

**Mountsett Crematorium's Compliance with a Standard Local Governance Code Requirements**

**Annex 5**

Principles	Supporting Principles	Ref	Local Code Requirement (The Code should reflect the requirement for the Council to:	Evidence / Source Documents to demonstrate compliance
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<b>PRINCIPLE 1</b> Focusing on the purpose of the Organisation and on outcomes for the community and creating and implementing a vision for the local area	<b>Exercising strategic leadership by developing and clearly communicating the Organisation's purpose and vision and it's intended outcome for citizens and service users</b>	1.1	Develop and promote the organisations purpose and vision	Corporate Plan	Y
				Service Delivery Plan	Y
				Service Improvement Plans	Y
		1.2	Review on a regular basis the Organisations vision for the local area and its impact on the Organisation's governance arrangements	Corporate Plan	Y
		1.3	Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties	Strategic Partnering Agreement	Y
		1.4	Publish an annual report on a timely basis to communicate the Organisation's activities and achievements, its financial position and performance	Annual Report and Financial Statement	Y
	<b>Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning</b>	1.5	Decide how the quality of services for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available	Corporate Plan	Y
				Performance management framework	Y
				Service Improvement Plans	Y
		1.6	Put in place effective arrangements to identify and deal with failure in service delivery	Complaints Procedure	Y
				Performance management framework	Y
	<b>Ensuring that the Organisation makes best use of resources and that tax payers and service users receive excellent value for money</b>	1.7	Decide how value for money is to be measured and make sure that the authority or partnership has the information needed to review VFM and performance effectively. Measure the environmental impact of policies, plans and decisions	Value for Money Strategy	DCC
				VFM Reviews	N
Benchmarking				Y	
Medium Term Financial Strategy				Y	

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<b>PRINCIPLE 2 Members and officers working together to achieve a common purpose with clearly defined functions and roles</b>	<b>Ensuring effective leadership throughout the Organisation and being clear about executive and non-executive functions and the roles and responsibilities of the scrutiny function</b>	2.1	Set 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 to putting this into practice.	Constitution	DCC
		2.2	Set out a clear statement of the respective roles and responsibilities of other authority members, members generally and senior officers.	Terms of Reference	Y
				Members Code of Conduct	DCC
				Officers Codes of Conduct	DCC
		2.3	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	Scheme of Delegation	DCC
		2.4	Make a Chief Executive or equivalent responsible and accountable to the authority for all aspects of operational management	Constitution	DCC
				Committee Terms of Reference	Y
				Scheme of Delegation	DCC
		2.5	Develop protocols to ensure that the leader and chief executive negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained	Regular Meetings between members and relevant DCC staff	Y
		2.6	Make a senior officer [ the S151 officer / ] responsible to the Organisation for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, for maintaining an effective system of internal control	Director of Resources (CFO) Job Description / Specification	Y
Chief Financial Officer Conditions of Employment	Y				
Annual Accounts	Y				
Budget Documentation	Y				
External Audit Reports	Y				
2.7	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	Company Secretary responsibilities	Y		
		Internal Audit Reports	Y		
		Constitution	DCC		
<b>PRINCIPLE 2 Members and officers working together to achieve a common</b>	<b>Ensuring relationships between the Organisation, it's partners and the public are clear so that each knows what to expect of each other</b>	2.8	Develop protocols to ensue effective communication between members and officers in their respective roles	Regular Meetings between members and relevant DCC staff	Y
		2.9	Set out the terms and conditions for remuneration of members and officers and an effective structure for managing the process' including an effective remuneration panel.	Officers Conditions of Employment	Y
				Constitution	DCC
				Members Conditions of Employment	Y

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purpose with clearly defined functions and roles		2.10	Ensure that effective mechanisms exist to monitor service delivery	Committee Meetings	Y
				Performance management framework	DCC
				Complaints procedure	Y
		2.11	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	Corporate Plan	Y
				Service Delivery Plan	Y
				Service Improvement Plans	Y
				Medium Term Financial Strategy	Y
		2.12	When working in partnership ensure that members are clear about their roles and responsibilities both individually and collectively in relationship to the partnership and to the organisation	Strategic Partnering Agreement	DCC
		2.13	When working in partnership: ensure there is clarity about the legal status of the partnership; - ensure the representatives of organisations both understand and make clear to all other partners the extent of their authority to bind the organisation to partner decisions	Strategic Partnering Agreement	DCC

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<b>PRINCIPLE 3</b> Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour	Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance	3.1	Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect	Code of Conduct	DCC
				Single corporate Equality Scheme	DCC
				Anti Fraud & corruption strategy	DCC
				Equality & Diversity Policy	DCC
		3.2	Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the Organisation, its partners and the community are defined and communicated through codes of conduct and protocols	Officers Code of Conduct	DCC
				Performance Appraisal System	DCC
				Complaints Procedure	DCC
				Single corporate Equality Scheme	DCC
				Equality & Diversity Policy	DCC
				Corporate equality group	DCC
				Competency Policy and Framework	DCC
		3.3	Put 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 put in place appropriate processes to ensure that they continue to operate in practice	"Working Together" Guide spec. Confidential Reporting Code	DCC
				Standing Financial Instructions	DCC
				Single corporate Equality Scheme	DCC
				Corporate equality group	DCC
Code of Practice on racial equality	DCC				
Member Codes of Conduct	DCC				
Officers Codes of Conduct	DCC				
Equality & Diversity Policy	DCC				

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<b>PRINCIPLE 3 Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour</b>	<b>Ensuring that organisational values are put into practice and are effective</b>	<b>3.4</b>	Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations and communicate these with members, staff, the community and partners	Member Codes of Conduct	DCC
				Officers Codes of Conduct	DCC
				Single corporate Equality Scheme	DCC
				Code of Practice on racial equality	DCC
				Corporate equality group	DCC
				Equality & Diversity Policy	DCC
		<b>3.5</b>	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.	Member Codes of Conduct	DCC
				Officers Codes of Conduct	DCC
				Review of Governance arrangements / structure	DCC
				Single corporate Equality Scheme	DCC
				Corporate equality group	DCC
				Equality & Diversity Policy	DCC
		<b>3.6</b>	Develop and maintain an effective standards committee.	No Standards Committee	N/A
				Officers Codes of Conduct	DCC
		<b>3.7</b>	Use the organisations shared values to act as a guide to decision making and as a basis for developing positive and trusting relationships within the authority	Business Plan	Y
				Delivery Plan	Y
Service Improvement Plans	Y				
<b>3.8</b>	In pursuing the vision of a partnership, agree a set of values against which decisions making and actions can be judged. Such values must be demonstrated by partners behaviour both individually and collectively	Strategic Partnering Agreement	DCC		

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<b>PRINCIPLE 4</b> Taking informed and transparent decisions which are subject to effective scrutiny and managing risk	<b>Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny</b>	4.1	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	Standards Committee	N/A
		4.2	Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are made	Strategic Decisions made by the Committee - see minutes	Y
				Format of Committee reports - Standard template	Y
				Minute Book	Y
				Action plan monitored by committee	Y
		4.3	Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice	Risk Register	Y
				Code of Conduct	DCC
	Committee - Terms of Reference			Y	
	4.4	Develop and maintain an effective audit 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	Committee Member Training	DCC	
			Committee Reports	Y	
			Complaints Procedure	DCC	
	4.5	Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints	Performance management framework	DCC	
			Record of Ombudsman complaints	N/A	
			Members Induction Programme	DCC	
Members training and Development Strategy			DCC		
4.6	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 issues and their implications	Risk Register	Y		
		Legal and Financial implications are considered and recorded as part of all decisions and included within all committee reports	Y		
4.7	Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately				

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<b>PRINCIPLE 4</b> Taking informed and transparent decisions which are subject to effective scrutiny and managing risk	<b>Ensuring that an effective risk management system is in place</b>	4.8	Ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognizing that risk management is part of their jobs	Risk management Service	DCC
				Committee Responsibilities	Y
				Risk Management Policy Statement	Y
				Annual assurance statement	Y
				Risk Register	Y
	<b>Using their legal powers to the full benefit of the citizens and communities in their area</b>	4.9	Ensure that arrangements are in place for whistle-blowing to which staff and all those contracting with the authority have access	Whistle Blowing policy	DCC
				Confidential Reporting Code	DCC
		4.10	Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine but also strive to utilise powers to the full benefit of their communities	Terms of Reference	Y
				Specific advice as required	Y
		4.11	Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on local authorities by public law	Legal aspects included in risk assessments as appropriate	Y
				Specific advice as required	Y
				Appropriate job descriptions / specifications	Y
4.12	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 – rationally, legality and natural justice – into their procedures and decision-making processes.	Legal implications in reports	Y		

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<b>PRINCIPLE 5 Developing the capacity and capability of members and officers to be effective</b>	<b>Making sure members and officers have the skills, knowledge, experience and resources they need to perform well in their roles</b>	<b>5.1</b>	Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis	Training & Development Strategy	DCC
				IIP	Y
				Committee member training and development plans	DCC
				Officer training and development plans	DCC
				Induction program	Y
				Training courses / seminars / etc	Y
				One to One appraisals	DCC
		<b>5.2</b>	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	Job descriptions/person specs – Crematorium Superintendent	Y
				Job descriptions/person specs - Treasurer	Y
				Officers training and development plans	DCC
				One to One appraisals	DCC
	<b>Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group</b>	<b>5.3</b>	Assess the skills required by members and officers and make commitment to develop those skills to enable roles to be carried out effectively	Committee member training and development plans	DCC
				Officer training and development plans	DCC
				Training and development strategy	DCC
		<b>5.4</b>	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	Committee Member Annual Appraisals	N
Officers annual appraisals				Y	
Training and development strategy				DCC	
Staff annual training plans				DCC	
Committee member Annual training plans				DCC	
<b>5.5</b>	Ensure that effective arrangements are in place for reviewing the performance of the executive as a whole and of individual members and agreeing an action plan which might, for example, aim to address any training and development needs	Committee Member Annual Appraisals	N		



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<b>PRINCIPLE 5</b> Developing the capacity and capability of members and officers to be effective	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	5.6	Ensure that effective arrangements designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority		N/A
		5.7	Ensure that career structures are in place for members and officers to encourage participation and development	Committee Training and Development Plans	DCC
				Officer Training and Development Plans	DCC
				Succession planning arrangements	N
				Committee Succession Planning Arrangements	N
Training and development strategy	DCC				

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<b>PRINCIPLE 6</b> Engaging with local people and other stakeholders to ensure robust public accountability	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	Make clear to themselves, all staff and the community to whom they are accountable and for what	Committee	Y
		6.2	Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required	Surveys	N
				Publications	Y
				Web-site	Y
				Committee Meetings open to the public	Y
		6.3	Produce an annual report on the activity of the scrutiny function	Scrutiny function	N/A
		6.4	Ensure that clear channels of communication are in place with all sections of the community and other stakeholders and put in place monitoring arrangements to ensure that they operate effectively	Publications	N
				Web-site	Y
				Committee Meetings open to the public	Y
		6.5	Hold meetings in public unless there are good reasons for confidentiality	Committee Meetings open to the public	Y
		6.6	Ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands.	Citizens / customer Panel	N
				Focus Groups	N
				Customer Involvement Compact	N
				Surveys,	N
Publications	N				
Web-site	Y				
<b>PRINCIPLE 6</b> Engaging with local people and other stakeholders to ensure robust public accountability	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 commissioning	6.7	Establish 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.	Access & Customer Care Strategy	DCC
		6.8	On an annual basis, publish a performance plan giving information on the authority's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and satisfaction of service users in the previous period	Delivery Plan	Y
				Terms of Reference	Y
		6.9	Ensure that the Organisation as a whole is open and accessible to the community, service users and its staff to 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	Equality & Diversity Policy	DCC
Annual Governance Statement	Y				

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			proper and appropriate to do so.	DPA Policy	Y
	<p><b>Making best use of human resources by taking an active and planned approach to meet responsibility to staff.</b></p>	6.10	<p>Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making</p>	FOI Policy	Y
				Publication Scheme	Y
				Union Meetings inc Board Representation	N
				Training and development strategy	DCC
				Management of Change	DCC
				HR Strategy	DCC
				Team Meetings	DCC
				One to One appraisals	DCC