

SELF-ASSESSMENT 18/19

Principle 1: Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law

Local government organisations are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, they can demonstrate the appropriateness of all their actions and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.

1.1 Behaving with integrity:

- Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation
- Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood (these should build upon the seven principles of public life)
- Leading by example and using these standard operating principles as a framework for decision making and other actions
- Demonstrating, communicating and embedding the standard operating principles through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively

1.2 Demonstrating strong commitment to ethical values:

- Seeking to establish monitor and maintain the organisation's ethical standards and performance
- Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation
- Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values

1.3 Respecting the rule of law:

- Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with high ethical standards expected by the organisation
- Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations
- Creating the conditions to ensure that the statutory officers, other key post holders and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements
- Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders
- Dealing with breaches of legal and regulatory provisions effectively
- Ensuring corruption and misuse of power are dealt with effectively

How do we meet these principles?

- The member code of conduct meets statutory requirements and is communicated to members during induction. Regular reminders given as necessary.

Where you can see governance in action

- Member code of conduct
- Employee code of conduct
- Further training deemed necessary based on breaches of codes of conduct

Areas for Improvement

- The member code of conduct and the complaints processes are to be reviewed and members updated on any changes

<ul style="list-style-type: none"> Members are required to affirm that they accept and will abide by the requirements of the code of conduct when signing their declaration of office Declarations of interest are a standard agenda item at member level meetings and any declarations recorded in minutes. The member register of interests is published on iwight.com There is a compulsory induction module for new members on the role of councillors, code of conduct, register of interest and role of the designated independent person. The monitoring officer provides informal advice and guidance to members as required to avoid complaints or any potential misconduct occurring There is a formal complaints process in place for elected members of the council Integral to the scrutiny function is the examination of ethical decision making Annual performance appraisals are offered to members who would like to undertake them, and they are requirement for all staff A development programme for members is in place based on an LNA undertaken The constitution sets out the required decision-making practices and protocols and schemes of delegation to make authority limits explicit The constitution is reviewed at Annual Full Council to ensure it remains fit for purpose The council's corporate plan communicates shared values with members, staff, the community and partners There is a suite of employment policies that set out the requirements of staff for conduct at work, including disciplinary, capability, attendance management, equality and diversity practice, data protection and information management etc. These are currently all under review to ensure that they are all up to date, clear and easy to locate. The employee disciplinary procedure sets out matters considered to amount to misconduct and the action that can be taken if proven to be evident The staff code of conduct is issued with the contract of employment and is a component of induction A behaviour framework is in place for staff and integrated into generic role profiles that set out the duties and responsibilities of staff A corporate induction programme is provided for all new employee starters to the council which includes an overview of the council and its priorities, conduct expectations, information governance, health and safety and other aspects of good governance. 	<ul style="list-style-type: none"> Behaviour framework Declaration of office statement Member induction programme Employee induction programme Personal development review process Constitution Yearly review of constitutional matters undertaken at annual Council Corporate plan Register of interests Council meeting agenda & minutes Whistleblowing policy Audit committee agenda & minutes Complaints policy & complaints log Annual report of complaints within the quarter four performance report to Cabinet Counter Fraud and Corruption Strategy Anti-Money Laundering Policy Appeals committee Quarterly performance reports Employment policy suite Terms of reference and meeting minutes of the Strategic Equality and Diversity Board Terms of reference and meeting minutes of the Equality Board & Staff Equality Group Corporate management team meeting agenda timetable Equality objectives Scrutiny agenda & minutes Equality impact assessments for key business/service changes Equality impact assessment guidance Equalities in employment policy Centrally managed core training programme for managers and staff A suite of health & safety related policies and procedures 	<ul style="list-style-type: none"> The whistleblowing policy has just been reviewed to ensure it remains fit for purposes and in accordance with best practice guidelines. However, given the very low level of reporting of incidence, consideration could be given to how the whistleblowing policy could become more easily accessible to the public, contractors and staff beyond the current method of publication on iwight.com. There is no expectation that members undertake a personal development review and so it remains necessary to ensure that members continue to be afforded the necessary opportunities to become equipped with the requisite skills and knowledge that affords confidence in fulfilling their roles. There is a continuing need to provide on-going support in the development of the council's scrutiny function. The personal development review process has been redrafted and aligned with a council behaviour framework. Reviews will be built on trust and new guidance is being provided to ensure that regular and better conversations with staff. There were previous reports that some front line services find it difficult to align the corporate plan with professional service standards and operational outcome frameworks. There are some good examples of where services have initiated activities that assist with such translation and integration of corporate priorities into service planning and individual performance objectives will benefit from wider exposure across the council. Whilst a behaviour framework is in place further work is required to embed
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<ul style="list-style-type: none"> • The HR Advisors meet with new managers to enable them to understand the council policies. • Performance management processes set clear performance objectives and standards of working and behaviours that are monitored and reviewed regularly • Managers are required to undertake regular 1:1 meetings with staff to review work progress, performance and identify development • Personal development programmes are available to staff to assist them with the development of the skills and competencies required for effective performance at work • A counter fraud and corruption strategy is in place • There is a whistleblowing policy in place together with an independent hotline reporting facility • The whistleblowing policy is made available via iwight.com for those organisations commissioned to deliver services on behalf of the council and via an intranet page for employees, volunteers and members • Audit committee are provided with reports on whistleblowing matters received. • There is a complaints policy in place with an on-line reporting facility • Each service area has a nominated complaints officer with responsibility for the handling and responding of complaints received. • Annual report on complaints, learning gained and action taken as a result is provided in the performance report to Cabinet at the end of Quarter one of the following year • There is a nominated lead officer for equality and diversity in place. • Equality objectives are in place (new objectives reviewed in 2019) that are being consulted upon with the public and published on iwight.com • There is a strategic equality board in place, comprising of the corporate management team to monitor the delivery of the council's equality objectives and equality impact assessment requirements. Membership includes the lead officer for equality and representatives of the staff equality group and recognised trade unions. • A staff equality group is in operation to consider and support the development and improvement of employment related practices • There is a strategic health and safety board in place that meets quarterly to achieve strategic coordination and collaboration across all services and to deliver improvements in the management of health and safety and the discharge of relevant responsibilities. • Regular health and safety monitoring reports are produced that identifies trends across council departments that may require attention and/or further intervention by directors/heads of service. 	<ul style="list-style-type: none"> • HR 'Lunch and learn' sessions for managers 	<p>behavioural expectations within the workforce.</p> <ul style="list-style-type: none"> • There is question as to how well the employee code of conduct is promoted and championed with the council's workforce and as such a review of these arrangements is considered to be of benefit to ensure that all staff fully understand the expectations placed upon them. • The equality and diversity board priorities for improvement have been determined in order to refresh the council's equality objectives and to ensure that attention is being given to those aspects most in need of further development. • There is a wealth of information for staff through the council's e-newsletter on matters of importance to them. This would benefit from greater structure to separate out those items relating to work requirements and of social interest. • There is a need to consider how the council's partnerships and external suppliers evidence their commitment to ethical values in practice and establish an appropriate monitoring mechanism to enable this to remain under review. • Whilst the council's counter fraud strategy was refreshed and approved by Audit Committee in December 2017, there is an on-going programme of work to be undertaken as a result of its revision and to build upon the counter fraud initiative. There has been limited proactive work and retesting of the fraud framework. Work has now commenced to work jointly with the DWP and a number of cases have emerged in relation to service users which are now
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- Statutory services have regular strategy meetings in place which have recorded minutes and which inform care plans.
- The council's pay policy has a statement of commitment to equal pay
- Training is available for managers regarding their responsibilities for effective people management and performance management
- There are agreed values in partnership agreements and statements of business ethics that communicates commitment to ethical values to external suppliers-
- Ethical values feature in contracts with external service providers
- The director of finance fulfils the statutory function of Section 151 Officer and undertakes to comply with the duties and responsibilities as set out in law
- The Section 151 officer is provided with the necessary resources to fulfil the duties and responsibilities of the statutory function
- The Assistant Director of Corporate Services fulfils the statutory function of monitoring officer and undertakes to comply with the duties and responsibilities as set out in law.
- The monitoring officer is provided with the necessary resources to fulfil the duties and responsibilities of the statutory function
- Designated Independent Persons are in place to assist the monitoring officer and elected members in dealing with member ethical behavioural issues.
- An Appeals Committee is in place for the hearings of complaints against members following investigation
- All decision reports are considered for their legal, financial and risk implications with the advice provided by officers recorded via the "call over" process
- A procurement board is in place to ensure compliance with relevant law in respect of procurement and compliance with the council's procurement code
- There is a Cabinet member in place with responsibility for procurement
- Procurement compliance reports are made to Audit Committee on a regular basis (twice yearly), the reports focus jointly on compliance and activity
- There is a comprehensive set of employment policies and procedures in place for the council to operate within, and the HR team work closely together to eliminate inconsistencies of application across services. This is aided by Manager 'lunch and learn' to empower managers and instil good practice

being managed through the fraud process. Work also started to enhance proactive counter fraud activity through a programme of training, raising awareness in service areas, undertaking investigations and communicating the results and learning.

- A Contract Monitoring Framework is being put in place, which will introduce a set of guidelines and standards in relation to contract management activities to bring consistency to the way contracts are managed across the council.

Principle 2: Ensuring openness and comprehensive stakeholder engagement

Local government is run for the public good. Local authorities should therefore, ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.

2.1 Openness:

- Ensuring and open culture through demonstrating documents and communicating the organisations commitment to openness
- Making decisions that are open about actions, plans, resource use, forecast, outputs and outcomes
- Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rational and considerations used
- Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/courses of action

2.2 Engaging comprehensively with institutional stakeholders:

- Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably
- Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively (for example the transfer of Public Conveniences to Town and Parish Councils.
- Ensuring that partnerships are based on trust, a shared commitment to change, a culture that promotes and accepts challenge among partners and that the added value of partnership working is explicit

2.3 Engaging stakeholders effectively, including individual citizens and service users:

- Ensuring that communication methods are effective and that members and officers are clear about their roles regarding community engagement
- Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs
- Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account
- Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity
- Taking account of the interests of future generations of tax payers and service users

How do we meet these principles?

- There is a process in place for the effective management of freedom of information requests with departmental information guardians in place across the council, supported by the corporate information unit who monitor compliance and appeals and escalate where necessary

Where you can see governance in action

- lwight.com/transparency pages
- Forward plan
- lwight.com/committee meetings
- Consultation schedule/plan

Areas for Improvement

- There is a need to refresh the council's partnership database to ensure it remains current and up to date

<ul style="list-style-type: none"> • The code of practice for transparency in local government is adhered to and all required information is published on iwight.com transparency pages • Advance notification of all decisions to be taken by Full Council and the Cabinet (including key decisions) is published as a forward plan on iwight.com, this is well in excess of legislative requirement • All committee agenda, papers and minutes are published in accordance with publication deadlines on iwight.com with hard copies being distributed to town and parish councils • All member delegated decisions are published in accordance with publication deadlines on iwight.com • There is a facility for any elected member to submit questions to Cabinet members which is published together with a response for access by all members • All professional advice provided for decision making purposes is recorded in committee reports together with the outcomes of the consultation activities undertaken. • The annual statement of accounts is published on iwight.com • There is an annual consultation on the budget that includes meetings with the public and other stakeholders • Any significant or major proposed service change is subject to formal consultation and equality impact assessment. Records of these consultations is retained on iwight.com • There is a dedicated section of iwight.com to launch, announce and provide results of consultations • There is a town and parish council protocol in place setting out how the Isle of Wight Council will consult with town and parish councils. • There is a dedicated single point of contact for town and parish councils and a quarterly meeting between the Leader of the Council, Chief Executive and Town and Parish Council Association (IWALC). • There is a database of stakeholders with whom the authority should engage and for what purpose and a record of an assessment of the effectiveness of any changes • The council is a member of the Partnership for Urban South Hampshire (PUSH) • The council is a member of the Solent Local Enterprise Partnership (SLEP) • Staff are formally engaged in dialogue with the corporate management team through annual staff conferences as well as regular coffee and chats sessions and site visits with the Chief Executive. • Governance arrangements for partnerships are set out in the partnership agreements • There is an established Health and Wellbeing Board 	<ul style="list-style-type: none"> • Budget consultation • Children & young people survey • Annual "brightspots" survey of children in care • Hearing young people's experiences (HYPE) group meetings • Town and parish council protocol • Minutes of council/town and parish council meetings • Transfer of public toilet facilities to town and parish councils • Partnership terms of reference • Strategic partnership agreements • Suggestion box • Stakeholder database • Facebook/Twitter accounts • iwight.com • Member information pages • Board agenda and meeting minutes • Children & Young People's plan • Public perception survey report • User led organisation • Prevention strategies • Agenda and minutes of Local Care Board • Market engagement events • Procurement Pro Contract portal – for open tendering of contracts • Commissioning prospectuses for small grant funding expressions of interest advertising 	<ul style="list-style-type: none"> • There is a need to review the council's governance arrangements for partnerships • The council needs to establish a policy that sets out what types of issues, the council will meaningfully consult upon as a matter of course. • Engagement with and involvement of town and parish councils has been strengthened through the introduction of quarterly joint meetings with the council but which requires on-going monitoring for effectiveness. • There is evidence that relationships are improving between Police, Health, Council and Voluntary Sector but will necessitate on-going monitoring through the One Public Service agenda to maintain and continue with progress being made. • There are a number of participation surveys and consultations undertaken over the year with Island residents and it is necessary to ensure that there is corporate oversight as a means to seek avoidance of "overload" and appropriateness of methods utilised to enable maximum inclusion and value of information gathered. • A review of the LCB governance is underway to reflect on wider health and care needs in addition to the link to One Public Service agenda • There has been much progress to improve the governance arrangements in the management of the council's pension fund but there remains a considerable amount of work to complete which will require
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<ul style="list-style-type: none"> • There is an established Local Care Board in place to oversee the management of the local care system • There is an established community safety partnership • There is an established Corporate Parenting Board • There is a Children & Young Peoples Participation Strategy in place • There is a hearing young people's experiences (HYPE) group in place comprising of children in care and care leavers that meets monthly to inform the work of the corporate parenting board. • There are established children's and adults safeguarding boards in place • There is an established multi-agency Children's Trust in place who are accountable for the delivery of the agreed outcomes contained within the Children and Young People's Plan • There is a Children and Young People's Plan in place that is also directly connected to the public health annual report and health and wellbeing strategy. • There are surveys undertaken with children in care on matters of importance to them and to elicit views about where improvements can be made. • There is an established user led organisation in place to support residents in helping to shape, direct and manage services they need as well as to provide information, advice and guidance on the services available across the Island. • There is a market position statement in place for adult social care. • There are a variety of communication tools used including social media to communicate with residents on a daily basis. • There is a facility in place to enable live streaming of Full Council and Cabinet meetings • In the development of the council's regeneration strategy, there have been a number of local area workshops undertaken, together with the completion of the "Wight we Want" survey to obtain resident views and expectations. • There are established pension boards in place for both the Local Government Pension Scheme (LGPS) and Fire Service scheme, with identified improvement action plans to support the work of the Council's Pension Fund Committee. • There is an established Strategic Partnership formal arrangement in place with Isle Help to support the delivery of Information, Advice & Guidance (IAG) services across the Island • The creation of a collaborative IAG central hub design in county hall was created using citizen/stakeholder engagement, • The procurement of IAG services had undergone stakeholder feedback events to assist in shaping the direction and needs of the future provision before tendering the contract • There is now an established One Public Service Partnership Board to oversee the Islands partnership aspirations across public services and deliver a portfolio of activity. 		<p>careful monitoring and oversight to ensure continued progress is made.</p> <ul style="list-style-type: none"> • The outcomes of the council's participation in the Local Government Association peer review challenge highlighted that significant progress had been made since its last review in 2014 and has clear strategies and plans in place to deliver its corporate ambitions. However, the review team highlighted a number of key recommendations to assist with the continued programme of delivery including the need for an Island partnership to be established as a means to maximise the potential for the Island's aspirations to be maximised.
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Principle 3: Defining outcomes in terms of sustainable economic, social and environmental benefits

The long-term nature and impact of many of local government’s responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the authority’s purpose, contribute to intended benefits and outcomes and remain within the limits of authority and resources. Input from all groups of stakeholders including citizens, service users, and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.

3.1 Defining outcomes:

- Having a clear vision which is an agreed formal statement of the organisation’s purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation’s overall strategy, planning and other decisions
- Specifying the intended impact on, or changes for, stakeholders including citizens and service users.
- Delivering defined outcomes on a sustainable basis within the resources that will be available
- Identifying and managing risks to the achievement of outcomes
- Managing service user expectations effectively with regard to determining priorities and making the best use of the resources available.

3.2 Sustainable economic, social and environmental benefits:

- Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision
- Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation’s intended outcomes and short-term factors such as the political cycle or financial constraints
- Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade offs
- Ensuring fair access to services

How do we meet these principles?

- The three-year corporate plan (refreshed annually) sets out the council’s vision, strategic priorities and outcomes together with key activities that will deliver them together with the performance measures that enable monitoring of delivery to take place. The corporate plan is used as a basis for service planning and employee objective setting on an annual basis. Links to the corporate plan are also referenced in all formal committee decisions made where appropriate
- There is a stated ambition to work towards a one public service approach for the Isle of Wight to secure the longer-term sustainability for public services. A part of this is working with health colleagues to develop and deliver a sustainable health and care service for the island
- Through One Public Service collaborative joint working opportunities are being explored that has led to a number of joint service provisions being formed across public services to share resources and achieve agreed outcomes and efficiencies
- The medium-term financial strategy sets out the resource allocation for the delivery of the corporate plan

Where you can see governance in action

- Corporate plan
- Quarterly performance reports
- Service plans
- Development review process & individual personal development reviews
- Capital programme
- Capital investment strategy
- Treasury management strategy
- Pension investment strategy
- Risk register
- Medium term financial strategy
- Functional service plans for each service area.
- Decisions that enable public services to continue through alternative delivery

Areas for Improvement

- The outcomes of the council’s participation in the Local Government Association peer review challenge highlighted that significant progress had been made since its last review in 2014 and has clear strategies and plans in place to deliver its corporate ambitions. However, the review team highlighted a number of key recommendations to assist with the continued programme of delivery including the development of a commercial strategy.

<ul style="list-style-type: none"> Quarterly performance reports are provided to Cabinet that set out progress against corporate priorities and the desired outcomes together with performance output, risk analysis and mitigation. There are risk management protocols in place together with strategic and operational risk registers that are reviewed by the corporate management team and departmental service boards on a monthly basis. Decision making reports required to show how decision will contribute to priorities. Capital investment is structured to achieve appropriate life spans and adaptability for future use or that resources are spent on optimising social, economic and environmental well-being There is an established pension fund investment strategy approved by the Pension Committee. The council's procurement processes, in accordance with the Public Services Act 2012 include the requirement for social value in the commissioning of goods and services. The council has a commissioned service with the voluntary sector for the provision of information, advice and guidance services and is working in partnership with the current provider "Islehelp" to deliver a "one stop shop" co-ordinated approach to all council information and guidance requirements. This is currently being re-tendered for a future contract provision to deliver IAG for the island in partnership with the council The council's regeneration strategy has been developed with the principles of sustainable development at its core. Any proposals to improve places consider the impacts on people and the environments as fundamental principles. There are established joint commissioning roles between health and adult social care to begin to align system approaches to the communities needs The council is 2 years into delivery of its current Digital strategy. This sets out the approach to Digital services, technology and infrastructure, digital inclusion, digital skills for the Council. Progress against the strategy has been monitored through scrutiny committee during 2018 demonstrating good progress against identified activities. 	<p>mechanisms (such as public toilets, library facilities etc).</p> <ul style="list-style-type: none"> Constitutional reports to Full Council Information, advice and guidance strategic partnership annual performance report demonstrating achievements to support island residents Governance and Partnership Boards Digital Strategy 2017-2020 monitored through ICT and Corporate Service boards. 	<ul style="list-style-type: none"> Shaping the one public estate strategy with key partners is necessary to develop an action plan that will deliver an approach to sustainable public services over the next 5-10 years
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Principle 4: Determining the interventions necessary to optimise the achievement of the intended outcomes

Local government achieves its intended outcomes by providing a mixture of legal, regulatory, and practical interventions. Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resources inputs whilst still enabling effective and efficient operations. Decisions made need to be reviewed continually to ensure that achievement of outcomes is optimised.

4.1 Determining Interventions:

- Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided
- Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts

4.2 Planning interventions:

- Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets
- Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered
- Considering and monitoring risks facing each partner when working collaboratively including shared risks
- Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances
- Establishing appropriate key performance indicators as part of the planning process in order to identify how the performance of services and projects is to be measured
- Ensuring capacity exists to generate the information required to review service quality regularly
- Preparing budgets in accordance with organisational objectives, strategies and the medium term financial plan
- Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy.

4.3 Optimising achievement of intended outcomes

- Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints
- Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term
- Ensuring the medium term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage
- Ensuring the achievement of social value through service planning and commissioning (i.e. the additional benefit to the community over and above the direct purchasing of goods, services and outcomes)

How do we meet these principles

- All member level decision reports set out the options available together with an options appraisal that informs the recommendation to members.
- Discussion takes place between members and officers on the information needs of members to support decision making
- All professional advice provided for member level decision making purposes is recorded in reports together with the outcomes of the consultation activities undertaken.
- There is a business intelligence team who are responsible for the co-ordination of performance and risk management activities and reporting
- There is a corporate performance management strategy in place and annual programme of required activity
- There is corporate management team schedule of performance and risk review activity

Where you can see governance in action

- Iwight.com/Committee reports
- Corporate management team schedule of activity and notes of meetings
- Performance management strategy
- Procurement Strategy
- Medium Term Financial Strategy
- Budget consultation
- Devolution consultation
- Corporate Management Team/Cabinet meetings and minutes
- Employment Committee decision reports during 2016/17 setting out the capacity requirements at both senior

Areas for Improvement

- The current organisational development strategy requires continued monitoring to ensure that the strategic direction set by the council remains consistent with planned interventions and understanding of improvements required.
- Recruitment difficulties that reflect the national picture affect several areas across the council. HR team are developing proactive strategies that will require specific actions to improve the overall position.

<ul style="list-style-type: none"> • Budgeting guidance and protocols are in place • Development of budget proposals is undertaken in conjunction with cabinet portfolio holders and corporate management team members • There is a monthly meeting of Cabinet and the corporate management team to provide strategic oversight and direction for the council's activities • There is a medium-term financial strategy aligned to corporate priorities • The council's procurement strategy sets out a statement for the achievement of social value in all its purchasing decisions and is monitored and reported upon to Audit Committee • There is an organisational development strategy in place that provides the necessary framework for the engagement and involvement of staff as well as to keep them informed of key issues • A full and permanent complement of senior officers is in place (known as the corporate management team) to ensure that there is the necessary capacity to provide the strategic direction and operational management necessary to achieve the corporate plan outcomes • There is a dedicated contract management team for the council's strategic third-party relationships in the delivery of its Highways PFI and waste contracts. 	<p>and operational levels necessary to deliver the council's future aspirations and service delivery obligations</p> <ul style="list-style-type: none"> • Organisational development strategy and delivery plan 	<ul style="list-style-type: none"> • Coordinated workforce planning is required to identify and support the future service requirements in key areas. Pro-active plans to address any foreseeable shortfall in future skills and knowledge is required.
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Principle 5: Developing the organisation's capacity, including the capability of its leadership and the individuals within it

Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mind set, to operate efficiently and effectively and achieve their intended outcomes within the specified periods. A local government organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Because both individuals and the environment in which an authority operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of the leadership of individual staff members. Leadership in local government entities is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.

5.1 Developing the organisation's capacity

- Reviewing operations, performance use of assets on a regular basis to ensure their continuing effectiveness
- Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority's resources are allocated so that outcomes are achieved effectively and efficiently
- Recognising the benefits of partnerships and collaborative working where added value can be achieved
- Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources

5.2 Developing the capability of the organisation's leadership and other individuals

<ul style="list-style-type: none"> • Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained • Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body • Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure whereby the chief executive leads the authority in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority • Developing the capabilities of members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by ensuring members and staff have access to appropriate induction, tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged – ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis – ensuring personal organisational and system wide development through shared learning, including lessons learnt from governance weaknesses both internal and external • Ensuring that there are structures in place to encourage public participation • Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections • Holding staff to account through regular performance reviews which take account of training or development needs • Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing 	<table border="1"> <thead> <tr> <th data-bbox="675 85 699 2110">How do we meet these principles?</th> <th data-bbox="675 633 699 1200">Where you can see governance in action?</th> <th data-bbox="675 85 699 633">Areas for Improvement</th> </tr> </thead> <tbody> <tr> <td data-bbox="699 85 1420 633"> <ul style="list-style-type: none"> • There is utilisation of research and benchmarking exercises to inform service review on an on-going basis • The council has an organisational development strategy and delivery plan with an operational delivery board to oversee its successful implementation • All staff have job descriptions that set out their roles and responsibilities and behavioural competencies • There is a member induction programme in place that assists with the development and understanding of the differences between the roles of members and officers • There is a corporate learning and development programme available to all staff together with service specific professional updating activities • There is a specific aspiring leader development programme in place and related activities to support growth and development of leadership capacity and succession planning. • A leadership forum has been established for senior and service managers, led by the Assistant CX and which has a steering group to assist with the development of the agenda and activities within it. • Three "BIG" management conferences are held each year to enable all managers to come together to discuss matters of importance and to participate in networking opportunities. • There is a rolling programme of member training that provides access to update courses/information briefings and personal development </td> <td data-bbox="699 633 1420 1200"> <ul style="list-style-type: none"> • Benchmarking data • Forensic review reports • Organisational Development Strategy • Workforce Plan • Organisational Development Board • Member induction programme • Generic role profiles • Learning and development strategy • Corporate learning and development programme • Scrutiny Committee • Leadership programme • Corporate management team/Cabinet meetings • LG communications peer review • Children's Services peer review conducted by Hampshire County Council colleagues • LG review of the council's learning disability services; 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<ul style="list-style-type: none"> • The corporate management team and executive meet on a monthly basis to review and monitor strategic priorities, performance and risk • There are opportunities in place for members to scrutinise and challenge proposals and decisions • There is a strong and stable corporate management team in place to provide the necessary strategic leadership for operational delivery • Directors meet regularly with their Cabinet portfolio holders to keep them abreast of corporate priority delivery • External reviews are commissioned as necessary to provide an independent professional view of capacity and operational delivery performance to inform future planning • External capacity support sourced where additional professional expertise is required • Through the One Public Service agenda, strategic partnerships are explored and entered into to improve capacity and pooling of available resources to secure the best possible outcomes for service delivery 	<p>Better Care Fund (BCF) arrangements with the NHS</p> <ul style="list-style-type: none"> • LGA capacity support for the development of a regeneration strategy • Strategic partnership with Hampshire County Council for the management of Children's Services • Strategic partnership with Hampshire Fire & Rescue Service for the management of the Isle of Wight Fire & Rescue Service • Strategic partnership with Portsmouth City Council for the management of the council's finance department and provision of Section 151 and director of finance together with provision of the Chief Internal Auditor and counter-fraud arrangements 	<p>centre in order to land the opportunities identified and to maintain the necessary pace for delivery.</p> <ul style="list-style-type: none"> • Consideration is being given to the development of a workforce skills matrix to allow for all talents and expertise to be maximised as well as to identify areas in which gaps exist.
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Principle 6: Managing risks and performance through robust internal control and strong public financial management

Local government needs to ensure that the organisations and governance structures that it oversees have implemented and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision-making activities.

A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery and accountability.

It is essential that a culture and structure for scrutiny is in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.

6.1 Managing Risk

- Recognising that risk management is an integral part of all activities and must be considered in all respects of decision making
- Implementing robust and integrated risk management arrangements and ensuring that they are working effectively
- Ensuring that responsibilities for managing individual risks are clearly allocated

6.2 Managing Performance

- Monitoring service delivery effectively including planning, specification, execution and independent post implementation review

- Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook
- Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible
- Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement
- Ensuring there is consistency between specification stages and post implementation reporting

6.3 Robust internal control

- Aligning the risk management strategy and policies on internal control with achieving the objectives
- Evaluating and monitoring the authority's risk management and internal control on a regular basis
- Ensuring effective counter fraud and anti-corruption arrangements are in place
- Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor
- Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body – provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment – that its recommendations are listened to and acted upon

6.4 Managing data

- Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data
- Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies
- Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring

6.5 Strong public financial management

- Ensuring financial management supports both long-term achievement of outcomes and short term financial and operational performance
- Ensuring well developed financial management is integrated at all levels of planning and control, including management of financial risks and controls

How do we meet these principles?	Where you can see governance in action?	Areas for Improvement
<ul style="list-style-type: none"> • Risk management strategy/policy formally approved and adopted and reviewed and updated on a regular basis • Mature and comprehensive risk management framework in place and operation • Strategic risks are managed by the corporate management team and reviewed by Audit Committee on a quarterly basis • Services discuss operational risks at service boards and escalate areas of concern to the corporate management team accordingly • Business plans are in place for each service area • There is increasing participation in a number of benchmarking clubs to inform service improvement/development • The role and responsibility for scrutiny by members has been established and is clear 	<ul style="list-style-type: none"> • Performance and Risk Management Framework • Project/Programme Management Policy • Strategic Risk Register • Audit Committee • Service boards • Corporate management team meeting work schedule • Service plans • Agenda and minutes of scrutiny meetings • Scrutiny terms of reference • Chief internal auditor • Annual Governance Statement • Data protection policies and procedures 	<ul style="list-style-type: none"> • GDPR compliance has identified there no centrally held information outlining the council's overall compliance with the legislation. A project plan is being developed to identify and address any potential gaps in compliance and the resources to undertake the records management requirements. • There has been significant progress made in the re-establishment of the council's performance management arrangements and a baseline set of data against the corporate performance measures upon which

<ul style="list-style-type: none"> • There is a corporate set of performance measures that provide an overview of the council's performance in key areas at any one given time. • Quarterly performance reports are considered by Scrutiny Committee prior to Cabinet meetings • Performance Information and trends are considered by the chief executive on a monthly basis • To ensure that the council is compliant with the new general data protection regulations, the information governance team has an established action plan in place • Senior officers agree annual performance targets with the chief executive and for which they will be held accountable • There is an established project management methodology & organisational intelligence resource to provide assurance and project support • The completion of an annual governance statement identifies areas of compliance with good governance and aspects for improvement. • Internal audit performance reviewed annually against pre-agreed audit action plan • The council has a designated chief internal auditor as the commissioner and management of the internal audit function • Audit Committee complies with best practice • There is a clear data management framework in place together with appropriate policy and procedures • Financial management supports the delivery of services and transformational change as well as securing good stewardship • Each department/service has an allocated budget accountant makes regular budget monitoring reports available for review • Capital and revenue positions are reported as part of the quarterly performance reports to Cabinet. • There is an approved medium-term financial strategy in place together with well-established financial regulations for the operational delivery of prudent financial management • There is a clear budget strategy in place for the better care fund • The treasury management strategy is approved by Full Council and reviewed by Audit Committee • Audit Committee approves annual accounts, financial regulations • Internal audit reviews financial operations and identifies non-compliance with procedures, policies and regulations • Financial accounts and governance arrangements are reviewed annually by the external auditor and who also provides an opinion on the council's arrangements for value for money. 	<ul style="list-style-type: none"> • Data sharing agreements • Data quality policy • Information governance training and e-learning module for all staff • Information Governance Group/Security Group meetings • Information governance toolkit • Safeguarding training programme • ICT security policies and procedures • Protective Marking Policy • Financial Regulations • Medium Term Financial Strategy • Treasury Management Strategy • Internal audit annual plan and reports • Statement of accounts • Audit opinion letter 	<p>to measure future progress. However, it is now necessary to ensure that these arrangements are embedded into operational practice and wherever possible to identify sources of benchmarking where it does not exist to afford comparison in performance.</p> <ul style="list-style-type: none"> • There has been good progress made in the review of the council's arrangements for project/programme management. Further work is required to ensure this is embedded and implemented across all service areas to ensure a consistent approach. • The corporate risk management system for recording and monitoring risk across the council needs to be refreshed and embedded across the council. • Performance data needs to be utilised more intelligently to shape options and decision-making processes.
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- The council has entered into a partnership with Portsmouth City Council to deliver a fraud investigation service to fill the gap that was created by the transfer of the fraud team to the Department for Work and Pensions under the reform of the benefits system.

Principle 7: Implementing good practices in transparency, reporting and audit to deliver effective accountability

Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting or actions completed, but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.

7.1 Implementing good practice in transparency

- Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate
- Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand.

7.2 Implementing good practices in reporting

- Reporting at least annually on performance, value for money and the stewardship of its resources
- Ensuring members and senior management own the results
- Ensuring robust arrangements for assessing the extent to which the principles contained in the framework have been applied and publishing the results on this assessment including an action plan for improvement and evidence to demonstrate good governance
- Ensuring that the framework is applied to jointly manage or shared service organisations as appropriate
- Ensuring the performance information that accompanies the financial statement is prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations

7.3 Assurance and effective accountability

- Ensuring that recommendations for corrective action made by external audit are acted upon
- Ensuring an effective internal audit service with direct access to members is in place which provides assurance with regard to governance arrangements and recommendations are acted upon
- Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations
- Gaining assurance on risks associated with delivering services through third parties and that this is evidence in the annual governance statement
- Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met

How do we meet these principles?	Where you can see governance in action	Areas for Improvement
<ul style="list-style-type: none"> • Transparency data is published monthly showing all individual items of expenditure; workforce information; equality and diversity data; council assets and contracts let • Decision and information reports to all council meetings follow the same accessible format only redacting confidential information in line with Local Authority Legislation or Data Protection Regulations There is a 	<ul style="list-style-type: none"> • lwright.com/Transparency Pages • Statement of Accounts • Annual Governance Statement • Scheme of delegated decisions – in constitution, reviewed annually 	<ul style="list-style-type: none"> • There is a significant amount of information published on the council's website to promote transparency of information required by the public although it can sometimes be difficult to locate and is not always easily

<p>designated Data Protection Officer, Caldicott Guardian and Senior Information Risk Officer (SIRO)</p> <ul style="list-style-type: none"> • All reports with confidential items have been taken in public session however where appropriate on a few occasions a report with confidential items has been considered in private • There is a formal annual report which includes key points raised by external scrutineers and service users' feedback on service delivery • Annual Governance Statement is prepared by the Director of Corporate Services and reported to Audit Committee 	<ul style="list-style-type: none"> • Forensic review of services reports • At all council meetings 	<p>navigated. Improvements in transparency could be secured by all departments of the council publishing information where appropriate.</p>
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