Statutory Requirements

This statement has been produced in accordance with the requirements of regulation 4(2) and 4(3) of the Accounts and Audit Regulations 2003 as amended by the Accounts and Audit (amendment) (England) Regulations 2006, 2011 and 2015.

Scope of Responsibility

Kettering Borough Council (the Council) is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, used economically, efficiently and effectively. The Council also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.

In discharging this overall responsibility, the Council is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, which includes arrangements for the management of risk. The Council's Annual Governance Statement has been prepared on behalf of the Responsible Finance Officer and reviewed by the Corporate Governance Group before being submitted to the Monitoring and Audit Committee. This formed our review of the effectiveness of the Governance Framework in place at the Council.

The Council operates an assurance framework which is consistent with the principles of the CIPFA/SOLACE Framework, *Delivering Good Governance in Local Government* and also meets the requirements of regulation 4(2) of the Accounts and Audit Regulations 2003 as amended by the Accounts and Audit (amendment) Regulations 2006, 2011 and 2015 in relation to the publication of a statement on internal control.

The Council's Corporate Governance Framework

The governance framework comprises the systems and processes, and culture and values, by which the Council is directed and controlled and its activities through which it accounts to, engages with and leads with the community. It enables the Council to monitor the achievement of its strategic objectives via appropriate, cost effective services.

The system of internal control is a critical part of that framework and is designed to manage risks to a reasonable level. It does not eliminate all risks of failure to achieve policy objectives but it does try to provide assurance of effectiveness to a reasonable level.

The system of internal control is based on an ongoing process designed to identify and prioritise risks, to evaluate their likelihood and their potential impact. The process also identifies ways of mitigating individual risks.

This governance framework has been in place for the year ended 31 March 2016 and up to the date of approval of the Statement of Accounts.

ANNUAL GOVERNANCE STATEMENT

There are six key principles that underpin the Council's corporate governance arrangements;

1. ***The Council will focus on its agreed purpose and on outcomes for the community to create and implement a vision for the local area.***

The Council's Sustainable Place Making Strategy has four key themes which set out the vision and corporate objectives the Council is delivering against for the local area. Initially adopted in 2008 and updated in 2013 the themes include:

- Sustainable Communities
- Customer Service
- Environment
- Community and Rural Issues

Each service area within their operational Service Plan clearly identifies what they have delivered and sets out their aims and objectives for the coming year and how they link to the delivery of the key themes.

The Service Plans also detail how this will be achieved including:

- the financial resources required to efficiently deliver these objectives
- how customers have been consulted on changes to services or new initiatives
- service standards that will be maintained whilst delivering the service
- assessment of potential operational risks and mitigation of these
- performance delivery and sickness information

Service Plans are used to record and set out how the Corporate Objectives will be delivered; these are reviewed annually.

To ensure delivery of the Service Plans each service area reports to the Senior Management Team on a monthly basis. A summary performance clinic document is produced for each service area and this provides the opportunity to review and challenge performance, budget, sickness, project delivery and risk management for the service.

In addition to individual service area monitoring, a Key Performance Information Booklet is produced and presented to Monitoring and Audit Committee on a quarterly basis. This provides Members with the opportunity to assess performance and scrutinise delivery against the council priorities:

www.kettering.gov.uk/meetings/committee/10/monitoring_and_audit_committee

The Council undertakes a consultation as part of its budget process which starts at the Executive Committee mid-January each year for around six weeks, during which specific events are held in the community and scrutiny is received through the Committees and geographical forums. It concludes at Full Council when the Council Tax is set:

www.kettering.gov.uk/meetings/committee/31/budget_council_tax_consultation

These meetings provide opportunity for residents of the Borough to ask questions.

The Council's Medium Term Strategy is approved annually by Full Council at the same time Council Tax levels are set. The foundations of the Medium Term Financial strategy are the 'guiding principles', 'modelling for recovery' principles and 'budget containment strategy', and the 'Prioritisation Golden Rules'.

The 'guiding principles' have been instrumental in helping the Council deliver a balanced budget over the past six years. The principles discourage the use of one-off reserves to balance the budget in favour of more sustainable methods, like proactive budget management, ongoing efficiency savings and attracting external funding.

The Council has recognised that as a major economic engine in the Borough it has an important role as a stimulus for the economy and as support to other local businesses. The Council endorsed a set of counter cyclical 'modelling for recovery' principles. The principles were designed to help the Council continue to invest in both infrastructure and services and to help achieve its major objectives of higher grade higher density jobs, better town centres and better education offer.

A further set of principles for managing the impact of changes made externally and outside the control of the Council were introduced. This was termed the 'budget containment' strategy.

More recently the Council adopted a fourth set of principles termed 'Prioritisation Golden Rules' which focus towards commercial and strategic investments.

These strategies are specifically aimed at ensuring services for local communities continue to reflect their current needs. The Council's decision making process ensures that when Members make decisions, they are aware of the community impacts of decisions through the consideration of professional officer advice.

This involves working in partnership with local businesses; some of the initiatives include offering Job Fairs for employers, training providers and job seekers.

Kettering Borough Trainers also offers work experience placements and volunteering opportunities, to provide real life work projects.

The Council is committed to supporting the development of local businesses and young people in the community by providing the highest quality training, support and guidance. This is provided through our in-house training specialists, Kettering Borough Training. It aims to support apprenticeships and foundation learning programmes as a valid alternative to full-time education and to develop the skills of young people and encourage them to achieve their full potential to meet local employment opportunities.

The Council's planning process is clearly linked to corporate objectives and takes into account the views of residents and stakeholders through a number of different mechanisms (including individual consultation meetings, residents' panel, tenants' forum, geographical forums and budget consultations). Examples include consultations with local businesses on proposals for the improvement of the public realm and traffic access in the town centre, residents parking schemes, the East Kettering development and associated junction improvements plus a whole range of activities.

The Executive Committee receives a monthly report on the Council's budget position; 'The Durable Budget Report'. The report considers the main issues that are likely to impact on the Council's financial position in the medium term. The report also highlights emerging issues facing the Public Sector such as changes to funding regimes for local authorities, and the impact of changes in legislation which may exert additional future financial pressures on the Council and its services.

As a result of the budget pressures, partnership working has become more important. Excellent arrangements have been made with a wide range of partners, both within the Council and externally, to help make sure that residents can access a comprehensive and seamless services. Our partners include Northamptonshire County Council, the Police and Crime Commissioner for Northamptonshire and Fire Services, Kettering General Hospital NHS Foundation Trust, HM Revenue and Customs and a range of voluntary sector organisations.

The Council has a well-established and robust system of dealing with complaints:

www.kettering.gov.uk/site/scripts/documents_info.php?categoryID=353&documentID=193

The Council has also achieved the Government Customer Service Excellence Standard for its Customer Services operation for the last 6 years. There is a long history of delivering effective, customer focussed services through a wide range of access channels which include customer service centres in Kettering, the three major A6 towns, website, telephone response centre and email.

2. Members and Officers will work together to achieve the agreed purpose with clearly defined functions and roles.

Following the implementation of the Local Government Act 2000, the Council introduced a model Constitution. The Constitution was last formally reviewed during 2007/08 and has been updated in response to changes in legislation. The Constitution was subject to a further review in 2013/14 to take into account the changes introduced by the Localism Act 2011. It includes all the necessary elements to promote good corporate governance, and good working arrangements between Officers and Members.

The Constitution sets out roles and responsibilities of committees, Members and Officers (including the statutory responsibilities and the Head of Paid Service, Monitoring Officer, and Statutory Finance Officer) together with codes of conduct and responsibilities:

www.kettering.gov.uk/site/scripts/documents_info.php?documentID=270

The Council's policies are easily accessible to employees and members via the intranet.

The Council's Statutory Officers have an input into all reports that are considered by Full Council, Executive and Scrutiny committees to ensure that any issues of governance are considered and either addressed or highlighted.

At meetings Councillors decide the Council's overall policies and set the budget each year. These meetings are normally open to the public, and provide local people with an opportunity to address the Council on matters under discussion.

The Executive is the committee of the Council that is responsible for making key policy decisions, within the framework and budget set by the Full Council. The Executive publishes a monthly work programme of the decisions it will be taking so that other Councillors and local people know what will be decided and when. The Executive has to ask Full Council to approve decisions if they are outside the budget or policy framework.

There are two scrutiny committees that are charged with challenging and assisting with policy formulation. The Scrutiny Committees may also appoint Task and finish groups to support the scrutiny function. Examples include the voluntary sector Task and Finish group which consider the allocation of grant funding to voluntary organisations. In addition there are regulatory committees including Planning and Licensing which take decisions on applications for planning permission and taxi and liquor licences respectively and the Standards Advisory Committee which considers complaints made against Councillors under the Code of Conduct and promotes and maintains high standards of conduct by Councillors.

The Senior Management Team supports all Councillors and provides advice to members on policy options and implications. The Council uses a report format which ensures that all relevant issues are considered including the legal and resource implications.

The Members' role in monitoring service delivery can be illustrated by the use of the key performance information booklet, the allocation of portfolios to Executive Members based on the Council's functions and the consideration of external audit and internal audit reports by the Monitoring and Audit Committee.

The Corporate Management Team (CMT) and the Senior Management Team (SMT) meet regularly to develop policies that are in line with the Council's aims and priorities.

CMT and SMT monitor the progress of key council projects and also consider internal control issues such as performance management, risk management and efficiency.

3. The Council will promote the values of good governance and demonstrate high standards of conduct and behaviour.

The Council Constitution sets out a Member Code of Conduct and the terms of reference for the Standards Advisory Committee:

www.kettering.gov.uk/downloads/download/488/constitution_5p

The Constitution also includes the Officer/ Member Protocol and Staff Code of Conduct, both of which clearly outlines acceptable behaviour and lays down guidance for dealing with non-compliance.

High standards of conduct are expected from Members and Officers throughout the Council. These standards are articulated in the Member Code of Conduct and the Staff Code of Conduct. Standards are promoted in the induction training for both Officers and Members. The Standards Advisory Committee monitors Members' compliance with the Code of Conduct and will investigate complaints of misconduct, taking reports and advice from the Statutory Officers Group established under the arrangements made under the Localism Act 2011 to deal with complaints against Councillors.

Officers are expected to observe the staff code of conduct as detailed in the Council's constitution. Training sessions are provided for staff and members as part of their induction.

The Council operates a confidential 'Whistle-Blowing' policy. The Council is committed to act with integrity and any wrongdoing by Councillors or staff is treated very seriously. The Constitution sets out the procedures for 'Whistle Blowing' and it is available to all members and staff on the intranet. There is also guidance available on notice boards to raise awareness. The Whistle Blowing Policy is in the process of being updated to take into account the recent changes in legislation.

To ensure compliance with the Financial Regulations set out in the Constitution the Council has designated the Deputy Chief Executive as the Chief Finance Officer in accordance with Section 151 of the Local Government Act 1972. The role is supported through a robust system of financial management.

The Council's financial management arrangements conform with the governance requirements of CIPFA's '*Statement on the Role of the Chief Financial Officer in Local Government (2010)*' as set out in the application note to '*Delivering Good Governance in Local Government*'.

The Council's Internal Audit service is provided by Coventry and Warwickshire Audit Services (CWAS). Internal audit looks at how the council manages its risks. It provides the Strategic Management Team and Members with information about whether risks have been identified, and how well they are being managed. Much of Internal Audit's work is focused on Reputational, Operational and Strategic Risks. It also gives an independent opinion on whether internal controls (such as policies and procedures that are in place to manage these risks) are actually working as intended.

4. The Council will make informed and transparent decisions, which are risk assessed and effectively scrutinised.

The Council's Constitution sets out the rules and regulations for the conduct of its business to ensure efficiency, transparency and accountability to the residents of the Borough.

The Council has two scrutiny committees – one is effectively 'forward looking' (Research & Development Committee), and one 'backward looking' which looks at performance and audit based issues (Monitoring and Audit).

Monitoring and Audit perform the function of an Audit Committee and regularly receive reports from both internal and external audit (including audit plans, review of internal audit, annual audit letter).

The Council also recognises the importance of annually reviewing both policy and strategy statements to ensure the Council's approach to risk is robust and up to date. The risk management policy statement was updated in November 2015. Risk Management is an inherent element of the Council's Key Performance Information booklet that is presented to the Monitoring and Audit Committee on a quarterly basis.

The management of strategic risk is a critical factor in the successful delivery of services, use of resources and decision making. In underpins good corporate governance and assists management in fulfilling their corporate responsibilities.

Member decision making takes place after the proper consideration of Officer reports and advice including professional advice being given at Committee meetings and Council.

Each year the Internal Audit Service produces a report summarising the work they have carried out in the year and provides an overall opinion on the level of internal control based on the work they have undertaken (see section 6).

5. The Council is committed to developing the capacity and capability of its Members and Officers.

The Council has very strong and robust arrangements in place at both Member and Officer level.

At Member level, the Member Development Group comprising of five Councillors representing all political parties assesses and guides the training requirements of Members. Induction training, regular Member information sessions, training for committee chairs, and external training is provided. In addition the Council was re-accredited with the Member Development Charter in November 2014 for its Member training and development arrangements. The Council will seek further re-accreditation in early 2018.

Training needs of all staff relating to service specific or professional development requirements are identified through the Personal Review and Development Scheme and through Service Plans. Training is provided using the corporate training budget.

At Officer level the Council has devised a learning and development plan, this is to ensure that our resources for learning and development are focused and relevant, offering value for money and effectiveness. Training courses continue to be made available to all staff in the 'Art of Being Brilliant'. This course focuses on the society we work in today and how to adjust to the changes. The workshop uses cutting edge research. The aim of the course is to help understand how to be yourself, brilliantly, to be able to apply these principles in work, to get better results from people around you, to achieve more and to find ways of inspiring others.

The learning and development plan has been developed to provide the following:

Relevance: learning and development provision will meet new opportunities and challenges for the Council and the Council's services.

Alignment: learning and development is aligned to the Council's culture, priorities and key strategies.

Measurement: evaluating the cost and impact of learning and development and the extent to which expectations have been met.

The Council's strategy for learning and development is as follows:

- To identify and maximise potential within the organisation, offering opportunities for learning and development through temporary assignments, projects and secondments.

- To provide support for performance improvement and management.

- Develop skills and experience in the local community through our work opportunities for apprenticeships, internships volunteering and work experience.

The Council's culture encourages a one team approach, an open and engaged workforce, spotting and developing talent, proactively celebrating success (staff awards ceremony), innovation, enterprise and vision and horizon-scanning.

6. The Council will actively engage with local people and other stakeholders to ensure robust public accountability.

Council and Committee meetings are open to the public with agendas and minutes being publicly available on the Council's website. The public are also given the opportunity to speak and the Council operates a right to speak policy.

The Council is also required to publish data on the Council website in relation to spend on goods and services over £500; this demonstrates increased transparency and accountability in local government.

The Council annually produces a Council Tax Leaflet which is available on the Council's website.

http://www.kettering.gov.uk/downloads/file/7067/the_councils_budget_201617

The leaflet contains details of the Council's income and expenditure for the coming year and changes to the budget from the previous year.

The Council uses a number of communication channels with residents, which include:

- individual consultation meetings,
- on line consultations on the Council website,
- press releases,
- residents' panel,
- tenants' forum,
- leaflets, displays and screens at customer service centres,
- a presence at community events such as the Carnival and network events such as the Local Strategic Partnership (LSP).
- feedback from residents on current and planned council activity, demonstrating transparency and accountability.
- Individual Councillor surgeries

Furthermore, the Council produces 'Connect' which is a quarterly newsletter for Council tenants and leaseholders. The Council's website is also regularly updated highlighting the issues the Council is wishing to promote, introduce and consult on.

Review of Effectiveness

Kettering Borough Council has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of the effectiveness is informed by the work of the internal auditors and the management team within the Council who have responsibility for the development and maintenance of the governance environment, and also comments made by the external auditors.

The Council is responsible for ensuring that financial management is adequate and effective and that there is a sound system of internal control that is regularly reviewed. As such, it agrees the Corporate Objectives and the Financial Strategy - these form an integral part of the Council's Corporate and Service Planning Process (and effectively the backbone for the Council's performance management arrangements).

The arrangements continue to be regarded as fit for purpose in accordance with the governance framework.

CWAS – Coventry and Warwickshire Audit Services provides an internal audit service to the Council and gives assurance to management on the adequacy of system controls and where necessary recommendations for improvement.

CWAS has assessed the Council's system of internal control and has provided an opinion on the overall adequacy and effectiveness of the Council's internal control environment during 2015/16 as being 'significant' in respect of the core financial systems.

CWAS have been responsible for delivering the internal audit service from April 2012 for an initial period of 3 years. This was extended for a further 2 years. The internal audit contract from April 2017 will be subject to a procurement process.

An audit report is produced following each completed audit and discussed with the appropriate level of Management within the Council. Every report contains a Management Implementation Plan that details the recommendation made for each audit finding, the priority, manager responsible and agreed implementation date. Internal audit also assess the effectiveness of the controls that are in place for key systems and report these to Monitoring and Audit Committee via the key information booklet.

The Internal Audit plan for 2015/16 was delivered in full.

The Council's Constitution clearly defines the roles and responsibilities of the Chief Executive (as Head of Paid Service), the Head of Legal and Democratic Services (Monitoring Officer) and the statutory Responsible Finance Officer.

We have been advised on the implications of the result of the review of effectiveness of the governance framework by the Monitoring and Audit committee, and that arrangements continue to be regarded as fit for purpose in accordance with the governance framework.

ANNUAL GOVERNANCE STATEMENT

The following table outlines the key elements and roles within the overall assurance framework;

KEY ROLES & RESPONSIBILITIES	
Body:	**Comments:**
Internal Audit (via CWAS)	Has a strategic three year plan that is broken down into an annual audit plan that has been constructed using a 'risk based' approach to help the Council's statutory finance Officer discharge their duties. Audit reports contain an action plan agreed by management, split between priority type together with an assessment of the internal control environment pre and post the implementation of the agreed recommendations. Audit reports are then followed up to ensure agreed action has been taken.
External Audit	Undertakes an annual review based upon the agreed audit plan for the year (to meet statutory requirements). The resultant Annual Audit Letter identifies any areas of internal control that require action together with identifying any continuing trends from the previous year. • Provides an audit opinion on the Council's Accounts. • Provides a report on the certification of grants and returns. • Provides a Financial Statement Audit Plan.
Management Team: Senior Management Team	Reviews and advises the Council on issues of strategy and policy and also receives weekly reports (on a rolling basis) of performance information (including financial information) from each Service Unit in the form of a 'performance clinic'. Receives high-level key budgetary control statements every month prior to being submitted to Committee. Preparation and presentation of committee reports to Members.
Corporate Management Team	Collectively reviews budgetary and performance information on a weekly basis in addition to dealing with individual audit reports for their area. Preparation and presentation of committee reports to Members. Responsible for the updating and ongoing monitoring of Service Plans together with the links to Corporate Priorities.
Statutory Officers: Head of Paid Service	The Council's Chief Executive is the Council's Statutory Head of Paid Service.
Monitoring Officer	The Council has a qualified solicitor who acts as the Council's Monitoring Officer. The key role of this post is to ensure that the Council always acts within the law and takes reasonable measures to properly protect itself from possible litigation issues.
Responsible Finance Officer	In accordance with s151 of the Local Government Act 1972 the Council has a suitably qualified Officer in place that is responsible for the overall financial affairs of the Council.

KEY ROLES & RESPONSIBILITIES	
Body:	**Comments:**
Committee / Member Arrangements:	
Full Council	Has overall responsibility for the approval of policy and strategy changes (new and existing) together with the Council budgets, Statement of Accounts and Corporate Plan.
Executive Committee	Receives policy and strategy information (incl. budget) together with any issues that need to be referred to it as per the Council's Constitution (incl. Financial Regulations).
Monitoring & Audit Committee	Receives monitoring information on the work of internal audit (and any significant issues), Key performance information (incl. financial), the Annual Audit Letter, and the Audit Plan.
Standards Advisory Committee	Responsible for things such as the Members' Code of Conduct 'whistle blowing policy', Member and Officer protocols and Conduct.
Research & Development Committee	Performs an overview and scrutiny role in relation to the Council's annual budget, medium term financial strategy, planning policies, community plan, housing improvement plan and crime and disorder reduction strategy.

More specific detail on the above can be seen by reference to the detailed analysis in Annex 1.

Governance Issues

In the Council's Internal Audit report for 2015/16 an overall 'Significant' level of assurance has been given for the system of internal control based upon the work completed during the year. This means that *'all key controls are in place and are working effectively, but there are some reservations in connection with the operational effectiveness of some key controls'*. There is predominately a low exposure to business risk, although some weaknesses do exist. The Council continues to address control weaknesses identified during audits.

CWAS did not highlight any issues that should be regarded as 'Significant Internal Control Issues' that would require disclosure within the Council's AGS.

ANNUAL GOVERNANCE STATEMENT

Name	Position	Signature	Date
G Soulsby	Responsible Finance Officer		June 2016
D Cook	Chief Executive		June 2016
Cllr R Roberts	Leader of the Council		June 2016

ANNUAL CORPORATE GOVERNANCE STATEMENT 2015/16 – ANNEX 1

1. Focusing on the purpose of the Council and on outcomes for the community and creating and implementing a vision for the local area.		
Good Practice Requirements	*Evidence Base and assessment*	*Other Information / Action*
a) Develop and promote the Council's purpose and vision	Corporate and Service Planning Process Individual Service Unit Plans Sustainable Community Strategy Sustainable Place Making Priorities Local Development Framework Community Safety Plan KBC Improvement Plan	The Strategic vision of the Council will continue to be consistently reported via the various plans produced and co-ordinated by the Corporate Services Team. Responsible Officer: Head of Corporate Development and Head of Corporate and Cultural Services Timescale: Ongoing
b) Review on a regular basis the Council's vision for the local area and its impact on the Council's governance arrangements	Council Constitution Monitoring and Audit Committee Consultations	Responsible Officers: Senior Management Team, Head of Resources & Head of Democratic & Legal Timescale: Ongoing
c) Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties	Sustainable Community Strategy Partnership Protocols LSP Terms of Reference KBC Improvement Plan	Further work required on partnership protocol/agreement. Responsible Officer : Head of Democratic & Legal Head of Corporate and Cultural Services Timescale: Ongoing

Good Practice Requirements	Evidence Base and assessment	Other Information / Action
d) Publish an annual report on a timely basis to communicate the Council's activities and achievements, its financial position and performance	Committee Reports Performance Information Booklet Annual Statement of Accounts Service Plans Medium Term Financial Strategy & Budget Model Durable Budget Reports	Given the variety of information available in other formats and the associated cost the Council does not feel that a separate Annual Report is necessary at this time.
e) 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 available.	Performance Indicators Data Quality Checks Customer Satisfaction Surveys Tenants Forum Corporate Improvement Plan & Service Plans	The Council still maintains the same level of data quality processes to when it was previously assessed and carries out spot checks on performance data to check accuracy levels. Responsible Officer: Head of Corporate and Cultural Services Timescale: Ongoing
f) Put in place effective arrangements to identify and deal with service failure	Monthly performance clinics SMT Weekly Meetings Key Performance Information Booklet Reporting Customer Surveys Complaints procedure Monthly Committee report on higher risk areas	Senior Management Team, via the Performance Clinic process, facilitates improvement when it is deemed necessary.
g) Decide how value for money is to be measured and make sure that the Council has the information needed to review VFM and performance effectively. Measure the environmental impact of policies, plans and decisions.	Performance Indicators Analysis of National PI Data and Comparisons Performance plans	The Council continues to explore its benchmarking activities. Responsible Officer: Head of Corporate and Cultural Services Timescale: Ongoing

2. Members and Officers working together to achieve a common purpose with clearly defined functions and roles.		
Good Practice Requirements	**Evidence Base and assessment**	**Other Information / Action**
Set out a clear statement of the respective roles and responsibilities of the Executive and of the Executive's Members individually and the Council's approach towards putting this into practice. Set out a clear statement of the respective roles and responsibilities of other Members and Senior Management.	Council Constitution (incl. Members Code of Conduct, Scheme of Delegation) Records of decisions Job Descriptions	Responsible Officer : Head of Democratic & Legal Timescale: Ongoing
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 Council, taking account of relevant legislation, and ensure that it is monitored and updated when required.	Council Constitution	Responsible Officer : Head of Democratic & Legal Timescale: Ongoing
Make a Chief Executive or equivalent responsible and accountable to the Council for all aspects of operational management	Council Constitution (incl. scheme of delegation) Statutory provisions Conditions of employment Job description	Responsible Officer: Head of Resources and Head of Democratic and Legal Timescale: Ongoing
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 Regular Cabinet / SMT Meetings	Responsible Officer : Senior Management Team Head of Democratic & Legal and Head of Resources Timescale: Ongoing
Make a senior Officer (the s151 Officer) responsible to the Council 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 control.	Council Constitution S151 responsibilities Statutory provisions Statutory reports Budget documentation Job description	Responsible Officer: Head of Democratic & Legal and Head of Resources Timescale: Ongoing
Make a senior Officer (usually the monitoring Officer) responsible to the Council for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with.	Council Constitution Monitoring Officer provisions Statutory provisions Job description	Responsible Officer: Head of Democratic & Legal and Head of Resources Timescale: Ongoing

Good Practice Requirements	Evidence Base and assessment	Other Information / Action
Develop protocols to ensure effective communication between Members and Officers in their respective roles	Council Constitution (Member / Officer protocol) Member Code of Conduct Member Training Sessions Media Protocol	Responsible Officers : Head of Democratic & Legal and Head of Corporate and Cultural Services Timescale: Ongoing
Set out terms and conditions for remuneration of Members and Officers and an effective structure for managing the process.	Members Allowances are reviewed and recommended to Full Council by an independent remuneration panel in accordance with the legislation.	Responsible Officer: Head of Democratic & Legal Timescale: Ongoing
Ensure effective mechanisms exist to monitor service delivery. 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.	Key Performance Information Booklet Weekly Performance Clinics Corporate Planning Process Budget Process Customer Surveys Tenants Forum Council Website	The communication, dialogue and partnership working that are delivered by the various panels and booklets produced ensure service delivery is aligned with and consistently strives to meet local need.
When working in partnership ensure that Members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the Council. When working in partnership: Ensure that there is clarity about the legal status of the partnership; Ensure that representatives or organisations both understand and make clear to all other partners the extent to their Council to bind their organisation to partner decisions.	Protocols for each partnership Work on indemnities and liabilities (through Monitoring and Audit Committee)	CWAS the internal auditors are assisting the Council improve its approach. Responsible Officer: Head of Resources & Head of Corporate and Cultural Services Timescale: Ongoing

3. Promoting values for the Council and demonstrating the values of good governance through upholding high standards of conduct and behaviour.		
Good Practice Requirements	**Evidence Base and assessment**	**Other Information / Action**
Ensure that the Council's leadership sets a tone for the organisation by creating a climate of openness, support and respect	Council Constitution Whistleblowing Policy Member Code of Conduct Regular Staff Sessions Core Brief	Responsible Officers: Senior Management Team Timescale: Ongoing
Ensure that standards of conduct and personal behaviour expected of Members and staff, of work between Members and staff and between the Council, its partners and the community are defined and communicated through codes of conduct and protocols.	Code of conduct Performance appraisals Complaints procedure Anti-fraud and corruption policy Member / Officer protocols Staff briefings Core Brief	Responsible Officers : Senior Management Team, Head of Democratic & Legal and Head of Resources Timescale: Ongoing
Put in place arrangements to ensure that Members and employees of the Council 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.	Codes of conduct Financial regulations Contract Procurement Rules Staff & Member Training	Through various Member training, management away days and several Officer groups, codes of conduct and rules that must be followed are regularly communicated. Responsible Officers: Head of Resources & Head of Democratic & Legal Timescale: Ongoing

Good Practice Requirements	Evidence Base and assessment	Other Information / Action
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.	Constitution Codes of conduct Policies and Procedures Team Meetings	It is important that whoever communicates on behalf of KBC that it is undertaken in accordance with the codes of conduct currently in place. Responsible Officers: Head of Resources & Head of Democratic & Legal Timescale: Ongoing
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.	Codes of conduct Adoption of Arrangements for dealing with standards allegations under the Localism Act 2011.	Responsible Officers: Senior Management Team, Heads of Service, Statutory Officers Group, Head of Resources & Head of Democratic & Legal Timescale: Ongoing
Develop and maintain effective procedures to maintain high ethical standards.	Council Constitution Standards Advisory Committee established with a majority of Independent Members. Independent Person appointed under Localism Act as part of the Member complaints process.	Responsible Officers: Statutory Officers Group & Head of Democratic & Legal Timescale: Ongoing
Use the organisations shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the Council.	Council Constitution Decision making practices	Responsible Officers: Senior Management Team Timescale: Ongoing
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.	Protocols for partnership working	CWAS the internal auditors are assisting the Council improve its approach. Responsible Officers: Head of Corporate and Cultural Services, and Senior Management Team. Timescale: Ongoing

4. Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.		
Good Practice Requirements	**Evidence Base and assessment**	**Other Information / Action**
Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the Council's performance overall and that of any organisation for which it is responsible.	Council Constitution Two scrutiny Committee (agendas, reports, minutes)	It is important that sufficient detail, dialogue and information are made available to ensure the appropriate robust review of service delivery is being achieved. Responsible Officers: Senior Management Team, Head of Resources & Head of Democratic & Legal Timescale: Ongoing
Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based.	Decision making protocols Record of decisions Minutes Internet	The ability to evidence the decision making process, particularly budgets, is critical in order that progress and performance can be measured and reviewed. Responsible Officers: Head of Resources & Head of Democratic & Legal Timescale: Ongoing
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.	Council Constitution Members and Officers code of conduct	Adequate Member/Officer training is put in place to identify their responsibilities and duties. Responsible Officers: Head of Resources & Head of Democratic & Legal Timescale: Ongoing
Good Practice Requirements	**Evidence Base and assessment**	**Other Information / Action**

Develop and maintain an effective Audit Committee which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the functions of such a committee.	Terms of reference of Monitoring & Audit Membership Member training Agendas, reports and minutes	Responsible Officer: Head of Resources & Head of Democratic & Legal The Monitoring and Audit Committee is set up and working well.
Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints.	Corporate Complaints procedure Arrangements for dealing with Standards Allegations under the Localism Act 2011	Responsible Officers: Head of Customer Services & Head of Democratic & Legal Timescale: Ongoing
Ensure that those making decisions whether for the Council or the partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and other implications.	Members induction programme Training for committee chairs Briefings and reports Internet / intranet Professional advice	The partnership arrangements continue to be developed. Responsible Officers: Senior Management Team, Head of Resources & and Head of Democratic & Legal Timescale: Ongoing
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.	Statutory Officers involvement in report process Committee Reports SMT / CMT discussions Record of decisions	Responsible Officers: S151 Officer, Head of Resources & Head of Democratic & Legal Timescale: Ongoing
Ensure that risk management is embedded into the culture of the Council; with Members and managers at all levels recognising that risk management is part of their jobs.	Performance Management Framework Key Performance Information Booklet (and committee reporting) Risk Management Strategy and Policy Financial regulations / standards Members and Officer induction training	Responsible Officers: Head of Resources Timescale: Ongoing

Good Practice Requirements	*Evidence Base and assessment*	*Other Information / Action*

Ensure that arrangements are in place for whistle-blowing to which staff and all those contracting with the Council have access.	Whistle-blowing policy	Responsible Officer: Head of Resources Timescale: Ongoing
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.	Council Constitution Monitoring Officer provisions Statutory provisions Professional Advice	Responsible Officer: Head of Democratic & Legal Timescale: Ongoing
Observe all specific 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.	Council Constitution Monitoring Officer provisions Statutory provisions	Responsible Officer: Head of Democratic & Legal Timescale: Ongoing
5. Developing the capacity and capability of Members and Officers to be effective.		

Good Practice Requirements	Evidence Base and assessment	Other Information / Action
Provide induction programmes tailored to individual needs and opportunities for Members and Officers to update their knowledge on a regular basis	Induction programme Update courses / information Training and development plan Members Information Evenings Members Information Bulletin Member Development Charter (Award)	The Council is one of a few local authorities that have been awarded commendation for its Member Development Programme through the award of the Member Development Charter National award. This was re-assessed in 2014 with the Council again maintaining its standard.
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 Council.	Council Constitution Robust Recruitment Arrangements Continuing Professional Development Involvement in national interest bodies and groups Performance Appraisal System Membership of top management team	Responsible Officer: Head of Resources Timescale: Ongoing.

Good Practice Requirements	Evidence Base and assessment	Other Information / Action
Assess the skills required by Members and Officers and make a commitment to develop those skills to enable roles to be carried	Training and development plan Annual Appraisals and training	This is effectively undertaken by the Council's annual

out effectively.	Council Awards Member Development Group established to oversee member training Member Development Skills Portal –web based skills assessment tool	appraisal system and training development programme. Member PDR process. Member skills assessment portal implemented to identify members development needs. Responsible Officer: Head of Resources & Head of Democratic & Legal Timescale: Annually
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.	Training and development plan Ongoing Member Training Programme Continuing Professional Development Commitment to being a 'learning organisation' Investors in People Award	The changing demands placed on Kettering Borough Council ensure constant review of the skills, experience and qualifications of both its Members and staff. Responsible Officer: Senior Management Team Timescale: Ongoing
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 or development needs.	Performance management system Key Performance Information Booklet Corporate Improvement Plan Appraisals Member Development Charter (award)	Responsible Officer: Senior Management Team, Head of Democratic & Legal, Head of Corporate and Cultural Services and Head of Resources Timescale: Ongoing
Good Practice Requirements	*Evidence Base and assessment*	*Other Information / Action*
Ensure that effective arrangements designed to encourage individuals from all sections of the community to engage with,	Strategic partnership framework Geographical Forums (stakeholder based)	Heads of Service in their daily contact with stakeholders of

contribute to and participate in the work of the Council.	Consultation events and promotions Tenants Forum	Kettering Borough Council encourage active engagement. Responsibility is shared between Corporate and Senior Management Teams and is constantly being undertaken.
Ensure that career structures are in place for Members and Officers to encourage participation and development.	Member Development Charter Annual appraisal system Next Steps Review and new structures implemented	This is embedded within the roles of the Heads of Service and is undertaken annually with staff via their appraisals and when Next Steps is implemented. Responsible Officers: Senior & Corporate Management Teams Timescale: Ongoing

6.Engaging with local people and other stakeholders to ensure robust public accountability		
Good Practice Requirements	*Evidence Base and assessment*	*Other Information / Action*
Make clear to themselves, all staff and the community to whom they are accountable and for what. Consider those institutional stakeholders to whom the Council is accountable and assess the effectiveness of the relationships of any changes required.	Corporate and Service Planning Process Information leaflets (Council Tax Leaflet etc.) Members Financial Handbook Community strategy LSP structure Committee Reports	Responsible Officer: Senior Management Team Heads of Service Timescale: Ongoing
Produce an annual report on the activity of the scrutiny function	Work Programmes and Constant Review	Each scrutiny committee has a rolling work programme that is considered / reviewed at each meeting. Responsible Officer: Deputy Chief Executives Timescale: Ongoing
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. Hold meetings in public unless there are good reasons for confidentiality. Ensure that arrangements are in place to enable the Council 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.	Council Constitution Membership criteria for bodies Meeting minutes and agendas Community Strategy and Corporate Plan Council Website Compliance with Access to Information Regulations	Responsible Officer: Head of Democratic & Legal Head of Corporate and Cultural Services Timescale: Ongoing

Good Practice Requirements	Evidence Base and assessment	Other Information / Action
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.	Consultation Arrangements Communication strategy Corporate and Service Plan Process Use of display and up to date feedback via customer service centre displays	Customer satisfaction surveys and complaints forms provide invaluable information to construct and improve communication with Kettering Borough Council stakeholders. Responsible Officer: Head of Customer Services Timescale: Ongoing
On an annual basis, publish a performance plan giving information on the Council'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.	Corporate Improvement Plan Annual financial statements Service Plans	Responsible Officer: Head of Corporate and Cultural Services Timescale: Ongoing
Ensure that the Council as a whole is open and accessible to the community, service users and its staff 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 circumstances where it is proper and appropriate to do so.	Council Constitution Customer Service Centre Arrangements Customer Charter	Responsible Officer: Senior Management Team, Head of Democratic & Legal, Heads of service Timescale: Ongoing
Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making.	Council Constitution Employment Policies and Practices	Responsible Officers: Head of Resources & Head of Democratic & Legal Timescale: Ongoing