

## **CIPFA/ SOLACE: Key elements of the systems and processes that comprise an authority's governance**

Key elements of the systems and processes that comprise an authority's governance include arrangements for:

1. Identifying and communicating the authority's vision of its purpose and intended outcomes for citizens and service users
2. Reviewing the authority's vision and its implications for the authority's governance arrangements
3. Translating the vision into objectives for the authority and its partnerships
4. Measuring the quality of services for users, for ensuring they are delivered in accordance with the authority's objectives and for ensuring that they represent the best use of resources and value for money
5. Defining and documenting the roles and responsibilities of the executive, non-executive, scrutiny and officer functions, with clear delegation arrangements and protocols for effective communication in respect of the authority and partnership arrangements
6. Developing, communicating and embedding codes of conduct, defining the standards of behaviour for members and staff
7. Reviewing the effectiveness of the authority's decision-making framework, including delegation arrangements, decision making in partnerships and robustness of data quality
8. Reviewing the effectiveness of the framework for identifying and managing risks and demonstrating clear accountability
9. Ensuring effective counter-fraud and anti-corruption arrangements are developed and maintained
10. Ensuring effective management of change and transformation
11. Ensuring the authority's financial management arrangements conform with the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2010) and, where they do not, explain why and how they deliver the same impact
12. Ensuring the authority's assurance arrangements conform with the governance requirements of the CIPFA Statement on the Role of the Head of Internal Audit (2010) and, where they do not, explain why and how they deliver the same impact
13. Ensuring effective arrangements are in place for the discharge of the monitoring officer function

14. Ensuring effective arrangements are in place for the discharge of the head of paid service function
15. Undertaking the core functions of an audit committee, as identified in CIPFA's Audit Committees: Practical Guidance for Local Authorities
16. Ensuring compliance with relevant laws and regulations, internal policies and procedures, and that expenditure is lawful
17. Whistleblowing and for receiving and investigating complaints from the public
18. Identifying the development needs of members and senior officers in relation to their strategic roles, supported by appropriate training
19. Establishing clear channels of communication with all sections of the community and other stakeholders, ensuring accountability and encouraging open consultation
20. Incorporating good governance arrangements in respect of partnerships and other joint working as identified by the Audit Commission's report on the governance of partnerships, and reflecting these in the authority's overall governance arrangements.
21. Enhancing the accountability for service delivery and effectiveness of other public service providers \*

IWC additional and discretionary:

22. Standing orders, standing financial instructions, a scheme of delegation and supporting procedure notes/manuals which are reviewed and updated as appropriate, clearly define how decisions are taken. Risk is routinely considered when decisions are made.
23. The council has an adequate Information Governance Management Framework in place to support the current and evolving Information Governance agenda including comprehensive Information Governance Policies, associated strategies and/or improvement plans
24. The council has due regard for its legal obligations in respect of equalities and has appropriate arrangements in place to ensure that equality implications are fully considered when decisions are made.
25. Governance within schools
26. Pension Fund Governance arrangements

\*In England this includes powers granted to local authorities under the Health & Social Care Act 2012 and the Police Reform and Social Responsibility Act 2011.