

ANNUAL GOVERNANCE REVIEW

2015/16

KEY TO OFFICERS

Assurance Owner

AD = Alex Dewsnap (Divisional Director - Strategic Commissioning)
TW = Tom Whiting (Corporate Director of Resources)
TM = Tom McCourt (Corporate Director Community)
JT = Jon Turner (Divisional Director HRD & OD)
DC = Dawn Calvert (Director of Finance)
HP = Hugh Peart (Director of Legal & Governance Services)

Assurance Provider

DH = David Harrington (Head of Business Intelligence)
RP = Reena Parmar (Information Architect and Systems Support Officer)
CE = Caroline Eccles (Assistant Lawyer Governance Services)
SD = Susan Dixson (Head of Internal Audit)
VR-B = Venetia Reid-Baptiste

1. Core principle: Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area

Supporting principle: Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcome for citizens and service users						
	Governance Requirement (reflected in code)	Examples of Evidence:	Harrow Governance Mechanisms in place and Evidence:	Owner	Evidence updated (date & initials)	Gap

1.1	Develop and promote the authority's purpose and vision	<ul style="list-style-type: none"> • Vision used as a basis for corporate and service planning • Community engagement and involvement • Communication strategy in respect of corporate objectives has been developed, approved and implemented 	<p>A new corporate plan entitled 'Harrow Ambition Plan' was approved by Cabinet on 18th Feb 2016 and Council on 25th February 2016</p> <p>The plan sets out the strategic direction for the authority, it's vision, priorities, core outcomes and key initiatives which describe and illustrate the programme of activity for next three years and against which the Council is happy to be judged. Together with the Final Revenue Budget 2016-17, it outlines what the Council intends to do and how those actions and services will be funded.</p> <p>A new strategy from now to 2020 was established to:</p> <ul style="list-style-type: none"> • Build a Better Harrow • Be More Business-like and Business Friendly • Protect the Most Vulnerable and Support Families <p>The Council's Communications contract transferred from Westco to Lambco at 1 April 2015. A new Communications Strategy was put in place in 2015 and is currently being updated in line with the Corporate Plan.</p>	AD	DH 10/04/16	No Gap

1.2	Review on a regular basis the authority's vision for the local area and its implications for the authority's governance arrangements	Record of the review of: <ul style="list-style-type: none"> • The authority's vision • The governance code 	The authority's vision and governance arrangements are reviewed at least annually. The strategy and values were considered by the leadership group and approved at Cabinet and full Council through the Corporate Plan. Cabinet Council	AD	DH 10/04/16	No Gap
1.3	Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners	<ul style="list-style-type: none"> • Partnership protocol including an agreement on the role and scope of each partner's contribution • Strategic partnership priorities • Partnership arrangements 	Harrow Strategic Partnership (now disbanded) established the principles for partnership through its constitution . These have been taken forward through the 2 principal partnership bodies Harrow Safer Neighbourhoods Board Health and Wellbeing Board Details of partnership arrangements, priorities and protocols can be found via the links above. Commercial partnerships and shared services are covered by contracts/individual agreements.	AD	DH 10/04/16	No Gap

1.4	Communicate on a timely basis the authority's activities and achievements, its financial position and performance	<ul style="list-style-type: none"> • Formal annual report which includes key points raised by external scrutineers and service users' feedback on service delivery • Annual financial statements 	<p>The Cabinet Strategic Performance Report (quarterly) reports on annual performance as part of the Committee cycle.</p> <p>Quarterly Revenue and Capital Outturn Report and Treasury Management Outturn Report go to Cabinet.</p> <p>Annual financial statements are approved at the Government Audit and Risk Management Committee (GARM) and published on the Council website.</p> <p>Cabinet</p>	AD/SG/ DC	DH 10/04/16	No Gap
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1.6	Put in place effective arrangements to identify and deal with failure in service delivery	<ul style="list-style-type: none"> • Regular reports on the progress of service delivery • Performance trends are established and reported upon • Formal complaints policy and procedures exist and are operating effectively • Evidence that complaints have informed positive service improvement 	<p>Improvement Board Reports are provided by each Corporate Directorate quarterly to an agreed template, and these are reviewed by the Improvement Boards. Action notes are produced from each meeting. The Improvement Board template is regularly refreshed. (Full details of Improvement Boards including dates, timetable, guidance and reports are on the Improvement Boards page on the Harrow Hub).</p> <p>Issues arising from the Improvement Boards are reported to Corporate Strategic Board at the quarterly Performance morning.</p> <p>The Corporate Scorecard is included in the quarterly report to Cabinet.</p> <p>A review of complaints, including the number and reason for complaints, the timescales for resolution and the actions taken as a result forms part of the Improvement Board report (see Guidance and individual Improvement Board reports).</p> <p>Complaints and compliments procedures are available on the Harrow Council website</p>	AD/TW	DH 10/04/16	No Gap
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Supporting principle: Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money

	Governance Requirement (reflected in code)	Examples of Evidence:	Harrow Governance Mechanisms in place and Evidence:	Owner	Evidence updated (date & initials)	Gap
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1.7	Decide how value for money is to be measured and make sure that the authority or partnership has the information needed to review value for money and performance effectively.	<ul style="list-style-type: none"> • Clear corporate requirement and instruction on how to measure VFM • Corporate procurement policy and strategy • Comparison of information on the authority's economy, efficiency and effectiveness of services with that provided by similar organisations • Evidence that the results are reflected in the authority's performance plans and in reviewing the work of the authority 	<p>Value for money: The authority strives to deliver good value for money to its residents by improving performance and minimising costs.</p> <p>A wide range of vfm benchmarking information is used within the authority e.g. CIPFAstats London Council LAPS tool CIPFA benchmarking clubs – Benefits, Collections, ICT, HR, Finance, Children DoH Use of Resources Analysis for Social Care Housemark Benchmarking Club.</p> <p>Benchmarking work over a number of years has identified that Harrow's unit costs are comparatively low in most areas of activity. The current approach to the major savings required by the national austerity programme is to reduce costs further and minimise negative impacts on residents and service users. This presents a major challenge of Harrow and all local authorities</p> <p>The Council has undergone a major <u>Procurement Review</u>, and is committed to reducing costs from lost opportunities across the organisation. <u>Corporate Commercial and Procurement Strategy</u> was adopted by the Council in 2014. A new <u>Commercialisation Strategy</u> was put in place in 2016. <u>Contract management procedures</u> are in place.</p>	AD	DH 10/04/ 16	No Gap
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1.8	Measure the environmental impact of policies, plans and decisions	<ul style="list-style-type: none"> Environmental impact covered in report templates for consideration of policies, plans and decisions 	<p>Report template for cabinet contains a section on Environmental Implications with guidance for completion.</p> <p>http://harrowhub.harrow.gov.uk/downloads/download/271/cabinet_report_template_with_guidance_notes-may_2015</p>	TM	SD 26/07/ 16	No Gap
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2. Core principle: Members and officers working together to achieve a common purpose with clearly defined functions and roles

Supporting principle: Ensuring effective leadership throughout the authority and being clear about executive and non-executive functions and of the roles and responsibilities of the scrutiny function



	Governance Requirement (reflected in code)	Examples of Evidence:	Harrow Governance Mechanisms in place and Evidence:	Owner	Evidence updated (date & initials)	Gap
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2.1	<p>Set out a clear statement on the respective roles and responsibilities of the executive and of the executive's members individually and the authority's approach towards putting this into practice</p> <p>Set out a clear statement of the respective roles and responsibilities of the other authority members, members generally and senior officers</p>	<ul style="list-style-type: none"> • Published job descriptions for the leader of the authority and chief executive • Member/officer protocol • Constitution 	<p>Allocation of Responsibilities of the executive and its individual members are set out in the Council's Constitution.</p> <p>The Constitution is available at</p> <p>http://www.harrow.gov.uk/www2/ieListMeetings.aspx?CId=1092&Info=1&bcr=1</p> <p>Minutes (notes) of all decisions made by the executive and individual executive members are available on the intranet and internet and records are maintained by Legal & Governance Services.</p> <p>Example of Minutes (notes) : Cabinet (Executive)</p> <p>http://www.harrow.gov.uk/www2/documents/g62359/Printed%20minutes%20Thursday%2015-Jan-2015%2018.30%20Cabinet.pdf?T=1</p> <p>Example of Individual Executive Member (Portfolio Holder) decision</p> <p>http://www.harrow.gov.uk/www2/ieDecisionDetails.aspx?ID=61020</p> <p>The role of other members of the authority is set out in Article 2 of the Constitution.</p> <p>A brief description of the role of elected Members generally is on the Council's website at the following link:</p> <p>http://www.harrow.gov.uk/info/200033/elections-and-representatives/226/local-councillors</p>	HP	CE 22/04//16	No Gap
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		<ul style="list-style-type: none">•	<p>All members are subject to the members' Code of Conduct and the Protocol on Councillor/Officer Relations.</p> <p>The Council's Constitution includes details of Director responsibility and committee terms of reference.</p> <p>Details of the roles of the Head of Paid Service, Corporate Directors and statutory officers are available in Part 3B of the constitution:</p> <p>http://www.harrow.gov.uk/www2/documents/s127972/025%20Part%203B%20Delegation%20to%20officers.pdf</p> <p>All employees are subject to the Employee Code of Conduct.</p>			
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Supporting principle: Ensuring that a constructive working relationship exists between elected members and officers and that the responsibilities of authority members and officers are carried out to a high standard

	Governance Requirement (reflected in code)	Examples of Evidence:	Harrow Governance Mechanisms in place and Evidence:	Owner	Evidence updated (date & initials)	Gap
2.2	Determine a scheme of delegation and reserve powers within the constitution, including a formal schedule of those matters specifically reserved for collective decision of the authority taking account of relevant legislation and ensure that it is monitored and updated when required	<ul style="list-style-type: none"> • Scheme of delegation reviewed at least annually in the light of legal and organisational change • Standing orders and financial regulations which are reviewed on a regular basis 	<p>Matters reserved to Council and delegations are set out in the constitution and are subject to regular review and changes made as appropriate.</p> <p>Financial Regulations were reviewed during 2014/15</p> <p>http://harrowhub.harrow.gov.uk/info/200189/finance_and_assurance/974/financial_regulations</p> <p>The Contract Procedure rules were also reviewed and updated in 2014/15.</p> <p>http://harrowhub.harrow.gov.uk/downloads/download/18/contract_procedure_rules</p> <p>Both were agreed by Council in November 2014:</p> <p>http://modern.gov:8080/ieListDocuments.aspx?CId=288&MId=62370&Ver=4</p>	HP/SG/DC	CE 22/04/2016 SD 27/07/16	GAP 1 14/15 & 15/16 No annual review of delegations 2015/16 Gap closed – CGG accept not required annually

2.3	<p>Make a chief executive or equivalent responsible and accountable to the authority for all aspects of operational management</p>	<ul style="list-style-type: none"> • Statutory provisions • Conditions of employment • Up-to-date job description/specification • Appraisal arrangements • Robust performance management system 	<p>The Chief Executive is the Council's Head of Paid Service and is responsible and accountable to the authority for operational management.</p> <p>The Council's constitution sets out details of delegated responsibility and Article 12 of the constitution sets out responsibilities of the Head of Paid Service and other chief Officers</p> <p>The Constitution is available at http://www.harrow.gov.uk/www2/ieListMeetings.aspx?CId=1092&Info=1&bcr=1</p> <p>Details of the statutory obligations (Chief Executive, Corporate Directors of Children's, Adults & Housing, Corporate Finance and Director of Legal and Governance Services) are available in Part 3B of the constitution:</p> <p>Appraisals operate for all staff. Performance within Directorates for the completion of Appraisals is reported on a quarterly basis to Improvement Boards.</p> <p>The Chief Executive has an up to date Job Description (evidence file).</p> <div style="display: flex; justify-content: space-around; align-items: center;"> <div style="text-align: center;">  Chief Exec JD Sep 14.doc </div> <div style="text-align: center;">  Chief Exec Person Spec Sep 14.doc </div> </div>	JT	JT 10/05/16	No Gap
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2.4	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	<ul style="list-style-type: none"> • Job descriptions • New chief executive and leader pairing consider how best to establish and maintain effective communication 	<p>Leader's role defined in Portfolio Holders document (evidence file) and the Chief Executive has an up to date Job description (evidence file). They meet regularly.</p> <p>The Leader and Chief Executive are governed by the Protocol on Councillor-Officer Relations</p> <p>http://www.harrow.gov.uk/www2/documents/s133792/042.%20Part%205C%20Protocol%20-%20members%20officers.pdf</p>	HP	CE 22/04/16	No Gap
2.5	Make a senior officer (the section 151 officer) responsible to the authority for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control	<ul style="list-style-type: none"> • Section 151 responsibilities • Statutory provision • Up-to-date job description/specification • The authority has complied with the <i>CIPFA Statement on the Role of the Chief Financial Officer in Local Government</i> and has reported on it accordingly in its annual governance statement • The authority has complied with the <i>CIPFA Statement on the Role of the Head of Internal Audit in Public Service Organisations</i> and has reported on it accordingly in its annual governance statement 	<p>DC held the post of S151 officer from 26 May 2014. Post changed from Director of Finance & Assurance to Director of Finance and the role profile updated to reflect this narrower scope – there was no change to the the statutory duties of the S151 Officer. Postholder reports to the Corporate Director of Resources and Commercial (managerially) and directly to the Chief Executive on her statutory responsibilities.</p> <p>Throughout 2015/16 the authority's financial management arrangements have conformed with the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2010). The authority's assurance arrangements conform with the governance requirements of the CIPFA Statement on the Role of the Head of Internal Audit. The Head of Internal Audit is a middle manager with extensive internal audit experience who has regular and open engagement with the Leadership Team and the Audit Committee. Reported in AGS.</p>	DC	SD 27/07/16	No Gap

2.6	<p>Make a senior officer (the monitoring officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with</p>	<ul style="list-style-type: none"> Monitoring officer provisions Statutory provision Up-to-date job description/specification 	<p>Statutory Monitoring Officer provisions contained in Part 3 of the Constitution. Statutory Monitoring Officer functions to report on likely contravention of any enactment or rule of law. Chief and Statutory Officers are required to comply with council procedural rules (as evidenced in the Constitution).</p> <p>Duties of the monitoring officer are in the constitution at Article 12 and Part 3B:</p> <p>http://www.harrow.gov.uk/www2/documents/s133766/016%20Article%2012%20Officers.pdf</p> <p>http://www.harrow.gov.uk/www2/documents/s133775/025%20Part%203B%20Delegation%20to%20officers.pdf</p> <p>Decision making reports are cleared by or on behalf of the Monitoring Officer.</p> <p>During 2014/15 the Council entered into an agreement (agreed by Cabinet March 2015) with Buckinghamshire County council and the postholder now works at the County Council 2 days a week and at harrow Council 3 days a week. As the postholder is contactable 5 days a week and a Deputy Monitoring Officer is also in post this arrangement does not impact on the fulfilment of this Statutory role</p> <p>http://moderngov:8080/documents/g62361/Public%20reports%20pack%20Thursday%2019-Mar-2015%2018.30%20Cabinet.pdf?T=10</p>	HP	<p>CE 22/04/16</p> <p>SD 28/07/16</p>	No Gap
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Supporting principle: Ensuring relationships between the authority, its partners and the public are clear so that each know what to expect of the other

	Governance Requirement (reflected in code)	Examples of Evidence:	Harrow Governance Mechanisms in place and Evidence:	Owner	Evidence updated (date & initials)	Gap
2.7	Develop protocols to ensure effective communication between members and officers in their respective roles	<ul style="list-style-type: none"> • Member/officer protocol 	<p>The Protocol on Councillor-Officer Relations is set out in Part 5 of the Council's Constitution.</p> <p>http://www.harrow.gov.uk/www2/documents/s127946/042.%20Part%205C%20Protocol%20-%20members%20officers.pdf</p>	HP	CE 22/04/16	No Gap
2.8	Set out the terms and conditions for remuneration of members and officers and an effective structure for managing the process	<ul style="list-style-type: none"> • Scheme for member remuneration and allowances • Robust pay and conditions policies and practices for employees • Structured pay scales reflecting competence • Established process for grading and appeals procedures 	<p>The Council's pay policy for employees is accessible on its website and sets out the arrangements for remuneration of officers:</p> <p>Link http://www.harrow.gov.uk/www2/documents/b20017/Background%20Papers%20Thursday%2025-Feb-2016%2019.30%20Council.pdf?T=9</p> <p>Allowances for Members are published on the Council's website at: http://www.harrow.gov.uk/downloads/download/117/councillors-allowances</p>	JT	JT 10/05/16	No Gap

2.9	Ensure that effective mechanisms exist to monitor service delivery and that these are clearly described within the Performance Management Framework	<ul style="list-style-type: none"> • Performance Management Framework • Key performance indicators have been established and approved for each service element and included in the service plan and are reported upon regularly • Reports include detailed performance results and highlight areas where corrective action is necessary 	<p>The Performance Management arrangements for the Council are available via the website. Further details of internal performance management and service planning available on the Harrow Hub.</p> <p>The service planning guidance is currently being updated.</p> <p>Each Corporate Directorate has a scorecard of key performance indicators and these are reported on through the Improvement Boards, including progress against targets, any actions required, and any changed or new indicators.</p>	AD	DH 10/04/16	<p style="color: red;">Gap 2 14/15 - Framework needs to be updated - 2015/16 Gap</p> <p style="color: red;">(Closed /framework updated)</p>
2.10	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	<ul style="list-style-type: none"> • Business and financial planning processes established to deliver strategic objectives • Protocols for consultation • Statutory guidance is followed 	<p>The Performance Management Framework sets out the elements of the Council's planning and budgeting cycle.(see Harrow Hub page Service Planning and Performance Framework). See also Section on Commissioning Panel Guidance. Guidance is provided for Service Planning and a draft Service Planning template is also provided.</p> <p>See also section for engagement with the community. The Vision, Priorities and Targets are developed in consultation with residents and local organisations are disseminated via public meetings and the publication of the Harrow Ambition Plan.</p>	AD	DH 10/04/16	No Gap

2.11	<p>When working in partnership, ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and the authority</p> <p>Ensure that there is clarity about the legal status of the partnership</p> <p>Ensure that representatives or organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions</p> <p>Ensure that outcomes are managed through a performance management framework</p>	<p>Protocols for partnership working mean that for each partnership there is:</p> <ul style="list-style-type: none"> • A clear statement of the partnership principles and objectives Clarity of each partner's role within the partnership • Definition of roles of partnership board members • Line management responsibilities for staff who support the partnership • A statement of funding sources for joint projects and clear accountability for proper financial administration • A protocol for dispute resolution within the partnership 	<p>The Harrow Strategic Partnership (now disbanded) established protocols for partnership working via its <u>constitution</u>.</p> <p>Formal local partnership is now represented by the bodies which stemmed from the HSP, which have established their protocols, principles and objectives via the documents linked below:</p> <p><u>Harrow Safer Neighbourhoods Board Constitution</u></p> <p> HarrowSaferNeighbo urhoodBoard-Constiti</p> <p><u>Health and Wellbeing Board Details</u></p>	AD	DH 10/04/16	
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3. Core principle: Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

Supporting principle: Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance

	Governance Requirement (reflected in code)	Examples of Evidence:	Harrow Governance Mechanisms in place and Evidence:	Owner	Evidence updated (date & initials)	Gap
3.1	Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect	<ul style="list-style-type: none"> Codes of conduct, annual governance statement Conduct at meetings 	<p>The new Council values were developed through workshops with staff and members and endorsed by Cabinet in February 2016. They are integrated into the Corporate Plan (see previous link)</p> <p>Council values were launched with staff in March 2016 and a programme to embed the values, which includes updating the appraisal scheme to include assessment against the values is ongoing.</p> <p>Codes of Conduct in place (see previous links)</p>	JT	<p>JT 10/05/16</p> <p>SD 01/08/16</p>	No Gap

3.2	<p>Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols</p>	<ul style="list-style-type: none"> Members'/officers' code of conduct which acknowledges professional bodies' codes of conduct Performance appraisal Complaints procedures Anti-fraud and anti-corruption policies are up to date and working effectively Induction for new members and staff on standard of behaviour expected 	<p>Staff are briefed on the Code of Conduct in their informal induction sessions with their line manager; checklist link: http://harrowhub/info/200283/learning_and_development/1334/staff_induction The Staff employee Code of Conduct is accessible to all staff on the intranet and is contained in the Employees Handbook for staff, managers, Chief Officers and the Chief Executive. This is given to all new employees http://harrowhub/info/200294/starters_and_leavers/1155/employee_handbook</p> <p>There are various references in the council's Constitution (see previous link) about Member conduct.</p> <p>The Member Code of Conduct is available on the intranet and internet.</p> <p>New and existing Members elected in May 2014 were required to sign a formal declaration of acceptance of office, which included a commitment to adhere to the Code of Conduct. Members were provided with an induction pack. A training session on the Code of Conduct and interests on 10 June 2014. Training was provided on the Social Media Protocol on 5 November 2014.</p> <p>Anti-fraud policy was updated in 2014/15 – went to GARM 22/07/14 then Council to be ratified 13 November 2014. http://modern.gov:8080/ieListDocuments.aspx?Clid=288&Mid=62370&Ver=4</p> <p>Anti-fraud Policy currently being updated August 2016.</p>	HP/JT/ SG/DC	<p>JT</p> <p>15/03/ 16</p> <p>10/05/ 16</p> <p>CE</p> <p>22/04/ 16</p> <p>SD</p> <p>01/08/ 16</p>	No Gap
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		<ul style="list-style-type: none">•	<p>Regular performance appraisals of staff undertaken.</p> <p>http://harrowhub/info/200283/learning_and_development/1503/new_appraisal_system_20162017</p> <p>Complaints procedure in operation:</p> <p>http://www.harrow.gov.uk/info/200025/complaints_and_complaints/85/general_complaints_and_compliments</p>			
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3.3	<p>Put in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice</p>	<ul style="list-style-type: none"> • Standing orders, financial regulations and codes of conduct, all reviewed and updated on a regular basis • Register of interests (members and staff) • Provision of ethical awareness training • Procedures for dealing with conflicts of interest • Up-to-date register of gifts and hospitality 	<p>The Council's Constitution refers, particularly section on Member and Officer Codes of Conduct, Planning Protocol, Contract and Financial procedure rules.</p> <p>Codes and protocols are in Part 5 of the Constitution</p> <p>http://www.harrow.gov.uk/www2/documents/s133789/039%20Part%205%20Cover%20Sheet%20and%20Index.pdf</p> <p>The contract procedure rules are in part 4I of the Constitution</p> <p>http://www.harrow.gov.uk/www2/documents/s133786/036%20Part%204I%20Contract%20Procedure%20Rules.pdf</p> <p>Financial regulations are in part 4K of the Constitution.</p> <p>http://www.harrow.gov.uk/www2/documents/s133788/038%20Part%204K%20Financial%20Regulations.pdf</p> <p>Training on the constitution, decision-making and governance was provided for members on 2 June 2014.</p> <p>Registers of interests for both staff and members are maintained. Members' register of interest is available for public inspection and maintained by Director of Legal & Governance Services. Individual members' register of interest is available on the Council's website.</p> <p>http://www.harrow.gov.uk/www2/mgMemberIndex.aspx?bc_r=1</p> <p>Members are regularly reminded to review their registers. In addition any changes should be notified within 28 days of a change.</p> <p>Staff registers of interests and gifts and hospitality are maintained by the individual Corporate Directors. These are not open to public inspection.</p> <p>No automatic annual communication to staff to remind them to declare any conflicts of interest.</p>	HP	CE 22/04/ 16	<p>Gap 3 2014/15 - No automatic annual communication to staff to remind them to declare any conflicts of interest. – Internal Audit Review 14/15 recommended Corporate Directors remind staff in their Directorate on an annual basis and found that fewer than expected conflicts recorded.</p> <p>Only Childrens have confirmed implemented - 2015/16 GAP 1</p>
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3.5	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	<ul style="list-style-type: none"> • Codes of conduct • Contract Procedure Rules • Financial regulations 	<p>The Staff employee Code of Conduct is accessible to all staff on the intranet and is contained in the Employees Handbook for staff, managers, Chief Officers accessible on the intranet. This is given to all new employees.</p> <p>http://harrowhub/info/200293/values_and_behaviours/1088/code_of_conduct</p> <p>The contract procedure rules are accessible on the intranet at:</p> <p>http://harrowhub/downloads/download/18/contract_procedure_rules</p> <p>Financial regulations are accessible at:</p> <p>http://harrowhub/info/200189/finance_and_assurance/974/financial_regulations</p> <p>Continuing effectiveness is monitored via Appraisals linked to Council's values and the code of conduct.</p>	JT	JT 11/05/16	No Gap
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3.6	Develop and maintain an effective standards committee	<ul style="list-style-type: none"> • Terms of reference • Regular reporting to full council (minutes) • Examples of responding to complaints about behaviour 	<p>The Governance Audit and Risk Management Committee was amalgamated with the Standards Committee on 12 June 2014. Terms of Reference for the Committee are contained in the Constitution. The Committee has 5 scheduled meetings each year and additional meetings will be arranged when necessary. Dates of meeting can be found in the Committee Calendar and Corporate Calendar available on the intranet:</p> <p>http://moderngov:8080/ieListMeetings.aspx?CId=850&Year=0</p> <p>Example of a complaint dealt with under the Council's procedures:</p> <p>http://www.harrow.gov.uk/www2/ieListDocuments.aspx?CId=1107&MID=62469#A186646</p>	HP	CE 22/04/16	No Gap
3.7	Use the organisation's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority	<ul style="list-style-type: none"> • Decision-making practices • Evidence that shared values have guided the decision making 	<p>Article 13 of the Constitution sets out the principles of decision making of all decisions of the council. These principles are often cited during the decision-making process.</p> <p>http://www.harrow.gov.uk/www2/documents/s113760/Article%2013%20Decision-making.pdf</p> <p>The council's new values are integrated in to the Harrow Ambition Plan, which was formally adopted by Cabinet in February 2016.</p>	JT/HP	CE 22/04/16	No Gap

3.8	In pursuing the vision of 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	<ul style="list-style-type: none">• Protocols for partnership working• Evidence of agreed values	Purpose, values, conduct are laid out in the constitution and purpose documents linked in 2.11.	AD	DH 10/04/16	No Gap
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3.9	<p>Promote equality of opportunity as an employer, service provider, procurer of goods and services and as a community leader.</p> <p>Will tackle all forms of discrimination and achieve equality irrespective of ones age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation</p>	<ul style="list-style-type: none"> • Evidence of assessment against the Equality Framework for Local Government. • Procurement Strategy • Employment Policies 	<p>The Council has adopted a set out <u>Equality Objectives</u> which are monitored through the corporate performance management process. These are currently being updated for 2016 in line with the Harrow Ambition Plan.</p>  <p>4_-_Corporate_Equality_objectives_2015[</p> <p>The Council has adopted an <u>Equality in Procurement</u> guide which includes the aspiration that “As a procurer of goods and services, we are committed to ensuring our commissioning processes are fair and equitable and that service providers delivering a service on our behalf share our commitment to equality and diversity.”</p>  <p>Harrow_Council_Equality_in_Procurement.</p> <p>The Corporate Development Programme includes events and activities supporting and promoting the Council’s Equality Objectives. Copies of the evaluation sheets for these events are available to review.</p> <p>There is also a mandatory E learning module on an Introduction to Equalities and Diversity on the Council’s e-learning portal ‘POD’ accessible at:</p> <p>http://harrowhub/info/200283/learning_and_development/1040/learning_pod#</p>	AD	DH 10/04/16	No Gap
				JT	JT 15/03/16	

			<p>Equalities is mainstreamed into other courses, e.g. Recruitment and Selection training has a strong focus on equalities.</p> <p>We have review and updated the Corporate Equalities Action Plan to meet the Council's employment priorities and targets.</p> <p>The Council has well-established employment policies and procedures which are regularly maintained to ensure compliance with legislation which are accessible via the intranet at:</p> <p>http://harrowhub/site/scripts/home_info.php?homepageID=74</p>			
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			<p>During 2013/14 During 2013/14 an independent review was commissioned by the Council into allegations of institutional racism. A report was issued on the 11th April 2014 that concluded that there is no evidence of institutional racism at Harrow Council. However, it makes nine recommendations. The council will now consider these recommendations and any actions which are necessary as a result of the report. The full report is available on the Council's Website at: http://www.harrow.gov.uk/download/downloads/id/3971/report on institutional racism</p> <p>In May 2015 a report went to Cabinet providing an update of the Council's performance against its equalities agenda in the last twelve months (2014/15) as well as summarising the actions taken in response to the recommendations from the investigation commissioned in March 2014 into allegations of institutional racism. Following the review the Council's Corporate Equalities Group started work on the action plan which culminated in the report to Cabinet. The Cabinet report is available via the following link: http://www.harrow.gov.uk/www2/documents/g62363/Public%20reports%20pack%20Thursday%2021-May-2015%2018.30%20Cabinet.pdf?T=10</p>			
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4. Core principle: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

Supporting principle: Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny

	Governance Requirement (reflected in code)	Examples of Evidence:	Harrow Governance Mechanisms in place and Evidence:	Owner	Evidence updated (date & initials)	Gap
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4.2	Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based	<ul style="list-style-type: none"> • Decision-making protocols • Record of decisions and supporting materials • Record of professional advice in reaching decisions 	<p>All decisions are noted and published along with options and reasons to support decisions. Professional advice is recorded in reports. Article 13 of the Constitution sets out the principles of decision making of all decisions of the council.</p> <p>http://www.harrow.gov.uk/www2/documents/s127921/Article%2013%20Decision-making.pdf</p> <p>Decisions (minutes) are published on the intranet and internet. Paper copies are available on request. Minutes are retained for 6 years.</p>	HP	CE 22/04/16	No Gap
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4.3	Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice	<ul style="list-style-type: none"> Members' and officers' code of conduct which refers to a requirement to declare interests Minutes showing declarations of interest were sought and appropriate declarations made 	<p>The Member and Officer Codes of Conduct which are in Part 5 of the Council's constitution contain requirements to declare interests.</p> <p>Declarations of interests of members are sought at meetings and a record is made in the minutes where an interest is declared.</p> <p>Example of minutes recording declaration of interests:</p> <p>http://www.harrow.gov.uk/www2/ieListDocuments.aspx?Mid=62370</p> <p>Registers of interests for both staff and members are maintained. Members' register of interest is available for public inspection and maintained by Director of Legal & Governance Services. Individual members' register of interest is available on the Council's website.</p> <p>http://www.harrow.gov.uk/www2/mgMemberIndex.aspx?bcr=1</p>	HP	CE 22/04/16	No Gap
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4.4	Develop and maintain an effective audit committee which is independent of the executive and scrutiny functions	<ul style="list-style-type: none"> • Terms of reference • Membership • Training for committee members 	<p>Duties of Audit Committee undertaken by Governance, Audit, Risk Management and Standards Committee – GARMS.</p> <p>Following new Leadership at beginning of 2016/17 two new members joined the Committee. Whilst independent of the executive 10 (7 14/15) of the 14 members/reserves (including the Chair) are also members/reserves of the Scrutiny Committee. 2 members and 1 reserve are also members of O&S and 2 members are also members of P&F. 2 members and 2 reserves are also reserves on O&S and 3 members and 1 reserve are reserves on P&F. (3 are members on 2 of the 3 committees and a reserve on the third).</p> <p>Membership has been stable throughout 2015/16.</p> <p>Evidence Terms of reference/minutes http://www.harrow.gov.uk/www2/mgCommitteeDetails.aspx?ID=850</p> <p>Training on Treasury Management provided for all committee members and reserves during 2015/16.</p>	SG/D C	SD 10/08/16	Gap 2015/16 – As 71 % of member/reserves of GARMS are member/reserves of Scrutiny cannot say that the Audit Committee is independent of the scrutiny function - 2015/16 GAP 2
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4.5	Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints	<ul style="list-style-type: none"> • Complaints procedure • Evidence of changes/improvements as a result of complaints received and acted upon 	<p>A review of complaints, including the number and reason for complaints, the timescales for resolution and the actions taken as a result forms part of the Improvement Board report (see Guidance and individual Improvement Board reports).</p> <p>http://harrowhub.harrow.gov.uk/info/200237/improvement_boards</p> <p>Complaints and compliments procedures are available on the Harrow Council website</p> <p>http://www.harrow.gov.uk/complaints_and_compliments?WT.ac=complaints_and_compliments</p>	TW	DH 10/05/16	No Gap
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Supporting principle: Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs

	Governance Requirement (reflected in code)	Examples of Evidence:	Harrow Governance Mechanisms in place and Evidence:	Owner	Evidence updated (date & initials)	Gap
4.6	Ensure that those making decisions, whether for the authority or the partnership, are provided with information that is fit for the purpose – relevant, timely, and gives clear explanations of technical and financial issues and their implications	<ul style="list-style-type: none"> • Discussion between members and officers on the information needs of members to support decision making • Agreement on the information that will be provided and timescales • Calendar of dates for submitting, publishing and distributing timely reported that are adhered to 	<p>Committee report template and process leading up to committees (DMT, CSB, clearance with legal, finance and performance etc) included in the attached link:</p> <p>http://harrowhub/info/200209/members_and_committees/292/guidance_notes_on_decision_making_and_report_writing</p>	HP	CE 22/04/16	No Gap

Supporting principle: Ensuring that an effective risk management system is in place						
	Governance Requirement (reflected in code)	Examples of Evidence:	Harrow Governance Mechanisms in place and Evidence:	Owner	Evidence updated (date & initials)	Gap
4.8	Ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their jobs	<ul style="list-style-type: none"> • Risk management protocol • Risk management strategy/policy has been formally approved and adopted and is reviewed and updated on a regular basis • Financial standards and regulations • Counter-fraud arrangements are in place and operating effectively • Risk assessments for partnerships • re 	<p>Project, Directorate, Corporate Risk Registers in place.</p> <p>Corporate Risk Register presented to CSB + GARMS Committee regularly.</p> <p>Risk Management covered in Financial Regulations.</p> <p>CAFT in place and operating. During 2014/15 and early 2015/16 Fraud Governance was assessed using the CIPFA Fraud Governance Checklist and was assessed as a Red/Amber assurance due to weaknesses identified in raising the awareness of fraud and identifying fraud risk across the Council. During 2015/16 and 2016/17 to date fraud awareness being addressed (notably in Housing – Housing Fair) and fraud risk assessments undertaken with DMTs across the Council.</p> <p>Risk Assessments/registers in place for partnerships</p> <p>Risk Management Strategy + Risk Appetite Statement in place and reviewed end 2015/16 – beginning of 2016/17, in process of being finalised.</p>	SG/D C	SD	<p>Gap 4 2014/15 c/f 2013/14 Risk Management strategy + Risk Appetite Statement not updated 2015/16 Gap Improved Strategy and Appetite reviewed and updated in process of being finalised 2015/16 GAP3</p> <p>Gap 5 2014/15 Fraud Governance - 2015/16 (improved) Gap action plan being implemented – Amber assurance 2015/16 GAP 4</p>

4.9	Ensure that effective arrangements for whistleblowing are in place to which officers, staff and all those contracting with or appointed by the authority have access	<ul style="list-style-type: none"> • A whistleblowing policy exists and is reviewed on a regular basis • The policy has been made available to members of the public, employees, partners and contractors 	<p>Whistleblowing policy exists and was most recently reviewed and updated in Nov 2013 Accessible on intranet and will be relaunched.</p> <p><u>http://harrowhub/downloads/file/2086/whistleblowing</u></p> <p>The Whistleblowing Policy is covered in the Staff Handbook and referenced in the Induction checklist.</p> <p>Policy covers contractors, and can be accessed by members of the public on the internet. - No it can't!</p>	HP/J T	JT 15/03/16	<p>GAP 6 2014/15 – picked up 2013/14 and resolved but has been taken off again</p> <p>2015/16 GAP 5</p>
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Supporting principle: Using their legal powers to the full benefit of the citizens and communities in their area						
	Governance Requirement (reflected in code)	Examples of Evidence:	Harrow Governance Mechanisms in place and Evidence:	Owner	Evidence updated (date & initials)	Gap
4.10	Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine, but also strive to utilise their powers to the full benefit of their communities	<ul style="list-style-type: none"> • Constitution • Monitoring officer provisions • Statutory provisions 	<p>Statutory Monitoring Officer provisions contained in Part 3 and Article 12 of the Constitution.</p> <p>http://www.harrow.gov.uk/www2/documents/s133775/025%20Part%203B%20Delegation%20to%20officers.pdf</p> <p>http://www.harrow.gov.uk/www2/documents/s133766/016%20Article%2012%20Officers.pdf</p> <p>Statutory Monitoring Officer functions to report on likely contravention of any enactment or rule of law. Chief and Statutory Officers are required to comply with council procedural rules (as evidenced in the Constitution).</p> <p>Principles of decision-making are set out in Article 13 of the Constitution.</p> <p>http://www.harrow.gov.uk/www2/documents/s127921/Article%2013%20Decision-making.pdf</p>	HP	CE 22/04/16	No Gap
4.11	Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on local authorities by public law	<ul style="list-style-type: none"> • Record of legal advice provided by officers 	<p>Any legal advice provided by officers is recorded in reports and a specific section for this is set out in the report templates (see paragraph 4.6).</p>	HP	CE 22/04/16	No Gap

4.12	<p>Observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justice – into their procedures and decision-making processes</p>	<ul style="list-style-type: none"> • Monitoring officer provisions • Job description/specification • Statutory provisions 	<p>Details of the statutory obligations (Head of Paid Service, Corporate Directors of Children’s, Adults & Housing, Corporate Finance and Monitoring Officer) are available in Article 12 and Part 3B of the constitution:</p> <p>http://www.harrow.gov.uk/www2/documents/s133766/016%20Article%2012%20Officers.pdf</p> <p>http://www.harrow.gov.uk/www2/documents/s133775/025%20Part%203B%20Delegation%20to%20officers.pdf</p> <p>Statutory Monitoring Officer functions to report on likely contravention of any enactment or rule of law. Chief and Statutory Officers are required to comply with council procedural rules (as evidenced in the Constitution).</p>	HP	CE 22/04/16	No Gap
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5. Core principle: Developing the capacity and capability of members and officers to be effective

Supporting principle: Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles

	Governance Requirement (reflected in code)	Examples of Evidence:	Harrow Governance Mechanisms in place and Evidence:	Owner	Evidence updated (date & initials)	Gap
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5.1	Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis	<ul style="list-style-type: none"> • Training and development plan • Induction programme • Access to update courses/information/briefings on new legislation 	<p>The Council ran 3 Corporate Induction sessions during 2015/16</p> <p>Specifically Paragraph 1.4 of the Induction checklist under Knowledge and Understanding staff are asked to become aware of the range of Employment policies including Code of Conduct, Whistle Blowing Policy, Corporate Governance, Financial Regulations and Standards, Health & Safety Polices, Equal Opportunities Policy etc.</p> <p>The staff induction checklist is accessible at: http://harrowhub/info/200294/starters_and_leavers/1334/staff_induction</p> <p>There is a Corporate Development Programme and Directorate L&D plans. The Council was awarded Investor in People accreditation in 2014 and the Resources Directorate and Housing Departments awarded IIP Gold.</p> <p>Regular training sessions are held for members. Subjects covered in 2015/16 include equalities, data protection and FOI, the role of a member during an emergency and understanding and analysing performance data and financial data. Members of committees are also trained in those specific areas e.g. planning and licensing.</p>	JT	JT 15/03/16	No Gap
				HP	CE 22/04/16	

5.2	<p>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 organisation</p>	<ul style="list-style-type: none"> • Job description/personal specifications • Membership of the top management team 	<p>The current Chief Executive and HoPS was appointed in Feb 15. See 2.3</p> <p>Currently 6 post holders cover 7 Statutory Officers roles (the Monitoring Officer is also Returning Officer).</p> <p>They are members of Corporate Strategy Board (CSB) and attend Board meetings, attend Board meetings and have a dotted reporting line to the Chief Executive so that they are able to raise any concerns regarding the resources and support available to them directly with the HoPS.</p> <p>Experienced people in post recruited via Council Recruitment process to ensure they have the appropriate skills.</p> <p>http://harrowhub/info/200185/csb/363/corporate_strategic_board</p>	JT	<p>JT 11/05/16</p> <p>SD 10/08/16</p>	No Gap
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Supporting principle: Developing the capability of people with governance responsibilities and evaluating their performance as individuals and as a group

	Governance Requirement (reflected in code)	Examples of Evidence:	Harrow Governance Mechanisms in place and Evidence:	Owner	Evidence updated (date & initials)	Gap
5.3	Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively	<ul style="list-style-type: none"> • Training and development plan (covering governance) • Performance reviews of officers and members 	<p>New Members receive Member Induction pack.</p> <p>The Member Development Programme includes mandatory training on their statutory role. Access is available to all members to e-learning Details can be accessed on the intranet at: http://harrowhub/info/200248/member_development/582/d_learning_pod_e-learning_and_classroom_training</p> <p>The Member Development Programme also includes skills development for members working to develop their political roles.</p> <p>A new e-learning module 'Introduction to Corporate Governance for all Staff' has been developed and implemented during 2014/15.</p> <p>The corporate development programme is reviewed annually and and staff learning and development opportunities are published on the intranet at http://harrowhub/site/scripts/documents.php?categoryID=200283</p> <p>E-learning is available to all staff through the Learning POD and courses continue to be introduced.</p> <p>The Council was assessed against the Investors in People Standard and awarded IIP status in November 2014. The Resources Directorate and Housing Division have been awarded IIP Gold accreditation.</p>	JT	JT 11/05/16	No Gap

5.4	Develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed	<p>Training and development plan reflects requirements of a modern councillor including:</p> <ul style="list-style-type: none"> • The ability to scrutinise and challenge • The ability to recognise when outside advice is required • Advice on how to act as an ambassador for the community • Leadership and influencing skills • Staff development plans linked to staff appraisals 	<p>See responses to 5.3 above.</p> <p>Example only covers members.</p> <p>CCG happy 5.3 covers 25/06/14</p>	JT	JT 11/05/16	No Gap
5.5	Ensure that arrangements are in place for reviewing the performance of the executive as a whole and of individual members and agreeing an action plan, which might for example aim to address any training and development needs	<ul style="list-style-type: none"> • Performance management system 	<p>Harrow has a defined performance management framework. See 2.10. The Council has restructured its senior management and the new team are considering a senior management development programme to meet identified needs. The Council is restructuring its senior management team and a senior management development programme is being prepared to meet identified needs.</p> <p>The Member Development Programme is developed in conjunction with elected members and based on a Training Needs Analysis. .</p>	JT	JT 11/05/16	No Gap

Supporting principle: Encouraging new talent for membership of the authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal

Governance Requirement (reflected in code)	Examples of Evidence:	Harrow Governance Mechanisms in place and Evidence:	Owner	Evidence updated (date & initials)	Gap
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5.6	<p>Ensure that effective arrangements are in place designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority</p>	<ul style="list-style-type: none"> • Strategic partnership frameworks • Stakeholders' forums' terms of reference • Area forums' roles and responsibilities • Residents' panel structure 	<p>Service User Groups are in place for key service areas for example, Neighbourhood Champions and Park User Groups in Environment and Enterprise, services user groups for social care, foster carers forums.</p> <p>The Engagement Tracker seeks residents' opinions on a wide range of service and community issues. The new Communications provider has continued this survey from 2015 and added <u>Values / Modes analysis</u>, with an increased sample of residents.</p> <p>Improving resident engagement is central to the Harrow Ambition Plan and as well as the events that took place in developing this plan, a detailed local 'ethnography' study, with 'deep dives' into local communities, has taken place during 2016 and 2017 and is informing planning and decision making processes.</p>	AD	DH 10/04/16	No Gap
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5.7	Ensure that career structures are in place for members and officers to encourage participation and development	<ul style="list-style-type: none"> Succession planning 	<p>The member and staff corporate development programmes are referenced at 5.3 above. Additionally, leadership development programmes have been run and development programmes also take place within Directorates, in particular Children's and Adults, predominantly focussing on safeguarding.</p> <p>The People Strategy for 2014-16 includes actions to ensure that career pathways and succession planning / talent management are taken forward. The MyLearning system, which facilitated this, was replaced in October 2015 by the Learning POD which gives staff the opportunity to access all learning and development activities including face to face training, e-learning, learning records and reporting.</p> <p>To encourage officers' participation and development the Council's appraisal process continues to require managers to consider employees' career development aspirations. Council performance in ensuring all staff receive an annual appraisal review is monitored through Improvement Boards Where appropriate Directorate workforce strategies include developing career pathways and structures to enable effective workforce planning.</p> <p>The Council was assessed against the Investors in People Standard and awarded IIP status in November 2014.</p>	JT	JT 11/05/16	No Gap
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6. Core principle: Engaging with local people and other stakeholders to ensure robust public accountability

Supporting principle: Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships						
	Governance Requirement (reflected in code?)	Examples of Evidence:	Harrow Governance Mechanisms in place and Evidence:	Owner	Evidence updated (date & initials)	Gap
6.1	Make clear to themselves, all staff and the community to whom they are accountable and for what	<ul style="list-style-type: none"> Community strategy 	<p>The Council is accountable to the public through the electoral process, and to specific inspectorates such as Ofsted and CQC for its performance and to a number of other official bodies ranging from the Health and Safety Executive to Registrar General for specific areas of activity. Members are made aware of these accountabilities when pertinent and staff are aware of accountabilities that touch on their duties.</p> <p>For 2016-19 the Council devised a set of priorities which are laid out in the Harrow Ambition Plan, with clearly communicated examples of how these will be delivered.</p>	AD	DH 10/04/16	No Gap
6.2	Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required	<ul style="list-style-type: none"> 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 	<p>New Consultation Standards were adopted in 2015. A consultation toolkit is available on the Harrow Hub. Lists of stakeholders held in different parts of the Council will be made available via Sharepoint which is currently being implemented across the authority.</p>	AD	DH 10/04/16	No Gap
6.3	Produce an annual report on the activity of the scrutiny function	<ul style="list-style-type: none"> Annual report 	<p><u>Scrutiny Annual Reports.</u></p> <p>The 2015-16 report is not yet published.</p>	AD	DH 10/04/16	No Gap

Supporting principle: Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning

	Governance Requirement (reflected in code?)	Examples of Evidence:	Harrow Governance Mechanisms in place and Evidence:	Owner	Evidence updated (date & initials)	Gap
6.4	Ensure clear channels of communication are in place with all sections of the community and other stakeholders, including monitoring arrangements, and ensure that they operate effectively	<ul style="list-style-type: none"> • Community strategy • Citizen survey 	<p>Community engagement is central to the Harrow Ambition Plan.</p> <p>Events were held for residents, local organisations and other stakeholders in developing the Harrow Ambition Plan.</p> <p>A regular survey of residents has been carried out for several years to track residents engagement and views of the Council, which also informs planning and decision making.</p> <p>See also 5.6 above</p>	AD	DH 10/04/16	No Gap
6.5	Hold meetings in public unless there are good reasons for confidentiality	<ul style="list-style-type: none"> • Constitution 	<p>Access to information rules – Part 4G of the Constitution</p> <p>http://www.harrow.gov.uk/www2/documents/s133784/034%20Part%204G%20Access%20to%20Information%20Rules.pdf</p> <p>Meetings are held in public and the agenda and minutes are published unless they are exempt.</p>	HP	CE 22/04/16	No Gap

6.6	<p>Ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands</p>	<ul style="list-style-type: none"> Record of public consultations Processes for dealing with competing demands within the community 	<p>See Section 5.6 above</p> <p>Harrow's Community Involvement Toolkit provides practical advice and guidance including how to engage "seldom heard" groups.</p>	AD	DH 10/04/16	No Gap
6.7	<p>Establish a clear policy on the types of issue on which they will meaningfully consult on or engage with the public and service users, including a feedback mechanism for those consultees to demonstrate what has changed as a result</p>	<ul style="list-style-type: none"> Partnership framework Communication strategy 	<p>Harrow previously used the Objective consultation portal. This was decommissioned in 2015. Procurement of new consultation software to help co-ordinate consultation activity is currently underway.</p> <p>Partnership Framework see above.</p> <p>Communications Strategy</p>	AD	DH 10/04/16	No Gap



6.8	<p>On an annual basis, publish a performance plan giving information on the authority's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period</p>	<ul style="list-style-type: none"> • Performance plan • Annual financial statements • Corporate plan • Annual business plan 	<p>Harrow Ambition Plan establishes vision, strategy and plans</p> <p>Progress against the Corporate Plan is tracked through the Strategic Performance Report</p> <p>The Annual Financial Statements also provide a summary of achievements for each year.</p> <p>See also: 1.4 Performance and Finance reporting 2.10 Service Planning</p>	AD	DH 10/04/16	No Gap
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6.9	<p>Ensure that the authority 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 dealing, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so</p>	<ul style="list-style-type: none"> • Constitution • Freedom of information Act publication scheme • Council tax leaflet • Authority website 	<p>The Council website provides information regarding the Council and its functions, including the Constitution.</p> <p>Information on the Freedom of Information Act is on the website. This includes the publication scheme, disclosure log, frequently requested information and how to make a request under the Act,</p> <p>http://www.harrow.gov.uk/info/200031/data_protection_and_freedom_of_information_foi</p> <p>information about the budget and how it is spent is available on the Council's website.</p> <p>http://www.harrow.gov.uk/homepage/213/budget_2015_16</p> <p>Harrow People – residents' magazine delivered to residents' homes every three months and can also be downloaded from the website.</p> <p>http://www.harrow.gov.uk/info/200116/media_publicity_and_web/789/harrow_people_magazine</p> <p>All expenditure over £500 and senior managers' salaries are published on the Council's website.</p> <p>http://www.harrow.gov.uk/info/200031/data_protection_and_freedom_of_information_foi/1216/local_authorities_data_transparency</p> <p>The Constitution sets out how the Council encourages participation of residents and specifically Article 3 sets out citizens' rights including access to information, attendance at meetings and how to participate in local issues.</p> <p>Summary and Explanation: http://www.harrow.gov.uk/www2/documents/s127907/002%20Part%201%20Summary%20and%20Explanation.pdf</p> <p>Citizens' Rights (Article 3): http://www.harrow.gov.uk/www2/documents/s113928/007%20Article%2003.pdf</p>	HP	CE 22/04/16	No Gap
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Supporting principle: Making best use of human resources by taking an active and planned approach to meet responsibilities to staff

	Governance Requirement (reflected in code?)	Examples of Evidence:	Harrow Governance Mechanisms in place and Evidence:	Owner	Evidence updated (date & initials)	Gap
6.10	Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making	<ul style="list-style-type: none"> • Constitution • Adherence to best practice standards in recruitment and staff terms and conditions 	<p>The terms of reference for the Council's Employee Consultative Forum, Corporate Joint Committee and Directorate Joint Committees set out the process for consulting and involving staff representatives in decision making. LINK http://harrowhub/site/scripts/documents.php?categoryID=200290</p> <p>The Council's Protocol for Managing Organisational Change sets out the policy and procedures for consulting with staff and their representatives on decisions affecting the workforce. LINK http://harrowhub/info/200282/organisational_change/1228/managing_change_policy_and_procedure</p> <p>New Consultation Standards were adopted in 2015. A consultation toolkit is available on the Harrow Hub. See 6.2</p>	JT	JT 11/05/16	No Gap

Wider governance areas						
	Governance Requirement	Examples of Evidence:	Harrow Governance Mechanisms in place and Evidence:	Owner	Evidence updated (date & initials)	Gap
7.1	The council has an organisation-wide approach to managing assets as a corporate resource, rather than a compartmentalised, departmental driven approach. The council focuses on using the asset base to help deliver sustainable social, environmental and economic outcomes for local communities	<ul style="list-style-type: none"> Asset Management Plan 	Corporate landlord model is embedded and asset management is done by the Community Directorate. A general asset review was implemented in March 2016 to support an asset maximisation project across the Council. This will inform the Asset Management strategy that will be going to Cabinet in October 2016	CB	VR-B 13/05/16	<p style="color: red;">GAP 7 14/15 – partially addressed with plans in place to a completely address.</p> <p>2015/16 Gap Closed – Asset Management review complete and Asset Management plan aimed to October Cabinet</p>

7.2	<p>Business/service continuity plans have been drawn up for all critical service areas and the plans: Are subject to regular testing</p> <p>Are subject to regular review</p>	<ul style="list-style-type: none"> • Current business/service continuity plans exist covering all critical service areas and are readily accessible • Evidence of regular testing • Evidence of regular review in the light of the results of testing and for changes in structures, procedures, information systems, responsibilities etc 	<p>Response from Action plan update February 2016: Across the council, 68% of BC Plans have been reviewed (Green), 32% of BC Plans are currently being reviewed (Amber), and 0% of BC Plans are still due for review (Red). The interim BC officer has sent service leads a reminder that they are responsible for their service plans, review, testing and updating; in March 2016. SAP IT Disaster Recovery (DR) plan in place and has been tested by Sopra Steria in February 2016. Annual review of all Business Continuity Plans to ensure up to date, conducted from October 2015 to February 2016. Business continuity workshops for service managers were held in November 2015, BC awareness part staff induction + BC info on the Hub Harrow Corporate BC plan reviewed and updated with WLA changes in March 2016. . The IT Disaster Recovery (DR) plan has been reviewed by Sopra Steria, the IT Client Team, and EP&BC Team in January 2016.</p> <p>IA review 2014/15 Red/Amber Assurance, follow-up 2015/16 Green Assurance.</p> <div style="display: flex; justify-content: space-around; align-items: center;"> <div style="text-align: center;">  BC ITDR Final report with updated append </div> <div style="text-align: center;">  BC&ITDR Follow up Memo final.doc </div> </div>	AD	KG 16/03/16	<p>follow-up</p> <p>Significant Gap 1 2014/15 –Red/Amber assurance audit report (BC/IT DR)has been addressed by the EP&BC Team and the IT Team. A work programme has been produced to address the recommendations – combine it with IT Data Centre Red Assurance = significant gap 2015/16 – GAP closed Green assurance provided at</p>
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7.3	<p>A corporate health and safety policy has been drawn up, formally approved, is subject to regular review and has been communicated to all relevant staff</p> <p>The Corporate health and safety policy is effective</p>	<ul style="list-style-type: none"> • Health & safety policy exists and has been reviewed and updated regularly • Policy covers partnerships • Evidence of formal approval • Examples of dissemination e.g. induction, briefings, awareness sessions, inclusion of policy on website and intranet site • Evidence of effectiveness of policy e.g. number of cases investigated by Health & Safety Executive – and the number of cases proven • Review of number of reported incidences and ‘near misses’ 	<p>Health & safety Policy exists and is reviewed annually, last time was October 2015</p> <p>http://harrowhub.harrow.gov.uk/info/200308/health_and_safety/436/health_and_safety_codes_of_practice/15</p> <p>Policy does cover partnerships</p> <p>An annual safety review is undertaken and a report prepared detailing health & safety performance to enable the Council to determine it’s effectiveness in managing risk and address any shortcomings. GARMS July 15.</p> <p>http://moderngov:8080/ieListDocuments.aspx?CId=850&MId=62635&Ver=4</p> <p>Part of annual Health and safety report</p> <p>An independent audit has just taken place of Corporate Health & Safety to carry out a GAP analysis and help steer its future course.</p>	CB	Richard Le-Brun (16/03/16)	No Gap
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7.4	The council manages data on systems with controlled and secure access.	<ul style="list-style-type: none"> Acceptable Use policy 	<p>User ID and passwords govern all corporately controlled council IT systems and this is based on the least privilege model.</p> <p>Complex password policy is in place where users have to use minimum of 8 characters and has to be a mixture of upper/lower case, numbers or special characters.</p> <p>Council staff have been made aware of the requirements on passwords.</p> <p>Access to the Internet is filtered based on business requirements.</p> <p>All Harrow devices that are used for remote working are encrypted and use 2-factor authentication to login to Harrow systems.</p> <p>Harrow perimeter is protected by Firewalls and Reverse proxies.</p>	TW	RP 22/03/16	Gap 8 2014/15 (passwords) 2015/16 Gap closed
7.5	There are up-to-date data security policies and guidance in place covering: <ul style="list-style-type: none"> key business areas 	<ul style="list-style-type: none"> Data security policies in place 	Policy updated and approved by the by the Information Governance Board on March 22nd 2016.	TW	RP 22/03/16	

7.6	<p>Policies and procedures meet the requirements of national standards, rules, definitions and guidance, for example the Freedom of Information Act and Data Protection Act. The council periodically reviews and updates these as necessary. The council can demonstrate it applies policies and procedures consistently and there are mechanisms in place to check this, based on risk.</p>	<ul style="list-style-type: none"> • Evidence of reviews • Checking mechanisms 	<p>All information management policies have been drawn up within the requirements of current legislation and guidance from LGA, Central Government and the Information Commissioner.</p> <p>Policy compliance software to be purchased in the near future, which will monitor and test policy compliance.</p>	TW	RP 22/03/16	<p>Gap 9 2014/15 c/f 12/13 + 13/14 2015/16 GAP 6</p>
7.7	<p>Senior management receive the results of these reviews and take corrective action where necessary. The council complies with data protection legislation, and other relevant requirements, without creating unnecessary barriers to sharing data legitimately with partners</p>	<ul style="list-style-type: none"> • 	<p>The policy compliance monitoring reports (once software is installed and surveys produced) will be distributed to relevant senior managers where corrective action will be sought. This is currently a manual process.</p> <p>The council complies with DPA legislation and has data sharing protocols in place to ensure that data is shared appropriately and within the realms of the DPA law.</p>	TW	RP 22/03/16	<p>Gap c/f 12/13 & 13/14 combined with 7.6 GAP 2015/16 (combined with 7.6)</p>

7.8	<p>The council manages information risk effectively. Arrangements meet the requirements expected in government including having a capable Senior Information Risk Owner (SIRO). The council complies with the requirements set out in any relevant codes of connection for services it has in place, for example the Government Secure Intranet / Government Connect</p>	•	<p>Information Asset Register (IAR) have been reviewed and updated for 2015-2016. The next review cycle for IRR will start in June 2016.</p> <p>Current registers available as evidence.</p> <p>See Published <u>Information Asset Register</u> RP to update link</p> <p>The Council's SIRO is the Corporate Director of Resources and Commercial</p> <p>Harrow holds a valid PSN compliance certificate and meets the PSN CoCo requirements.</p>	TW	RP 22/03/16	No Gap
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7.9	<p>The council incorporates good practice standards and specified public sector policies on data and information security into its own policies and procedures. For example, ISO27001 and relevant Codes of Connection for the NHS Network (N3) and Government Secure Intranet and Government Connect.</p>	<ul style="list-style-type: none"> • 	<p>Council has successfully gained IG tool kit acceptance/accreditation to enable connection of N3 etc.</p> <p>Harrow is PSN compliant until 07 March 2017 and meet the PSN CoCo requirements. Submission for renewal will be on or before 06 February 2017.</p> <p>Harrow follows ISO27001 principles and CESG guidelines.</p> <p>GCSx/PSN access is controlled by Firewall access list and access is only granted after the users have gone through a security and BPSS check.</p>	TW	RP 22/03/16	No Gap
7.10	<p>The council can demonstrate it is reducing the number, severity, or both, of security incidents as well as feeding lessons from incidents into information security policies and practice.</p>	<ul style="list-style-type: none"> • 	<p>A security incident/breaches register is in place and is monitored by Council's Information Governance and Security team and the Information Governance and Security Board. Policies and procedures have also been improved through improvement reviews conducted by offending service area and monitored by the Information Governance and Security team in conjunction with Internal Audit i.e. Incident reporting and management procedure.</p> <p>Training workshops on Information Governance and Security has recently been delivered to Services Managers and information owners across the Council to re-iterate the importance of information security and how to avoid security incidents/breaches.</p>	TW	RP 22/03/16	<p>Gap 10 2014/15 c/f 12/13 + 13/14 GAP closed (training)</p>

7.1 1	<p>There are high levels of staff satisfaction, including across different groups in the workforce, and good retention levels, particularly in priority areas and where there are skills shortages. The council is considering introducing a total rewards approach to attract, retain and reward staff. This includes developing opportunities for flexible working arrangements to support staff through key life events</p>	<ul style="list-style-type: none"> • Staff survey results • Retention levels • Total rewards approach • Skills gaps • Flexible working arrangements 	<p>The Council's last staff survey took place in June 2014 and the next survey will take place in 2016.</p> <p>The Council was assessed against the Investors in People Standard and awarded IIP status in November 2014. The Resources Directorate and Housing Division have been awarded IIP Gold accreditation.</p> <p>A collective agreement was reached with the unions in 2012/13 on modernised terms and conditions of employment which includes options for improved flexibility in working arrangements, although there is an extensive range of options already available to staff) and total reward. A copy of the collective agreement is in the evidence file at 7.11.</p> <p>A new Mobile and Flexible Working Policy was introduced in November 2013.</p> <p>The Council offers an attractive range of staff benefits including: a new staff benefits scheme offering discounts on a wide variety of products and services, a range of health & wellbeing support and a number of salary sacrifice schemes. http://harrowhub/site/scripts/documents.php?categoryID=200295</p> <p>Areas with identified skills shortages e.g. Children's Social Work have developed strategies to minimise this and the Council's pay policy allows for the use of market factor supplements to address recruitment & retention problems related to market pay rates.</p> <p>Staff turnover is monitored quarterly.</p>	JT	JT 11/05/16	No Gap
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