

**Local Code of Corporate Governance
Dimension 1 – Community Focus**

Huntingdonshire District Council shall:	Key Indicators of Compliance	Current Position	Suggestions for Improvement	Lead Officer	Target date for achieving the Local Code requirement
(a) Publish on a timely basis an annual report presenting an objective, understandable account of its activities and achievements and financial position and performance. <i>(The report shall include statements:</i> <ul style="list-style-type: none"> • <i>Explaining the authority's responsibility for the financial statements</i> • <i>Confirming that the authority complies with relevant standards and codes of corporate governance</i> • <i>On the effectiveness of the authority's system for risk management and internal control</i> 	BVPP	No specific annual report is prepared. BVPP's in past years have addressed some of the Local Code issues but not to the extent now required. 'District Wide' has in the past contained information on financial performance.	The BVPP needs to ensure that it meets all applicable requirements of the Local Code. Consider renaming the BVPP the annual report.	Ian Leatherbarrow	
	Annual Financial statements	Annual financial statements are prepared & published in accordance with legislation.	Continue to ensure that the annual financial statements are prepared & published in accordance with legislation. Until the A&AR come into line with BVPP publication dates then it may be necessary to publish the annual financial statements separately.	David Oliver	Dates contained in the Accounts & Audit Regs 2003.
	Publish the information via the Internet.	Previous BVPP's are already available on the HDC website.	The BVPP & annual financial statement to be made available both in full, and summary (easily understandable) format on the HDC website.	Ian Leatherbarrow	30 September 2003
(b) Publish on a timely basis a performance plan presenting an objective, balanced and understandable account and assessment of its current performance and plans to maintain and improve service delivery.	BVPP	BVPP published on time. 'District Wide' has been used as the method for making widely available information on performance.	None.		
	Community Strategy to be published Sept 2003.	Under development	Ensure that the Visions & Outcomes are translated at an early stage into measurable & transparent service targets. Actual performance should be monitored on a regular basis. Performance information to be published annually in the Community Strategy.	COMT Directors Ian Leatherbarrow	
(c) Put in place proper arrangements for the independent review of the financial and operational reporting processes.	Fully independent				
	Annual audit letter and other audit reports	The annual external auditors letter is presented to Cabinet and Council.	The annual audit letter should be presented to the Overview & Scrutiny Panel (Planning & Finance) once the response of Officers has been agreed.	Chief Executive.	
	Inspectorate reports	External inspectorate reports (BV) are submitted to Scrutiny Panel(s) and Cabinet	None.		

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	<i>Quasi independent</i>				
	Overview and Scrutiny Panels	Panels are able to call-in any decision that they wish to review.	None.		
	Internal audit	An annual report is presented to COMT and the Overview & Scrutiny Panel (Planning & Finance).	None.		
(d) Put in place proper arrangements designed to encourage individuals and groups from all sections of the community to engage with, contribute to and participate in the work of the authority and put in place appropriate monitoring processes to ensure that they continue to work in practice.	Community Strategy	Currently being prepared.	Ensure that there is an explicit statement in the Community Strategy re encouraging participation.	Ian Leatherbarrow	
	Local Strategic partnership framework	Under development	Ensure that the LSP has a monitoring role re community engagement. Encourage wide community representation upon the thematic groups.	Ian Leatherbarrow Ian Leatherbarrow	
	Area forums' roles and responsibilities	Community safety area task groups Ramsey 'Vision' Community Action Partnerships x 3 Oxmoor Opportunities Project Town centre management initiatives	Ensure that the area forums' continue to thrive and are adequately supported. Investigate the possibility of expanding to other areas.	Ian Leatherbarrow Peter Jones	
	'District Wide'	'District Wide' has been used to seek the views of local residents.	None.		
	Consultation & Communication strategy	Approved by Cabinet March 2003	Guidance is required to support the strategy. All officer's should be made aware of the strategy and accompanying guidance.	Ian Leatherbarrow Ian Leatherbarrow	
	Publication of Council, Cabinet and Scrutiny Panel decisions on website.	Information is not available.	Publish non-confidential reports and all minutes on the website. Formal monitoring process needs to be established.	Roy Reeves	
	Social Inclusion Plan.	Under development		Peter Jones Ian Leatherbarrow	
(e) Make an explicit commitment to openness in all of its dealings, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so.	Constitution	Article 3 & Part 4, set out rights of access.	None		
	Access to information	Approved Freedom of Information publication scheme in place.	Publish the publication scheme on the website.	Roy Reeves	

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Huntingdonshire District Council shall:	Key Indicators of Compliance	Current Position	Suggestions for Improvement	Lead Officer	Target date for achieving the Local Code requirement
	Forward plan	Prepared regularly and published on the internet.	None.		
	Decision records	Delegated decisions to portfolio holders and Chief Officers	None.		
	Consultation & Communications strategy	Approved by Cabinet, March 2003	None		
(f) Establish clear channels of communication with all sections of the community and other stakeholders, and put in place proper monitoring arrangements to ensure that they operate effectively.	Partnership framework	Not in place	Following the agreement of the Community Strategy, a partnership framework to fit within the LSP is planned to be developed.	Ian Leatherbarrow.	
	IIP accreditation	Accreditation renewed July 2003.	None.		
	Consultation & Communications strategy	Approved by Cabinet, March 2003	Guidance is required to support the strategy. All officer's should be made aware of the strategy and accompanying guidance.	Ian Leatherbarrow	
	Beacon status – HELP project	HELP project on-going	Continue to support and develop internet access points.	Chris Hall	
	e-gov strategy – ieg	Approved by the ODPM.	Ensure that the IEG is amended to take account of the Customer First Strategy and a channel strategy is developed and endorsed by Members .	Chris Hall	
	Public access strategy	Not in place	Consider developing a public access strategy that takes into account both the channel strategy and decisions arising from the Customer First Strategy.	David Oliver	
	Freedom of Info – Publication Scheme	Publication Scheme in place.	Regularly review the publication scheme so that it remains valid.	Roy Reeves	
	Customer First Strategy	Approved by Cabinet, June 2003.	None.		
(g) Ensure that 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.	Community strategy	Under development		Ian Leatherbarrow	
	Local Strategic Partnership	In place.			
	Hunts 2000 +	Strategic document that determines the direction and objectives of the Council.	To be reviewed once the Community Strategy has been developed.	Ian Leatherbarrow.	

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Huntingdonshire District Council shall:	Key Indicators of Compliance	Current Position	Suggestions for Improvement	Lead Officer	Target date for achieving the Local Code requirement
	Medium Term Objectives	MTO in place	To be reviewed in conjunction with the Community Strategy Outcomes	Ian Leatherbarrow	
	Service Plans	Plans are based around the MTOs .	Ensure that once developed the Corporate Plan is reflected in individual Service Plans. Scrutiny mechanisms should be developed to ensure effective monitoring of progress against targets.	All Heads of Service COMT	
	BVPP	Published annually.	None		

**Local Code of Corporate Governance
Dimension 2 – Service Delivery Arrangements**

Huntingdonshire District Council shall:	Key Indicators of Compliance	Current Position	Suggestions for Improvement	Lead Officer	Target date for achieving the Local Code requirement
(a) Set standards and targets for performance in the delivery of services on a sustainable basis and with reference to equality policies.	Service Plans	Service Plans are based upon achieving MTO's .	Service plan targets should be reviewed following the introduction of the CPMS. The standards and targets need to be robust enough to encourage continuous service improvement. Consideration should be given to reintroducing peer group reviews on an ad-hoc basis to examine and constructively comment on the standards and targets set.	Appropriate Director	
	Best value reviews	The best value programme in place. To be reviewed following CPA.	The recommendations arising from the internal audit review of the best value process should continue to be implemented.	Ian Leatherbarrow	
	MTO	MTO in place.	Changes will be required once the Community Strategy has been agreed.	COMT	
	Equality policies	Equality Strategy approved by Cabinet, December 2002.	An action plan needs to be devised for 2003/04.	Ian Leatherbarrow	
(b) Put in place sound systems for providing management information for performance measurement purposes.	Corporate performance monitoring system (CPMS)	Under development.		David Oliver Ian Leatherbarrow	
	Routine budgetary control reports to Cabinet & COMT	Reports provided quarterly.	None.		
(c) Monitor and report performance against agreed standards and targets and develop comprehensive and understandable performance plans.	BVPP	Published annually.	Amend the BVPP in the manner suggested by the External Auditor in their 2001/02 report issued Feb 2003.	Ian Leatherbarrow	
	Overview and Scrutiny Panels	Receive the BVPP & BVR service improvement plans	None		
	Service Plans	Directors role to monitor.	Changes to the way that performance information is reported and reviewed will follow the introduction of the CPMS.	Ian Leatherbarrow	
	CPMS	Under development.			

**Local Code of Corporate Governance
Dimension 2 – Service Delivery Arrangements**

Huntingdonshire District Council shall:	Key Indicators of Compliance	Current Position	Suggestions for Improvement	Lead Officer	Target date for achieving the Local Code requirement
(d) Put in place arrangements to allocate resources according to priorities.	Service plans	Shaping the Future of Huntingdonshire Hunts 2000+ MTO	Until the Community Strategy has been agreed no further action is required. The current Service Plan process will be reviewed in conjunction with the CPMS.	Ian Leatherbarrow	
	MTP	5 year MTP process in place & being reviewed and refined.	None.		
	Code of Financial Management	Included in the Constitution and reviewed yearly.	None.		
(e) Foster effective relationships and partnerships with other public sector agencies and the private and voluntary sectors, and consider the delivery of services in partnership with such organisations where it is efficient and effective to do so.	Community Strategy	Under development.		Ian Leatherbarrow	
	Partnership rules and framework	Under development.		Ian Leatherbarrow	
	Corporate procurement strategy	Approved by Cabinet, May 2003.	The Strategy needs to be publicised and instruction given as to how the 'contract plan' should be developed, so as to ensure that partnering and joint commissioning are actively pursued.	Steve Couper	
(f) Respond positively to the findings and recommendations of external auditors and statutory inspectors and put in place arrangements for the effective implementation of agreed actions.	Annual audit letter	Presented to Cabinet annually.	None.		
	Other External Audit reports	Discussed and reported at Officer level. Improvements recently introduced to improve consultation process.	The reports once agreed should be reported to COMT.	Appropriate Head of Service.	
	Inspectorate reports	Presented to the appropriate Scrutiny Panel and Cabinet.	None.		
	Internal audit to monitor and report upon implementation.	Monitoring and reporting process in place. Regular liaison meetings with external audit.	None.		

**Local Code of Corporate Governance
Dimension 3 – Structures and Processes**

Huntingdonshire District Council shall:	Key Indicators of Compliance	Current Position	Suggestions for Improvement	Lead Officer	Target date for achieving the Local Code requirement
(a) Establish and maintain a clearly documented protocol governing relationships between members and employees.	Protocols for Members and Officers	Under development.		Roy Reeves	
	Officers' Code of Conduct	It is intended that the Protocol and Employee's Code will be included within the Constitution once they have been formally agreed.		Roy Reeves	
(b) Ensure that the relative roles and responsibilities of executive, overview and scrutiny, and other members are clearly defined together with the terms of their remuneration and its review.	Responsibility for: Local Functions Council Functions Executive Functions	Included in the Constitution.	None.		
	Roles and responsibilities of the executive members (Part 3 Table 3 & Part 1 Article 7)	Included in the Constitution.	The role and responsibilities of Executive member(s) should be formally defined.	Peter Watkins	
	Article 2 – Members of the Council	Included in the Constitution.	The roles and functions are described generally. The terms of reference for each Panel etc, then describe that Panels role, and so implied the members responsibilities. Formal job descriptions should be considered to avoid any ambiguity.	Peter Watkins	
	Member induction process	All Members are required to participate in the induction process.	None.		
	Information pack for Members	Issued to all Members upon their election to the Council.	None.		
	Monitoring Officer	Report to Scrutiny Panels issued in February 2003 explaining their scrutiny role.	The Monitoring Officer should continue to ensure that the Scrutiny Panels operate effectively.	Peter Watkins	
	Members' allowance scheme.	Included in the Constitution. The Independent Panel meets when new regulations are introduced.	None.		
(c) Establish and maintain a clearly documented protocol that explains Members roles in community political leadership.	Protocol for Community Leadership by Members	Under development.		Roy Reeves	

**Local Code of Corporate Governance
Dimension 3 – Structures and Processes**

Huntingdonshire District Council shall:	Key Indicators of Compliance	Current Position	Suggestions for Improvement	Lead Officer	Target date for achieving the Local Code requirement
Roles & Responsibilities – Members					
(d) Meet on a formal basis regularly to set the strategic direction of the authority and to monitor service delivery.	Schedule of council meetings	Published.	None.		
	Cabinet & Council	All policy and strategic decisions are made in either of these forum's.	None.		
	CPMS	Under development.		David Oliver Ian Leatherbarrow	
	Best Value Reviews	Members are represented on BVR's. Internal BVR reports are presented to Members. Reports are presented to Scrutiny Panels ½ yearly detailing the achievement of service improvement plans.	None.		
(e) Develop and maintain a scheme of delegated or reserved powers, which should include a formal schedule of those matters specifically reserved for the collective decision of the authority.	Scheme of Delegation	Included in the Constitution.	None.		
(f) Establish and maintain clearly documented and understood management processes for <ul style="list-style-type: none"> • policy development, implementation and review and for decision-making; • monitoring and control, and reporting; and • formal procedural and financial regulations that govern the conduct of the authority's business. 	<ul style="list-style-type: none"> • Council Procedure Rules (Standing Orders) • Access to Information Procedure Rules • Budget and Policy Framework Procedure Rules • Cabinet Procedure Rules • Overview and Scrutiny Procedure Rules • Code of Financial Management (incl. MTP) • Code of Procurement 	Included in the Constitution.	None.		
	Forward Plan	In place.	None.		
	Decision Framework	In place.	None.		
	Decision Digest	Issued on a monthly basis.	None.		

**Local Code of Corporate Governance
Dimension 3 – Structures and Processes**

Huntingdonshire District Council shall:	Key Indicators of Compliance	Current Position	Suggestions for Improvement	Lead Officer	Target date for achieving the Local Code requirement
(g) Put in place arrangements for members to be properly trained.	Members' induction scheme	In place for new Members.	None.		
	Regular update sessions	Specific training is provided for Members who sit on the <ul style="list-style-type: none"> • Licensing Panel • Development Control Panel • Standards Committee • Overview & Scrutiny 	None.		
	Training Plan & Record	Not in place.	Training records should be maintained that detail specific training received by Members. (The process followed by staff could be replicated for Members).	Roy Reeves	
	IT Resources	In place.			
Roles & Responsibilities - Officers					
(h) Make the Chief Executive responsible for all aspects of strategic and corporate management.	Part 2 Article 12 – Officers & Part 7 - Management Structure	Included in the Constitution.	The Constitution needs to be clarified.	Peter Watkins	
	Job description/person specification	In place.			
(i) Make each Director and Head of Service responsible for specific aspects of operational management.	Departmental Structures				
	Job description/person specification				
(j) Make the Corporate Director Commerce & Technology responsible 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.	S. 151 responsibilities	Corporate Director Commerce & Technology appointed S151 April 2001.	None.		
	Part 2 Article 12 – Officers & Part 7 - Management Structure	Included in the Constitution.	None.		
	Code of Financial Management	Para 1.8 details the specific responsibilities of the Corporate Director. The Code is reviewed annually.	None.		

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Dimension 3 – Structures and Processes**

Huntingdonshire District Council shall:	Key Indicators of Compliance	Current Position	Suggestions for Improvement	Lead Officer	Target date for achieving the Local Code requirement
(k) Appoint a Monitoring Officer who shall be responsible for ensuring that agreed procedures are followed and that all applicable statutes, regulations and other relevant statements of good practice are complied with.	Part 2 Article 12 – Officers & Part 7 - Management Structure	Included in the Constitution.	None.		
(l) Define clearly in writing the roles and responsibilities of Directors and Heads of Service, together with the terms of their remuneration and its review.	Clear roles for Chief Officers	The functions and responsibilities of COMT (incl. Statutory Responsibilities) are defined in the Constitution.	None.		
	Job descriptions / specifications	In place for all Directors & Heads of Service.	None.		
	Conditions of service	In place.	None.		
	Performance review/appraisal	Directors & Heads of Service are subject to annual appraisals at which performance is evaluated.	None.		

**Local Code of Corporate Governance
Dimension 4 – Risk Management and Internal Control**

Huntingdonshire District Council shall:	Key Indicators of Compliance	Current Position	Suggestions for Improvement	Lead Officer	Target date for achieving the Local Code requirement
(a) Develop and maintain robust systems for identifying and evaluating all significant risks that involves the participation of all those associated with planning and delivering services.	Risk management strategy	A Risk Management Policy Statement has been prepared and agreed by COMT.	Whilst Members are aware of the initiatives taken, the Authority should have in place a formal strategy.	David Oliver	
	Risk Register	The Risk Register has been produced and is currently being reviewed for appropriateness.	A named individual should be charged with ensuring that the register is regularly reviewed and updated.	Steve Couper	
	Control framework	External audit provide an annual statement in the their annual report re the systems of control.	None.		
	Risk Manager	Post being advertised.		Steve Couper	
	CPMS	Under development.		David Oliver Ian Leatherbarrow	
	MTP project appraisals	Bids are required to provide a risk assessment.	None.		
(b) Put in place effective risk management systems, including systems of internal control and an internal audit function. <i>(These arrangements need to ensure compliance with all applicable statutes, regulations and relevant statements of best practice and need to ensure that public funds are properly safeguarded and are used economically, efficiently and effectively).</i>	Scheme of delegation	Included in the Constitution.	None.		
	Internal audit terms of reference.	Terms of reference have been agreed by Cabinet.	Review terms of reference annually.	Steve Couper	
	CPMS	Under development.		David Oliver Ian Leatherbarrow	
	Codes of Financial Management & Procurement.	In place and reviewed annually.	None.		
(c) Ensure that its services are delivered by trained and experienced people.	Job description/personal specifications	Documents are reviewed to ensure they are relevant when posts become vacant.	None.		
	Training and development plan	Prepared during annual appraisal process.	Internal audit are reviewing the training process. No action required until the audit report has been agreed.	Phil Duerden	
	Annual performance appraisal	Formal appraisals in February & mid-year reviews.	None.		

**Local Code of Corporate Governance
Dimension 4 – Risk Management and Internal Control**

Huntingdonshire District Council shall:	Key Indicators of Compliance	Current Position	Suggestions for Improvement	Lead Officer	Target date for achieving the Local Code requirement
(d) Put in place effective arrangements for an objective review of the effectiveness of risk management and internal control, including internal audit.	External Audit – Audit plan and reports	The external auditors review the operation of internal controls and the effectiveness of Internal Audit and report outcomes to Members in the Audit Letter.	None.		
	Internal audit service	Internal Audit reviews the internal control framework and report findings to management.	None.		
(e) Maintain an objective and professional relationship with their external auditors and statutory inspectors.	Annual audit letter and external auditors' attendance at Cabinet.	External audit have their own office, and have regular dialogue with senior staff.	None.		
	External/Internal Audit protocol	Protocol details respective roles. Regular meetings, and sharing of reports.	None.		
(f) Publish annually an objective, balanced and understandable statement and assessment of the authority's risk management and internal control mechanisms and their effectiveness in practice.	BVPP	No statement prepared.	A wider corporate governance statement (as proposed by the model CIPFA/SOLACE governance framework) should be included in the 2003/04 BVPP (annual report).	COMT	

**Local Code of Corporate Governance
Dimension 5 – Standards of Conduct**

Huntingdonshire District Council shall:	Key Indicators of Compliance	Current Position	Suggestions for Improvement	Lead Officer	Target date for achieving the Local Code requirement
(a) Develop and adopt formal codes of conduct defining standards of personal behaviour to which individual members, employees, and agents of the authority are required to subscribe and put in place appropriate systems and processes which seek to ensure that they are complied with.	Members' Code of Conduct	Included in the Constitution	None.		
	Employees' Code of Conduct	Under development		Roy Reeves	
	Complaints procedures	In place and available on the Internet.	Inform all staff of the procedure.	Roy Reeves	
	Equality Strategy	Explicit statement included regarding responsibilities.	None.		
	Dignity at Work Policy	Approved by Employment Panel and available on the intranet.	None.		
	Anti-fraud and Corruption Policy	Under development		David Oliver	
	IT policies and procedures	A number of documents are already in place e.g. internet access, email protocol	The IT polices and procedures need to be reviewed to ensure that they reflect current best practice.	David Ward	
	Members' Planning Code of Good Practice	Under development.		Roy Reeves Malcolm Sharp	
(b) Introduce arrangements that endeavour to ensure that members and employees of the authority are not being influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to monitor their operation.	The Register of Members' Interests	Included in the Constitution.	None.		
	Members' Personal Interests	Included in the Constitution	None.		
	Employees' Code of Conduct	Under development.		Roy Reeves	
(c) Put in place arrangements that seek to ensure that the procedures and operations dealing with standards of conduct are designed in conformity with appropriate ethical standards and best practice, and to monitor their continuing compliance in practice.	Monitoring Officer	Appointed as per the Constitution.	None.		
	Standards Committee	Included in the Constitution.	None.		
	Complaints Procedure	In place and available on the Internet.	None.		
	Scrutiny Function	Included in the Constitution	None.		

**Local Code of Corporate Governance
Dimension 5 – Standards of Conduct**

Huntingdonshire District Council shall:	Key Indicators of Compliance	Current Position	Suggestions for Improvement	Lead Officer	Target date for achieving the Local Code requirement
(d) Put in place arrangements for whistleblowing to which staff and all those contracting with the council have access.	Whistleblowing Policy & Procedure	Whistleblowing Policy and Procedure had been adopted, and is available on the Intranet. It is reviewed annually. The intranet contains an e-form that allows staff to submit allegations, anonymously if required.	As requested by Standards Committee publicity should be given to the Whistleblowing policy, both within and outside the Authority (so it is available to all staff, contractors and other stakeholders). The Policy, Procedure & e-form should be published on the website.	Peter Watkins	
	Standard Conditions of Contract	Code of Procurement requires all contracts that exceed £30k to be approved by the Head of Legal & Estates.	A standard whistleblowing condition be prepared and included in all contracts that exceed £30k. (If the Council adopts standard terms and conditions for all contracts, then a similar condition should be included).	Colin Meadowcroft	

Glossary

A&AR	Accounts & Audit Regulations 2003
BVPP	Best Value Performance Plan
BVR	Best Value Reviews
COMT	Chief Officers Management Team
CPMS	Corporate Performance Monitoring System
HELP	Hunts E-Learning Points
IEG	Implementing Electronic Government
IIP	Investors in People
LSP	Local Strategic Partnership
MTO's	Medium Term Objectives
MTP	Medium Term Plan
ODPM	Office of the Deputy Prime Minister