	The Council should demonstrate the following requirements	Position at Woking
A	**Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law**	
A1	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	There are Codes of Conduct for both Employees and Members. The culture and behaviours required are covered in new Member briefings. The Council has a complaints procedure details of which are on the Council's website. Staff briefings visibly set the tone for staff and consistently demonstrate the public service ethos. Copies of staff briefings are available to view for anyone who has missed them.
A2	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 on the Seven Principles of Public Life (the Nolan Principles)	The Council has both Employee and Member Code of Conducts which reflect the 'Seven Principles of Public Life'. Staff and Member inductions cover these Codes. Training is provided as considered necessary.
A3	Leading by example and using the above standard operating principles or values as a framework for decision making and other actions	The Council has a written constitution which sets out, amongst other things, the organisational structure of the Council, the responsibilities of committees and members as individuals, a scheme of delegation to officers and codes of conduct. A review of the Constitution was conducted and consulted upon during 2015/16 ahead of the ward boundary changes and reduction in Councillors in May 2016. The Constitution reflects the strong leader approach, and the Council has identified Portfolio holders and shadow portfolio holders.
A4	Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively	Policies are reviewed on a regular basis. The Behaviour & Skills Framework for staff is part of the Performance Development Review process. Internal Audit review for appropriate and regularly updated policies, and undertake specific work in areas such as gifts and hospitality.
A5	Seeking to establish, monitor and maintain the organisation's ethical standards and performance	Induction training for all staff incorporates the organisational and operational framework of the Council. A comprehensive training programme is provided for members. The Standards and Audit Committee is responsible for: (i) promoting and maintaining high standards of conduct by councillors and co-opted members in accordance with the Members' Code of Conduct;; (ii) assisting councillors and co-opted members to observe the Members' Code of Conduct; (iii) advising the Council on the adoption or revision of the Members' Code of Conduct; (iv) monitoring the operation of the Members' Code of Conduct; (v) advising, training or arranging to train councillors and co-opted

The Council should demonstrate the following requirements	Position at Woking
	members on matters relating to the Members' Code of Conduct; (vi) determining allegations that there has been a breach of the Members' Code of Conduct in accordance with arrangements adopted by Council; (vii) act as the Council's Audit Committee. In performing this task the Standards and Audit Committee will: approve the plans of Internal Audit and consider the External Audit plan, · receive the Annual Audit and Inspection letter from External Audit; · receive Internal Audit recommendations for improvements and assurance that action has been taken where necessary; · review summary Internal Audit reports (located on the intranet); · receive a half yearly and annual report from the Chief Internal Auditor on the work of Internal Audit; · receive appropriate matters of concern raised by either External or Internal Audit or other agencies; and · ensure that there are effective relationships between Internal and External Audit and promote the value of the audit process; (viii) overseeing the Council's Risk Management, Anti Fraud and Whistleblowing strategies, and Health and Safety policies and practices; (ix) the receipt of the Annual Governance Statement; and (x) oversight of payments in cases of maladministration which are neither disputed nor significant (which are dealt with by the Monitoring Officer)
A6 Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation	The constitution contains a member code of conduct together with a number of statements and protocols covering registration of interests, anti fraud and corruption policy. The Council has a code of conduct for officers. The Council has a Customer code of conduct together with an equalities and diversity policy designed to define the relationship with customers and to remove any bias in dealing with the community. We also have a number of HR policies such as Anti bullying and Whistleblowing that relate to conduct and personal behaviour. The 2015 Peer Review noted: "Partners of all types speak highly of the people they work with and their obvious dedication and hard work"
A7 Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values	The Council operates within a framework which includes codes of conduct, customer service policies, equality and diversity policies, vision and values all of which serve to provide an environment promoting ethical standards and equality of treatment.

	The Council should demonstrate the following requirements	Position at Woking
		The Member code of conduct and the constitution require the declaration of interests of officers and members to be made at meetings where matters require such a declaration including meetings of the Thameswey Group boards. Other declarations and registrations include related party transactions for members and senior officers, members and senior officers recording when a relative is employed by the council, interests of officers in contracts involving relatives, and declarations of gifts and hospitality by all in a register maintained by the Head of Democratic and Legal Services. The Council has a confidential reporting 'whistleblowing' policy which is accessible via the intranet and internet.
A8	Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with ethical standards expected by the organisation	The council clearly understands its role as a leader within the local community and has set out within its values the way in which the authority should operate - e.g. openness, honesty, transparency - when dealing with all elements of the community and the expectation that others associated with the Council will operate similarly to engender a positive and trusting relationship. Expectations are incorporated into contractual arrangements where appropriate and addressed at contract meetings.
A9	Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations	The Head of Democratic and Legal Services is the Council's Monitoring Officer, responsible for ensuring the Council acts in accordance with the Constitution. Committee reports consider legal implications. External legal advice is taken where appropriate. Legislative matters are dealt with at local level where changes are evaluated by suitably qualified staff supported by legal services. Major legislative change will require the Legal service to assess, evaluate and advise on the impact of legislative changes. The constitution sets out the limits of activity. Legislation around the power of general competence means the Council has wide legislative powers to undertake activities for the benefit of its community and seeks to make full use of these.
A10	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	The Constitution sets out the responsibilities of the statutory officers. The 3 statutory officers (Chief Executive – Head of Paid Service, Head of Democratic and Legal Services – Monitoring Officer, and Finance Director – Chief Finance Officer/Section 151 Officer) are members of the Council's Corporate Management Group (CMG). CMG meets weekly, there are regular meetings between the Chief Executive and Council Leader and

	The Council should demonstrate the following requirements	Position at Woking
		with portfolio holders to discuss and challenge proposals.
A11	Striving to optimize the use of the full powers available for the benefit of citizens, communities and other stakeholders	It is the responsibility of the relevant CMG member to identify opportunities to benefit local citizens, prioritising those considered most beneficial to the community and meeting the locally identified needs. Through the Personal Development Review process, and the Behaviour and Skills framework, the Council encourages staff to be challenging and innovative and improvements are brought in by senior managers and their staff.
A12	Dealing with breaches of legal and regulatory provisions effectively	The Council has effective processes in place in the event of any breaches. It is the responsibility of the Monitoring Officer to assess the appropriate actions.
A13	Ensuring corruption and misuse of power are dealt with effectively	There are procedures for reporting any suspected issues, and for dealing with any identified instances. This may include the involvement of the police. There is a formal complaints procedure which was updated in 2015 and provides for a response from a manager and allows for an appeal to be considered if the complainant is not satisfied. The Legal section monitors corrective action taken in response to upheld Ombudsman complaints against the authority. The Standards and Audit Committee reviews the outcome of Ombudsman complaints. Officers and members are required to declare interests in issues being determined by the Council and generally with regard to any business of the Council. Standing orders and financial regulations have similar requirements governing operational decisions made by officers. The register of interests is a public document and is available on the Council's website. The council has a confidential reporting policy for staff available through ewokplus. Members of the public normally write to one of the three Statutory Officers. The Vision and Values statement requires members and officers to demonstrate these behaviours
B	**Ensuring openness and comprehensive stakeholder engagement**	
B1	Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness	The Council is committed to openness, support and respect. Procedural rules make detailed provision for rights of access for public

The Council should demonstrate the following requirements	Position at Woking
	and members. The council complies with statutory requirements regarding access e.g. to financial information and responses to Freedom of Information requests. A new system is being introduced to improve the efficiency and effectiveness of the Council's response to Freedom of Information requests. . There is also extensive information published on the internet. This continues to be developed following the introduction of the Local Government Transparency Code. The Council uses the datashare software and continues to add more information here to enable easy access for members of the public. There is an internal and external communications strategy The Council issues regular press releases to the local media. Committee reports are available on the Council's website and meetings are webcast with the recording also available afterwards to view. The Green Book performance monitoring and financial information is published monthly and also available on the Council website. There is a Marketing and Communications strategy and action plan.
B2 Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided.	Decisions only made confidentially with specific reasons provided. Items held in part 2 of the agenda are kept to a minimum where there is information of a confidential, commercial third party or personal nature. Wherever possible decisions and discussion is public and broadcast on webcasts also available to view afterwards on the Council's website. If necessary supporting confidential details are provided in a separate report, with the discussion in Part 1 unless it is necessary to refer to the confidential data. Delegated decisions are published on the Council's website.
B3 Providing clear reasoning and evidence for decision in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear	The Council uses an application called Shikari which serves to make available to officers and members reports as they are being prepared. Relevant officers can add their appropriate comments during this preparation process. Portfolio holders and the Executive are briefed on reports prior to publication. Decisions made at meetings are loaded into shikari with responsible officer and timescale and progress is monitored automatically. In 2018/19 the Council is moving to the use of Modgov which will provide increasing transparency across WBC and other partners (eg SCC) which aids partnership working.

	The Council should demonstrate the following requirements	Position at Woking
		Reports are drafted using a standard, logical structure which supports decision making and assists clear reasoning and the provision of evidence. Impact assessments are completed for each committee report.
B4	Using formal and informal consultation and engagement to determine the most appropriate and effective intervention/courses of action	The Leader of the Council and Chief Executive are part of the management arrangements of Enterprise M3, the Local Enterprise Partnership. The Leader is part of the wider Surrey Local Authorities 'Leader Group' and senior officers engage in County wide professional groups. A Business Breakfast meeting is held each year which provides an opportunity to update the business community on the Council's plans and receive feedback. Officers engage widely with community and resident association groups. Members are represented on various community groups. The Council provides approximately £1m of funding for voluntary groups and senior officers regularly meet with representatives. There is an active Youth Council supported financially by the Council.
B5	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	*Institutional stakeholders are the other organisations that local government needs to work with to improve services and outcomes (commercial partners, suppliers, other public and third sector organisations) or organsations to which they are accountable.* The Council has well developed relationships with other local authorities through joint working groups, health service, voluntary and community groups. There is a Woking Joint Committee which has responsibility for decision making across range of services. Members of CMG take the lead on key relationships and feed back through CMG meetings and team meetings as appropriate. The Council's approach is to be supportive of others and engage in discussions and work programmes.
B6	Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved	The Council has outsourced a number of services where outcomes can be achieved more efficiently and effectively. Close relationships have been

	The Council should demonstrate the following requirements	Position at Woking
	more effectively	developed with those providers of the outsourced provision: Leisure, Housing, AM/FM.
		The Council has worked closely with 3 other Surrey Districts on the provision of a joint waste contract which became operational for Woking in September 2017. This has generated savings across the partners. Where there are areas of expertise/capacity officers work with colleagues across Surrey to make good use of resource – examples include parking, fraud work
		The Council supports Community Groups and local partners - £1.3m funded in year – to achieve local outcomes.
		The Thameswey group of companies, wholly owned by the Council, was set up to effectively seek local outcomes in a more commercial environment. The group includes joint venture companies with a development partner.
		The Joint Committee (SCC/WBC) was established in June 2014. Its primary focus is to improve outcomes and value for money for citizens and businesses of Woking by strengthening local democracy and improving partnership working in the Borough. Both Councils have delegated decision-making powers to the Joint Committee across a wide range of activities and it makes joint decisions on various strands of work including Community Safety, Health and Safety, Youth, Highways, On-Street Parking, Infrastructure and Early Help.
		There are regular meetings with the Woking Chamber of Commerce.
B7	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.	The Council's key partners are the group of companies set up to deliver the Council key priorities of affordable housing and energy/environment matters and developments. A set of protocols has been developed and approved by the Council and the Thameswey Group to improve the governance and transparency of the Thameswey Group activities. There are briefings for Members on Group activities and Members can attend Board meetings. . Other objectives are being progressed through joint ventures with other organisations most notably the Victoria Square regeneration. Appropriate arrangements are in place to support these joint ventures. In light of the need to make efficiency savings the Council is working with other local authorities and organisations to transform the way

	The Council should demonstrate the following requirements	Position at Woking
		services are delivered. This includes joint procurement, sharing accommodation or outsourcing such as has happened with Leisure, HRA and Asset/Facilities Management. All joint arrangements are monitored appropriately.
B8	Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve communities, individual citizens, service users and other stakeholders to ensure that service provision is contributing towards the achievement of intended outcomes	Consultation takes place on a wide variety of issues where the community can influence the outcome whether they be by whole Borough, geographical areas or service/interest specific. The arrangements for consultation are published on the Council's website.
B9	Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement	Formal arrangements exist with a number of stakeholder bodies – Business Breakfast (NNDR consultation), Tenant representatives, user organisations for various services such as Leisure and parking.
B10	Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs.	The Council has an external communications policy and utilises a number of communication channels - self serve via internet; consultation with the citizen's panel; appropriate consultation as required for specific issues. Alternative arrangements will be made for hard to reach sections of the community.

The council has adopted a principles of consulting document, published on the internet providing guidance on the arrangements for engaging with all sections of the community recognising their different needs. The Council participates in and actively supports and consults with disabled groups to help frame policy and services. Resources are in place to ensure community engagement is managed strategically and some 18 staff are trained facilitators offering a range of skills to engage appropriately with different groups and sections of the community. Where necessary appropriate use is made of specialist resources to engage with particular cultures, languages, disabilities, etc. Work with and use partners' expertise to engage with different groups, e.g. Connect to Innovation and Surrey Chamber of Commerce to engage with businesses and the commercial sector |
B11	Implementing effective feedback mechanisms in order to demonstrate how views have been taken into account	Any complaints received are used to improve service delivery at a local level. The Council advises on responses to consultations either individually or by way of committee reporting as appropriate.
B12	Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity	The Council seeks to use objective data sources to balance special interest group representations with wider community interest.
B13	Taking account of the impact of decision on future generations of tax payers and service users	The Council takes a long term view through preparation of long term plans and strategies – Woking 2027, Core Strategy, Woking 2050, Medium

	The Council should demonstrate the following requirements	Position at Woking
		Term Financial Strategy.
C	**Defining outcomes in terms of sustainable economic, social, and environmental benefits**	
C1	Having a clear vision, which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provide the basis for the organisation's overall strategy, planning and other decisions	The Woking 2050, Woking 2027 and Natural Woking strategies set out priorities.
		The Council also adopted the Surrey Partnership Plan in 2010 as a driver for policy development. The Joint Committee makes decisions across a range of services.
		The Council actively pursues priorities agreed with partner organisations and the wider community through on-going consultation
		The Council engaged the Local Government Association (LGA) to conduct a Peer Review in October 2015. This evaluated the Council's understanding of local place and priority setting and considered whether an informed clear vision and priorities had been set. The feedback was positive on work to date but recommended that the Council be clear on the next 5 year period. It is intended that the next Peer Review will be in 2019.
		The Council's priorities have been agreed and are approved annually through the service planning process and manifesto pledges.
The service planning process is supported by a corporate team.
The structure of the plan emphasises the way service plans contribute to the development of People, Place and Us.
The Service and Performance Plan is available via the Council's website. Service plans feed into PDR objective setting following the 'golden thread'
		The vision could be further communicated through the development of a Corporate Plan which explains in more detail the how the various projects contribute to the overall strategy for the future. Officers will be working towards this during 2018/19.
C2	Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer	Impact assessments for each committee report. The report format supports the provision of impact summary, reasons for and implications of decisions.
C3	Delivering defined outcomes on a sustainable basis within the resources that will be available	Performance management is well imbedded at the Council with detailed reporting published and publicly available each month. The Medium Term Financial Strategy (MTFS) sets out the resources that are available and the actions required to ensure a sustainable future. The MTFS is formally

		The Council should demonstrate the following requirements	Position at Woking
			updated annually, with updates during the year through budget and other finance papers. Other decisions are made in the context of the MTFS.
C4		Identifying and managing risks to the achievement of outcomes	Comprehensive Service and Corporate Risk Registers are regularly reviewed.
C5		Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available	Service Users expectations are 'managed' by advising of the Council's priorities through the Service Planning process. There are ongoing dialogues with groups regarding the best uses of the resources available.
C6		Considering and balancing the combined economic, social and environmental impact of policies and plans when taking decisions about service provision	The balancing of economic, social and environmental factors is extensively considered as part of the Place Making role led by the Council.
C7		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	The Council has a Medium Term Financial Strategy which sets out the challenges over the next 3-5 years, together with long term planning, climate change and sustainability strategies. Many of the decisions currently being made are long term in nature with Members considering the long term benefits and future need – eg Infrastructure investment, Victoria Square, Hoe Valley School and Community facilities, Sheerwater Regeneration, protection of employment space and Brookwood Cemetery
C8		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	The wider public interest is assessed through public consultation on particular issues. Ultimately the public direction is set through the annual election cycle.
C9		Ensuring fair access to services	Equalities reporting, officer, portfolio holders, considered in all decision reports, considered in fees and charges An Annual Equalities Report is provided to the Executive and an external assessment of the Council by the LGA found that we are at the 'Achieving' level on the Equalities Framework.
D		**Determining the interventions necessary to optimize the achievement of the intended outcomes**	
D1		Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and associated risk. Therefore ensuring best value is achieved however services are provided	Executive and Council reports contain detailed information to support decision making and provide options on the course of action. Members of the Executive have portfolio responsibilities and strong relationships with lead officers enabling rigorous challenge of the information and analysis provided. Matters requiring decisions are reported to the Executive or appropriate committee for approval. The report format is standard providing information in a consistent and comprehensive way.

	The Council should demonstrate the following requirements	Position at Woking
		All reports include a section for financial implications of reports. The process for approving reports includes publishing a forward programme of reports, a timetable for the preparation of reports that specifically provides for the involvement of portfolio holder, CMG and Executive prior to publication. CMG review draft agendas and reports as part of the weekly meeting. Reports are prepared on shikari where everyone has access to read the report,
D2	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	Reviews of service needs inform strategies with examples being Natural Woking and the Playing Pitch Strategy.
D3	Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets	Service planning is well embedded at the Council. Formats of the plans were revised for 2017/18 plans, providing more focused information and better linkages between strategic and operational plans. Targets are agreed and performance monitored through the monthly Green Book publication. An internal audit review of the Council's MTFS has recommended considering a move to 3 year budgeting and target setting. This will be considered during 2018 for the 2019/20 budget.
D4	Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered	Internal consultation is through staff briefings and team meetings. CMG minutes and decisions are published on Ewokplus and there are regular meetings between CMG and Unison. External consultations are undertaken on specific issues. The Woking Joint Committee is a joint committee of Woking Borough Council and Surrey County Council.
D5	Considering and monitoring risks facing each partner when working collaboratively including shared risks	The Council is experienced in working closely with partners and will identify and monitoring risks through an appropriate review mechanism. There are detailed contract management processes for the Council's major contracts (Freedom, NVH, Skanska etc plus joint waste) where risk is considered.
D6	Ensuring arrangements are flexible and agile so that the mechanisms for delivering goods and services can be adapted to changing circumstances	The Council, where appropriate, builds flexibility into contractual (or other) arrangements with third party providers of goods and services. Larger contracts will have formal change control clauses, with smaller contracts allowing more informal change management through dialogue. The Council has a responsive management style and will make appropriate changes as circumstances dictate building strong relationships with providers which enable flexibility.
D7	Establishing appropriate key performance indicators as part of	Key performance indicators are set to improve performance over time

	The Council should demonstrate the following requirements	Position at Woking
	the planning process in order to identify how the performance of services and projects is to be measured	usually to achieve top quartile performance. Performance Indicators are reviewed to ensure they remain the most appropriate and relevant for the Council. Efficiency improvements and income generating assets have been identified to enable the maintenance of service delivery. External Audit continues to assess and report on the Council's value for money approach.
D8	Ensuring capacity exists to generate the information required to review service quality regularly	CMG regularly considers the adequacy of resources and redirects as required. All requests to recruit are considered by CMG which enables capacity to be used flexibly depending on priorities.
D9	Preparing budgets in accordance with objectives strategies and the medium term financial plan	The Council's planning and budgeting processes are closely aligned in the Business planning process. Service plans and budgets are prepared together. The financial strategy makes provision for known changes to services including legislative changes, growth, efficiency savings and the impact of the investment programme. The budget papers provide a summary of the MTFS and high level update. The budget reflects the overarching strategy set in the MTFS and links to the latest plan. The MTFS is subsequently updated to reflect the new base and actions required.
D10	Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy	MTFS last updated March/April 2018. This takes a cautious view on government funding and requires additional savings to be identified and achieved. It identifies uncertainties and flexibilities within the forecasts. There has been an Internal Audit review of the MTFS during 2018 which included comparison with other councils. The Investment Programme is based on best estimated timing and costings for projects which are being worked up. Where it is not possible to include an estimated figure, the narrative report notes the exclusion.
D11	Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints	The MTFS works from the Council's Service Plans with the latest approved budgets used as a base. Future enhancements and changes to services as well as Council responsibilities are identified and brought into the summary position to establish the medium term challenges. The mitigations to the identified pressures, and the supporting narrative, balance the need to scale back plans and developments and costs with the desire to find a way to be able to further priority areas.
D12	Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term	Budgets cover all services areas, project and Investment Programme spend, together with treasury implications. In setting the annual budget a view on the implications for reserves is provided together with reserves forecasts. Capital spend decisions are subject to consideration of the medium term position including servicing and repayment of any debt.
D13	Ensuring the medium term financial strategy sets the context for	The MTFS is subject to at least annual review and was the subject of a

	The Council should demonstrate the following requirements	Position at Woking
	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 optimizing resource usage	series of staff briefings in 2017. It is referred to/updated in each budget report. All committee reports include a financial implications section where any impacts are highlighted and many refer directly to the MTFS.
D14	Ensuring the achievement of 'social value' through service planning and commissioning	Service planning takes into consideration 'social value' including working with partners and voluntary groups across the community.
E	**Developing the entity's capacity, including the capability of its leadership and the individuals within it**	
E1	Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness	Performance information is reported on a monthly basis to members and senior officers and is available to the public on line. The reporting includes exceptional variations from expected service - both good and bad - together with the action being taken to correct poor service. Complaints are monitored and used to inform the performance of a service.
E2	Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how resources are allocated so that defined outcomes are achieved effectively and efficiently	Benchmarking is used on particular service reviews and where decisions regarding changes to services are being considered. The Council has relationships and regularly meets with other local Authorities and shares/learns from the work they are undertaking. Officers meet at a professional level and provide advice and experience to each other. Joint work is completed – eg waste contract – where the opportunities arise. All service options are considered eg on withdrawal of SCC funding.
E3	Recognising the benefits of partnerships and collaborative working where added value can be achieved	The Council actively looks for opportunities to collaborate and achieve better value for money. The Joint Waste contract with 3 other local Districts started September 2017. The Council works closely with community groups, SCC and Health services
E4	Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources	The management structure has been reviewed in recent years and revised to better meet the strategic needs and focus of the Council.
E5	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	The Constitution sets out roles and responsibilities. Long term plans/objectives set out the Council's vision and direction. Members and officers have good working relationships and regular communications.
E6	Publishing a statement that specifies the types of decision that are delegated and those reserved for the collective decision making of the governing body	The Constitution sets out the responsibilities and delegations.
E7	Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure whereby the	The Constitution schedules the responsibilities that are reserved for full meetings of Council and those that are delegated to the Executive or other

	The Council should demonstrate the following requirements	Position at Woking
	chief executive leads 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	committees and officers. The delegations are reviewed annually. The Constitution was reviewed and simplified during 2015/16. For the time being the Leader of the Council has delegated the functions of a strong leader to the Executive. The Constitution contains schemes of delegation for those activities which are delegated to officers. Those officers have prepared schemes of sub delegations to other officers to enable business to be conducted. Following the introduction of Regulations each time a formal delegated decision is made it is recorded and made available via the internet. The Chief Executive, Leader and Deputy Leader of the Council have frequent meetings concerning the business and operation of the Council. CMG meet the Executive on a regular basis to discuss formal Executive business and future plans Portfolio and shadow portfolio holders are nominated for each of the Council's activities. It is the responsibility of Senior Managers and CMG to keep their respective portfolio holder informed of developments in their areas and wider issues. Other members are briefed as appropriate.
E8	Developing the capabilities of members and senior management to achieve effective 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	Senior Management are developed through the current Leadership programme, together with Corporate training programmes. There is support through the PDR process and Peer groupings.There is a comprehensive training programme for Members. The Council's commitment to Member development was first comprehensively assessed by South East Employers in March 2011. Since then Woking has successfully maintained Charter status for Elected Member Development, achieving reaccreditation every three years. The Council was successfully assessed for reaccreditation in 2015 and completed the mid-term assessment in 2017. The next full assessment is due to be undertaken at the end of 2018. The Members Training policy is adopted annually by the Council. In April 2018 it was extended to include mandatory training on specific topics. More on-line training has also been introduced to make sessions more accessible to Members. The Council reviews its programme for Member Development annually

	The Council should demonstrate the following requirements	Position at Woking
		and has developed a comprehensive learning and Development Framework together with the Roles and Responsibilities of Elected Members. This covers a wide range of issues of interest to new and existing members.

Members receive comprehensive briefings and training in overview and scrutiny and a 'Toolkit for successful scrutiny' has been developed and is provided to all Members.

Membership of committees is reviewed annually to assist in member development.

A range of vocational and non vocational training is available to officers. Officer training is managed by the HR section against a Learning and Development plan. There is currently a programme of management development underway following recommendations in the Peer Review.

The organisational structure of the Council provides opportunities for succession planning and internal progression. This is further strengthened by the Behaviour and Skills framework where each post has scored competencies accessible by all so career progression will be easier to identify. |
E9	Ensuring that there are structures in place to encourage public participation	Members of the public can ask questions of Executive Members at the Executive meetings. They can also ask questions at the Joint Committee. The Constitution sets out the processes for consideration of petitions depending on the number of signatures.
E10	Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections	The Peer review completed by the LGA in October 2015 recommended that an organisational development programme be developed to grow commercial and leadership skills. This has started in 2016/17 and will continue to be developed further.
E11	Holding staff to account through regular performance reviews which take account of training or development needs	There is a formal annual Peformance Development Review process.
E12	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	Sickness levels are monitored by managers and HR and reported in the Green Book.
The HR team provide support where issues have been identified.
There are active Health and Wellbeing programmes for staff.
F	**Managing risks and performance through robust internal control and strong public financial management**	
F1	Recognising that risk management is an integral part of all	The Council has adopted a risk management strategy.

	The Council should demonstrate the following requirements	Position at Woking
	activities and must be considered in all aspects of decision making	Risk is covered in all committee reports and embedded in Service Planning.
F2	Implementing robust and integrated risk management arrangements and ensuring that they are working effectively	Strategic risk register considered regularly by CMG Operational risk registers Risk registers have been prepared. The risks associated with a course of action are required as part of all committee reports and a risk log is a requirement of all projects recorded on the project monitoring system within sharepoint. Work on developing business continuity particularly for ICT has been ongoing with the development of the Council's own data centre. There have been tests of business continuity in times of bad weather. The Council's approach to insurance has been to insure all risks with limited or no excesses or self insurance unless it is possible to demonstrate vfm for this approach. Excesses were increased as part of the insurance retender in 2015 based on analysis and advice of the broker. Insurance provision is reviewed annually as part of the renewal programme. Claims are handled within the necessary time limits Other risks are identified in the budget and a risk contingency provided. Reserves have been set up to address specific financial risks. The risk management information assists in the operational aspects of service delivery. A relatively simple approach is taken to assessing likelihood and severity of risk to determine high, medium, low risks. Key risks are identified and monitored e.g. key budget risks and performance are monitored in the green book. Key risks in projects are monitored as part of the project management methodology. Corrective action is taken to avoid or mitigate the risks. The Council has historically managed corporate Health and Safety through the Health and Safety Committee. During 2017/18 the arrangements for Health and Safety were reviewed and the H&S Committee replaced with new arrangements from 1 April 2018. There will be additional reporting to CMG, a new training programme for managers and external resource will be procured to support the function.

	The Council should demonstrate the following requirements	Position at Woking
F3	Ensuring that responsibilities for managing individual risks are clearly allocated	All risk registers allocate risk to individual managers as risk owners.

The Deputy Chief Executive is the nominated champion for risk management and business continuity. Risk management is embedded into the processes of the organisation. All committee reports require the risks associated with the matter of the report to be included in the report.
The project management arrangements of the Council require a risk log to be prepared identifying the risks and the mitigating action to be taken. The financial strategy and budget reports indicate risks within the budget and provide a risk contingency.
The Executive is the committee responsible for risk management and business continuity with overview by the Standards and Audit Committee |
| F4 | Monitoring service delivery effectively including planning, specification, execution and independent post implementation review | There is monthly reporting of key performance measures, financial performance against budgets, Treasury Management information and Group company information in the monthly 'Performance and Financial Monitoring Information' booklet - the green book. This now also includes information on the Sheerwater Regeneration and Strategic Properties – areas identified during 2017 as requiring close monitoring.
The Green Book provides information on current performance and describes any corrective action to be taken. It is considered by Corporate Management Group (CMG) and at each Executive and published on the internet.
In addition all decisions resulting in an action taken within the Council are added to Shikari, the Council's decision tracking tool. Members and officers have access to shikari so can track the progress on an individual action. From 2018/19 Shikari will be replaced by a new system, ModGov, for committee reports and action tracking.
The Executive receives a quarterly report on all projects This summary report is drawn from the sharepoint application used to manage projects. |
| F5 | Making decisions based on relevant, clear objective analysis and advice pointing out the implication and risks inherent in the organisation's financial, social and environmental position and outlook | The report structures support decision making, prompting comment on the key considerations. Impact assessments are prepared for committee reports. Delegations to officers are included in the Constitution. |
| F6 | Ensuring an effective scrutiny or oversight function is in place which provides 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 | The Council has an O&S committee. The committee is supported by task groups including two standing task groups for Finance and Housing. Members have the opportunity to raise topics for consideration and the public can raise topics for review via the internet. |

	The Council should demonstrate the following requirements	Position at Woking
		The overview and Scrutiny Committee prepares an annual report on the activities of the committee and task groups reporting to it. The report is available on the internet (part of committee reports).
F7	Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement	The 'Green Book' performance and monitoring report is produced and published on line each month. It is considered at each Executive meeting. Project reporting is prepared for management and Members quarterly.
F8	Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (eg. Financial statements)	Budgets and Financial Statements are reconciled and analysis provided in the foreword to the Statement of Accounts which links the Statutory Accounts to the Green Book monthly management reporting.
F9	Aligning the risk management strategy and policies on internal control with achieving objectives	The internal audit plan is a risk based plan taking into account risks identified through risk register as well as other factors such as audit knowledge of service delivery enabling the allocation of audit resources. An annual risk management report is provided to the Executive.
F10	Evaluating and monitoring risk management and internal control on a regular basis	Risk management and internal control processes are regularly considered by Internal Audit as part of the annual programme of work. The Corporate Risk Register is reviewed by CMG 6 monthly. The Standards and Audit Committee receive reports on risk management and internal control from Internal Audit. Internal audit reports are used to provide assurance and improve the internal control framework. Internal Audit provide their opinion on the overall arrangements. Under the PSIAS internal audit is required to give assurance annually. The Internal Audit work progamme is prepared using a risk based approach. Senior managers complete an assurance statement
F11	Ensuring effective counter fraud and anti-corruption arrangements are in place	The Council has an anti fraud policy which is reviewed regularly. The register of Member's interests and register of gifts and hospitality are reviewed by the Standards and Audit committee annually. Members interests are available on the Council's website. From 2018/19 gifts and hospitality will also be published online. The Council has a flexible fraud resource for follow up and investigations where appropriate.
F12	Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management	The internal audit service is provided by Mazars through a framework contract with Croydon Council. Computer audit is provided by Spelthorne

	The Council should demonstrate the following requirements	Position at Woking
	and control is provided by the internal auditor	Borough Council/Mazars. The Head of Internal Audit (HIA) role is performed by Mazars. An annual report by the HIA on the overall adequacy of the control environment is considered by Standards and Audit committee. Internal Audit provide updates at each Standards and Audit meeting and attend CMG on a quarterly basis or as required.
F13	Ensuring and audit committee 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	The Standards and Audit Committee performs the functions of an Audit Committee. It is independent of the Executive and reports to Council. It receives regular reports and seeks assurances from Internal Audit and External Audit. Actions are monitored through the Shikari/decision monitoring system.
F14	Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data	The Council has existing data protection and security policies to ensure the proper collection, use, storage and control of it's assets including data and information. It is in the process of undertaking a fundamental review in the lead up to the introduction of GDPR in May 2018. The Head of Democratic and Legal Services undertakes the role of Data Protection Officer at the Council
F15	Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies	Sharing data with other bodies is subject to oversight by the Head of Democratic and Legal Services. The Council has a number of Information Sharing Protocols with 3rd parties which incorporate appropriate safeguards to protect data.
F16	Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring	Performance data is reported regularly to senior management and Members and published publicly. Any issues arising or anomalies are investigated.
F17	Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance	The Finance team monitors and reports on in-year performance and long term risks/financial pressures and trends. The Treasury management system tracks long term investments, and borrowing. Annual budget setting reports also refer to the MTFS, considering the long term implications of the budget to be approved.
F18	Ensuring well-developed financial management is integrated at all levels of planning and control including management of financial risks and controls	Services are supported by specified contacts in the finance team. The finance system has been recently upgraded to provide better accessibility to financial information and more integrated, electronic processes. Finance monitoring reports are used from the finance system. Finance reporting monthly is included in the Green book with high-risk areas covered in detail and other variances reported by exception.

	The Council should demonstrate the following requirements	Position at Woking
		Financial regulations and other operational instructions are reviewed to ensure they remain up to date with regard to structures, limits and operating practices. The Financial Regulations and Contract Standing Orders were not part of the review of the Constitution in 2015/16, but were due to be covered separately. This work is still ongoing and updates to both are due to be considered by Council early in 2018/19. Induction training for all new staff signposts them to these regulations which can be found on the intranet.
		An update on audit reports and the recommendations in reports is reported to the Standards and Audit committee twice a year and reports are available to all members through a secure part of the intranet.
		A Treasury Management strategy is agreed by the Executive in February prior to the operational year and a review of activity and performance is published in July of the following year after the year has ended. The Council complies with CIPFA guidance on Treasury Management. Monitoring takes place monthly with information in the green book and the O&S Committee has responsibility for the scrutiny of the function and receives a mid-year report.
G	**Implementing good practices in transparency, reporting, and audit to deliver effective accountability**	
G1	Writing and communicating reports for the public and other stakeholders in a fair, balanced and understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate	Reports are written using plain language, in a standard format which assists with reviewing and ensures key information is covered. The Marketing and Communications team review language where appropriate and some communications are reviewed independently to provide confidence that they are easily understood and accessible. There is Marketing and Communications strategy which has been recently updated and incorporates an action plan.
G2	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	The requirements of the Local Government Transparency Code 2014 are addressed by a 'View our data' section on the internet. The Council uses datashare to make data accessible. Committee documents and webcasts are available online. There are corporate processes in place for FOI requests.
G3	Reporting at least annually on performance, value for money and stewardship of resources to stakeholders in a timely and understandable way	The Green Book is published monthly reporting performance issues and variances by exception so focused and understandable.
G4	Ensuring members and senior management own the results reported	CMG members and all portfolio holders are accountable for the Green Book – performance and financial monitoring/outturn.
G5	Ensuring robust arrangements for assessing the extent to which the principles contained in this Framework have been applied	Led by Finance Director and Monitoring Officer, supported by CMG. Evidence from IA, input from all Senior managers. Reviewed by S&A.

	The Council should demonstrate the following requirements	Position at Woking
	and publishing the results on this assessment, including an action plan for improvement and evidence to demonstrate good governance (the annual governance statement)	Published in draft in Statement of Accounts. Final version published with final accounts7. Improvement Plan is updated and new actions added if appropriate as a result of each review.
G6	Ensuring that this Framework is applied to jointly managed or shared service organisations as appropriate	Where the Council is party to joint arrangements appropriate governance arrangements are put in place.
G7	Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other, similar organisations	The annual statutory accounts are prepared following accounting guidelines and standards, in accordance with the Code of Practice and to statutory timescales. Reconciliations are prepared to demonstrate consistency with management reporting. The foreword provides a narrative link from the monthly management reporting to the statutory outturn.
G8	Ensuring that recommendations for corrective action made by external audit are acted upon	Tracked on Shikari decision tracking software. No outstanding external audit recommendations. Standards and Audit committee receive reports from External Audit with status of any outstanding recommendations.
G9	Ensuring an effective internal audit service with direct access to members is in place, providing assurance with regard to governance arrangement and that recommendations are acted upon	Internal Audit reports to each meeting of the Standards and Audit Committee including all reports and all recommendations made in the period. Reports are also available to members and independent members via their IPads. Audit recommendations are monitored via shikari with reports to CMG and the Standards and Audit Committee on outstanding matters. External Audit reports may be presented to the Standards and Audit Committee as appropriate. The Standards and Audit committee has representation from across the council and is chaired by the Council's independent member during the year. The committee has clear terms of reference for their responsibilities. An independent person (although not a member of the Standards Committee) has been appointed following the adoption of the standards framework.
G12	Ensuring that when working in partnership arrangements for accountability are clear and the need for wider public accountability has been recognized and met	The Joint Committee, which incorporates the 'statutory' Crime & Disorder Reduction Partnership (Safer Woking Partnership), has agreed Terms of Reference and governance arrangements, that set out collective roles and responsibilities for participating organisations, including the Council. Services which are outsourced and now operated by contractors are monitored.