategy) Community-led Plans & Actions</p> <p>The Quality Standard for Local Government; statutory equality schemes; EQIA process; Social Inclusion Reference Group</p> <p>Service and Resource Planning</p> <p>Corporate Consultation Programme (including Citizens’ Panel, Budget Consultation, Residents Surveys, Statutory Surveys), service level consultations eConsult Portal, customer group specific mechanisms (including Sounding Boards, users groups etc.)</p>
	<p>2.3.5 when working in partnership, ensure that councillors are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the authority</p>	<p>Oxfordshire Partnership Annual report to Council.</p> <p>Annual audit of key partnerships and targets.</p> <p>OCC Emergency Plan</p>

	<p>2.3.6 when working in partnership:</p> <ul style="list-style-type: none">• ensure that there is clarity about the legal status of the partnership• ensure that representatives of organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions	<p>Partnership Working strategy</p> <p>Oxfordshire Partnership Governance Framework adopted in 2009</p> <p>Partnership Agreements</p> <p>Action Plan for improving and monitoring Governance</p> <p>Annual review of Partnership Governance Arrangements.</p> <p>Annual audit of key partnerships and targets.</p> <p>OCC Emergency Plan</p>
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Principle 3 - Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

Supporting Principles:	Oxfordshire County Council commits itself to:	Evidence that the Council complies with these requirements:
<p>3.1 ensuring councillors and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance</p>	<p>3.1.1 ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect</p>	<p>Freedom of Information Publication Scheme</p> <p>Dedicated webpage on open government (e.g. links to senior salary information, expenditure publication)</p> <p>Code on Data Transparency</p> <p>Audit & Governance Committee:</p> <ul style="list-style-type: none"> • Work Programme • Reviews of standards/conduct • Oversight of governance compliance • Annual reports – Monitoring Officer, Ombudsman <p>Reviews</p> <p>Publication Scheme</p> <p>Audit & Governance Committee Work Programme</p> <p>Equality and Diversity Schemes</p> <p>Codes of Conduct</p> <p>The Council's Values (CHOICE)</p>

		<p>County Council Management Team's – "Agreed Team Behaviours"</p> <p>Whistleblowing Policy</p> <p>Monitoring Complaints – Audit & Governance Committee (Monitoring Officers Annual Report)</p> <p>General Public's Right to attend and address Council Meetings and submit Petitions</p> <p>Scrutiny Process</p> <p>Equality Impact Assessments (EQIA)</p>
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	<p>3.1.2 ensure that standards of conduct and personal behaviour expected of councillors and officers, of work between councillors and officers and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols</p>	<p>The Constitution</p> <ul style="list-style-type: none"> ● Officer Code of Conduct ● Member Code of Conduct ● Registering Interests/Gifts & Hospitality <ul style="list-style-type: none"> ○ Within the Codes ○ Separate protocols/guidance ● Protocol on Member-Officer Relations ● Audit and Governance Committee terms of reference – conduct, protocols, constitution review <p>Bi-annual survey by Monitoring Officer of officer views on ‘member conduct’</p> <p>Oxfordshire Monitoring Officers’ Group – maintaining benchmarked experience.</p> <p>Corporate Governance Assurance Framework</p> <p>Oxfordshire Partnership Governance Framework adopted in 2009 sets standards roles and responsibilities.</p>
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	<p>3.1.3 put in place arrangements to ensure that councillors and officers of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice</p>	<p>The Constitution:</p> <ul style="list-style-type: none"> ● Members' Code of Conduct ● Officers' Code of Conduct ● Planning Code of Practice ● Registering Interests/Gifts & Hospitality <ul style="list-style-type: none"> ○ Within the Codes ○ Separate protocols/guidance <p>Mandatory training for members on Code of Conduct and Planning Code.</p> <p>Guidance note on bias and predetermination developed and circulated jointly by Oxfordshire Monitoring Officers</p> <p>Agendas of cabinet, scrutiny, committees – dedicated items about declaring interests</p> <p>Annual Monitoring Officer report to Audit and Governance Committee</p> <p>Corporate Governance Assurance Framework</p>
<p>3.2 ensuring that organisational values are put into practice and are effective</p>	<p>3.2.1 develop and maintain shared values including leadership values for both the organisation and officers reflecting public expectations, and communicate these with councillors, officers, the community and partners</p>	<p>The County Council's Values (CHOICE) CHOICE Awards</p> <p>Oxfordshire County Council's Corporate Plan</p> <p>Oxfordshire County Council's Website</p>

	<p>3.2.2 put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice</p>	<p>The Constitution:</p> <ul style="list-style-type: none"> • Audit & Governance Committee <ul style="list-style-type: none"> ○ Work Programme ○ Terms of Reference <p>Corporate Governance Assurance Framework</p> <p>Annual Monitoring Officer report to Audit and Governance Committee</p>
	<p>3.2.3 develop and maintain an effective Audit & Governance committee</p>	<p>Audit & Governance Committee:</p> <ul style="list-style-type: none"> • Work Programme • Reviews of standards/conduct • Oversight of governance compliance • Annual reports – Monitoring Officer, Ombudsman, Chief Internal Auditor • Agree the annual governance statement • Annual 1-1 meetings with Chief Internal Auditor and External Audit <p>Recruitment and Retention of Independent Persons to assist Monitoring Officer in relation to members standards/conduct</p> <p>Audit & Governance Committee Terms of Reference</p> <p>Chief Internal Auditor Protocol</p> <p>External Audit</p>

	<p>3.2.4 use 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</p>	<p>Corporate, Directorate and service Plans</p> <p>Website</p> <p>Induction Process</p> <p>The County Council's Values (CHOICE)</p> <p>Agile Working Programme</p>
	<p>3.2.5 in pursuing the vision of a partnership, agree a set of values against which decision-making and actions can be judged. Such values must be demonstrated by partners' behaviour both individually and collectively</p>	<p>Children & Young Peoples Partnership Board (Children Education & Families)</p> <p>Oxfordshire Partnership Governance Framework adopted in 2009 sets standards roles and responsibilities.</p> <p>Partnership Agreements</p> <p>Partnership Governance Review 2008</p>

Principle 4 - Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

Supporting Principles:	Oxfordshire County Council commits itself to:	Evidence that the Council complies with these requirements:
<p>4.1 being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny</p>	<p>4.1.1 develop and maintain 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</p>	<p>Budget Training</p> <p>Scrutiny Review of Budgets</p> <p>Exercise of Call-in Procedures</p> <p>Constitution</p> <p>Scrutiny Review</p> <p>Scrutiny Work Programme</p> <p>Scrutiny Annual Report</p> <p>Scrutiny Handbook</p> <p>Fundamental Service Review Programme</p>
	<p>4.1.2 develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based</p>	<p>Service & Resource Planning Process</p> <p>Committee Agendas and Minutes</p>

	<p>4.1.3 put in place arrangements to safeguard councillors and officers against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice</p>	<p>Declarations of Interest (Members and Officers)</p> <p>Monitoring Officer Annual Review of Registers</p> <p>Codes of Conduct</p>
	<p>4.1.4 develop and maintain an effective audit & governance committee (or equivalent) which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the functions of such a committee</p>	<p>Audit & Governance Committee:</p> <ul style="list-style-type: none"> • Work Programme • Reviews of standards/conduct • Oversight of governance compliance • Audit Working Group- Monitoring of risk management process on behalf of the Audit & Governance Committee
	<p>4.1.5 ensure that effective, transparent and accessible arrangements are in place for dealing with complaints</p>	<p>Corporate Complaints Policy and Procedure</p> <p>Adults and Children’s Social Care Complaints processes</p> <p>Monitoring Officer – reporting to Audit & Governance Committee of the Local Government Ombudsman Annual Letter</p> <p>Whistleblowing policy – staff</p> <p>Whistleblowing procedures – general public</p>

<p>4.2 having good-quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs</p>	<p>4.2.1 ensure that those making decisions whether for the authority or the partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical and financial issues and their implications</p>	<p>Oxfordshire Insight</p> <p>Health & Wellbeing Strategy</p> <p>Committee Reports Template</p> <p>Report Timetables</p> <p>Cabinet Forward Plan</p> <p>Report Clearance process</p> <p>Specialist guidance available on the Council's intranet 'Insite' in the support section</p> <p>Monitoring of expenses claimed</p> <p>OCC Emergency Plan</p>
	<p>4.2.2 ensure 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</p>	<p>Committee Reports Template requires consideration of legal or financial implications</p> <p>Forward Plan flags upcoming reports/issues</p> <p>S151 Scheme of Delegation</p>

<p>4.3 ensuring that an effective risk management system is in place</p>	<p>4.3.1 ensure that risk management is embedded into the culture of the authority, with councillors and managers at all levels recognising that risk management is part of their jobs</p>	<p>OCC Fire & Rescue Service Community Risk Management Plan 2013 – 2018</p> <p>OCC Fire & Rescue Service Statement of Assurance</p> <p>Business Continuity Steering groups Strategy</p> <p>Annual Risk Management Report</p> <p>Annual Governance Statement</p> <p>Risk and Assurance Policy</p> <p>Corporate Lead for Risk Management</p> <p>Quarterly Risk Management Reporting</p>
	<p>4.3.2 ensure that effective arrangements for whistle-blowing are in place to which officers, and all those contracting with or appointed by the authority have access</p>	<p>Whistleblowing Policy</p> <p>General Public Whistleblowing Policy</p> <p>Monitoring Officer Annual Report</p>

<p>4.4 using their legal powers to the full benefit of the citizens and communities in their area</p>	<p>4.4.1 actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine (beyond the legal powers of the council) but also strive to utilise their powers to the full benefit of their communities</p>	<p>The Constitution, including:</p> <ul style="list-style-type: none"> ● Terms of reference – all decision making bodies ● Schemes of delegation ● Finance Procedure Rules ● Contract Procedure Rules ● Virement rules <p>Committee Reports Template</p> <p>Corporate Legal strategy</p> <p>Implementing New Legislation Protocol</p> <p>OCC Emergency plan, REPPiR, MACR & COMAH off site plans for identified high risk sites within the county.</p> <p>Financial Regulations</p> <p>Contract Procedure Rules</p> <p>Oxfordshire Partnership Governance Framework adopted in 2009</p>
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	<p>4.4.2 recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on authorities by public law</p>	<p>Implementing New Legislation Protocol</p> <p>Corporate Legal Strategy</p> <p>Monitoring Officer Protocol</p> <p>Constitution</p> <p>Committee Report Checklist</p> <p>Service Level Agreements between Directorate and Legal Services.</p>
	<p>4.4.3 observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law</p> <ul style="list-style-type: none"> • rationality, legality and natural justice • into their procedures and decision making processes 	<p>Implementing New Legislation Protocol</p> <p>Corporate Legal Strategy</p> <p>Monitoring Officer Protocol</p> <p>Constitution</p> <p>Committee Report Checklist</p> <p>Service Level Agreements between Directorate and Legal Services.</p>

Principle 5 - Developing the capacity and capability of councillors and officers to be effective		
Supporting Principles:	Oxfordshire County Council commits itself to:	Evidence that the Council complies with these requirements:
5.1 making sure that councillors and officers have the skills, knowledge, experience and resources they need to perform well in their roles	5.1.1 provide induction programmes tailored to individual needs and opportunities for councillors and officers to update their knowledge on a regular basis	<ul style="list-style-type: none"> Induction Investors in People Accreditation Learning and Development Plan Appraisals Councillor Induction and Member Development Budget and Finance Training Member and Committee training Periodic review by Political Group Leaders Annual Monitoring Officer Report Emergency Planning Unit Elected Member Training Business Continuity e-learning

	<p>5.1.2 ensure 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</p>	<p>Schemes of Delegation</p> <p>Roles of Officers – Intranet Constitution</p> <p>Job Descriptions</p> <p>Appraisals</p> <p>Monitoring Officer Protocol</p> <p>Learning and development Plan Induction – Briefings – Road-shows – Seminars – Staff surveys</p> <p>Acceptable Use Policy and e-learning course</p> <p>The Constitution:</p> <ul style="list-style-type: none"> ○ Roles of statutory officers ○ Schemes of delegation <p>Roles of Officers – Intranet</p> <p>Internal Audit Strategy</p>
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<p>5.2 developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group</p>	<p>5.2.1 assess the skills required by councillors and officers and make a commitment to develop those skills to enable roles to be carried out effectively</p>	<p>Councillors Development – based on prioritising special responsibility postholders</p> <p>Appraisals</p> <p>Attendance at Conferences/Seminars</p> <p>Emergency Planning Elected Member training</p> <p>Business Continuity e-learning</p>
	<p>5.2.2 develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed</p>	<p>Audit and Governance Committee</p> <ul style="list-style-type: none"> ○ Remit of member standards ○ Receiving Monitoring Officer Annual Report including information on training and development
	<p>5.2.3 ensure that arrangements are in place for reviewing the performance of the executive as a whole and of individual councillors and agreeing an action plan which might, for example, aim to address any training or development needs</p>	<p>Member Appraisals</p> <p>Officer Appraisal Process</p>

<p>5.3 encouraging new talent for membership of the authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal</p>	<p>5.3.1 ensure 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</p>	<p>The Framework for Local Government</p> <p>Equality and Diversity Schemes</p> <p>An Equality Employment Report is completed every year, targets for employment are reviewed annually and included in the HR business plan.</p> <p>The Council's statutory Equality Schemes (see below) are summarised with targets in a single action plan and agreed on an annual basis within business plans:</p> <p>Comprehensive Equality Policy; Disability Equality Scheme</p> <p>Gender Equality Scheme; Race Equality Scheme</p> <p>Social Inclusion Strategy</p> <p>Strategy on 'Harder to Reach' Groups</p> <p>Social Inclusion Reference Group</p> <p>Best Value Performance Indicator targets to be representative of the community at all levels by race, disability and gender.</p> <p>External Assessment of the Equality Framework</p> <p>Oxfordshire County Council Learning & Development Plan ensures all officers are enabled to mainstream equality.</p>
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	<p>5.3.2 Ensure that career structures are in place for members and officers to encourage participation and development</p>	<p>Officers: Continuous Professional Development Learning and Development Programme Apprenticeships Future Leaders Programme Career progression scheme set up in ICT Councillor Induction and Member Development</p>
	<p>5.3.3 to encourage participation and development ensure that the following are in place:</p> <ul style="list-style-type: none"> • officers career structures; and • an effective councillors development programme 	<p>Officers: Continuous Professional Development Learning and Development Programme Apprenticeships Future Leaders programme Career progression scheme set up in ICT Councillor Induction and Member Development – and review with Political Group Leaders</p>

Principle 6 - Engaging with local people and other stakeholders to ensure robust public accountability		
Supporting Principles:	Oxfordshire County Council commits itself to:	Evidence that the Council complies with these requirements:
6.1 exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships	6.1.1 make clear to themselves, all officers and the community to whom they are accountable and for what	<p>The Constitution</p> <ul style="list-style-type: none"> o roles of officers o schemes of delegation <p>OCC Emergency Plan</p> <p>Constitution</p> <p>Scrutiny Review</p> <p>Scrutiny Work Programme</p> <p>Scrutiny Annual Report</p> <p>Scrutiny Handbook</p> <p>Oxfordshire Partnership Governance Framework adopted in 2009</p> <p>Council Website – Meetings and Decision Making</p>

	<p>6.1.2 consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required</p>	<p>Health & Wellbeing Board</p> <p>Database of Stakeholders</p> <p>Primary Care Trusts</p> <p>Oxford University</p> <p>Oxfordshire Partnership Governance Framework adopted in 2009</p> <p>Oxfordshire 2030: Sustainable Communities Strategy</p>
	<p>6.1.3 produce an annual report on the activity of the scrutiny function</p>	<p>Council's Annual Report</p> <p>OCC Fire & Rescue Service Annual Report</p> <p>Scrutiny Committees Annual Report</p>
<p>6.2 taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by</p>	<p>6.2.1 ensure clear channels of communication are in place with all sections of the community and other stakeholders, and put in place monitoring arrangements and ensure that they operate effectively</p>	<p>A corporate Communications Strategy guides delivery of external and internal communications through council publications, the internet and intranet sites and the media. The effectiveness of this service is closely monitored and regularly evaluated through surveys and focus groups.</p>

commissioning	6.2.2 hold meetings in public unless there are good reasons for confidentiality.	Constitution Monitoring Officer's Annual Report Forward Plan for Cabinet includes decision which are not 'Key' decisions Delegated decisions taken in public
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	<p>6.2.3 ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognize that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands</p>	<p>Locality Meetings</p> <p>Consultation Team</p> <p>Ask Oxfordshire Consultation & Involvement Strategy and Action Plan</p> <p>Consulting Diversity Guide; Consultation database of community groups.</p> <p>Oxfordshire Voice Citizens Panel</p> <p>MPs Monthly Briefings</p> <p>Locality Working</p> <p>Community-led Plans & Actions</p> <p>The Equality Framework for Local Government; statutory equality schemes; EQIA process</p> <p>Equalities Monitoring for Consultations & Involvement Activities</p> <p>EPU Community Resilience events</p>
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	<p>6.2.4 establish a clear policy on the types of issues on which they will meaningfully consult on or engage with the public and service users, including a feedback mechanism for those consultees to demonstrate what has changed as a result</p>	<p>Ask Oxfordshire Consultation & Involvement Strategy</p> <p>eConsult Portal</p> <p>Council's Annual Governance Statement</p> <p>Statement of accounts</p>
	<p>6.2.5 publish an annual performance plan giving information on the authority's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period</p>	<p>Corporate Plan</p> <p>Oxfordshire County Council publishes a rolling four-year corporate plan on an annual basis, which sets out our vision and priorities; explains our planning framework and links with the Medium Term Financial Plan. The Corporate Plan also reflects on achievements in the previous year.</p> <p>The Statement of Accounts, which is published on the council's website sets out the financial position and results for the council for the relevant year.</p> <p>Narrative statement as required by the Accounts and Audit Regulations 2015</p> <p>External Audit and Inspection Letter</p>

	<p>6.2.6 ensure that the authority as a whole is open and accessible to the community, service users and its officers and ensure 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</p>	<p>Consultation Strategy</p> <p>Access to Information</p> <p>Ask Oxfordshire Consultation & Involvement Strategy</p> <p>Oxfordshire Insite</p> <p>The Council's Website</p>
<p>6.3 making best use of human resources by taking an active and planned approach to meet responsibility to officers</p>	<p>6.3.1 develop and maintain a clear policy on how officers and their representatives are consulted and involved in decision making</p>	<p>HR Strategy</p> <p>Programme of staff research, including staff surveys and staff panel activities</p> <p>Annual Staff conference</p> <p>Appraisal Process</p> <p>Various focus groups are held to “test” policy/process developments and we have various fora involving our unions and officers representative groups.</p>