

***NORTHAMPTON BOROUGH COUNCIL***

***CIPFA SOLACE COMPLIANCE***

***BASED ON EVIDENCE AVAILABLE AT 30 JUNE 2017***

***(NEXT UPDATE JUNE 2018)***

June 2017 - Summary table:

<b>NBC Compliance</b>							
<b>Section</b>	<b>Section Title</b>			<b>No of principles</b>	<b>Yes</b>	<b>No</b>	<b>Partly</b>
<b>A</b>	<b>Behaving ethically and with integrity</b>			<b>13</b>	<b>4</b>	<b>0</b>	<b>9</b>
<b>B</b>	<b>Ensuring openness and stakeholder engagement</b>			<b>13</b>	<b>6</b>	<b>4</b>	<b>3</b>
<b>C</b>	<b>Defining outcomes</b>			<b>9</b>	<b>2</b>	<b>1</b>	<b>6</b>
<b>D</b>	<b>Determining interventions (Courses of action)</b>			<b>13</b>	<b>6</b>	<b>1</b>	<b>6</b>
<b>E</b>	<b>Developing leadership and capacity</b>			<b>12</b>	<b>1</b>	<b>5</b>	<b>6</b>
<b>F</b>	<b>Managing risk and performance</b>			<b>18</b>	<b>4</b>	<b>3</b>	<b>11</b>
<b>G</b>	<b>Transparency and accountability</b>			<b>12</b>	<b>6</b>	<b>0</b>	<b>6</b>
<b>90</b>	<b>29</b>	<b>14</b>	<b>47</b>				
	<b>32%</b>	<b>16%</b>	<b>52%</b>				

## APPENDIX 3 – CIPFA/SOLACE - ANALYSIS

Principle	A. Behaving Ethically and with Integrity	Yes	No	Partly
1.	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	●		
2.	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)			●
3.	Officers lead by example and use the above standard operating principles or values as a framework for decision making and other actions			●
4.	Officers demonstrate, communicate and embed 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			●
5.	Officers seek to establish, monitor and maintain the organisation's ethical standards and performance			●
6.	Officers underpin personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation			●
7.	Officers develop and maintain robust policies and procedures which place emphasis on agreed ethical values			●
8.	Officers ensure 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			●
9.	Officers ensure members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations	●		
10.	Officers create 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	●		
11.	Officers Strive to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders	●		
12.	Officers dealing with breaches of legal and regulatory provisions effectively			●
13.	Officers ensure corruption and misuse of power are dealt with effectively			●

## APPENDIX 3 – CIPFA/SOLACE - ANALYSIS

Principle	B. Ensuring Openness & Stakeholder Engagement	Yes	No	Partly
1.	Officers ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness			●
2.	Officers make 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	●		
3.	Officers provide clear reasoning and evidence for decisions 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			●
4.	Officers using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ <i>courses</i> of action	●		
5.	Officers effectively engage 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		●	
6.	Officers develop formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively	●		
7.	Officers 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	●		
8.	Officers establish 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 (or other) provision is contributing towards the achievement of intended outcomes	●		
9.	Officers ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement		●	

## APPENDIX 3 – CIPFA/SOLACE - ANALYSIS

Principle	B. Ensuring Openness & Stakeholder Engagement	Yes	No	Partly
10.	Officers encourage, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs		●	
11.	Officers implementing effective feedback mechanisms in order to demonstrate how views have been taken into account		●	
12.	Officers balance feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity	●		
13.	Officers take account of the impact of decisions on future generations of tax payers and service users			●

## APPENDIX 3 – CIPFA/SOLACE - ANALYSIS

Principle	C. Defining Outcomes	Yes	No	Partly
1.	Officers have 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			●
2.	Officers specify 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			●
3.	Officers deliver defined outcomes on a sustainable basis within the resources that will be available			●
4.	Officers identify and managing risks to the achievement of outcomes			●
5.	Officers managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available		●	
6.	Officers consider and balance the combined economic, social and environmental impact of policies and plans when taking decisions about service provision			●
7.	Officers 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			●
8.	Officers ensure there is a fair access to services	●		
9.	Officers determine 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	●		

## APPENDIX 3 – CIPFA/SOLACE - ANALYSIS

Principle	D. Determining Interventions (Courses of Action)	Yes	No	Partly
1.	Officers ensure decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and associated risks. Therefore ensuring best value is achieved however services are provided			●
2.	Officers consider 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			●
3.	Officers establish and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets	●		
4.	Officers engage with internal and external stakeholders in determining how services and other courses of action should be planned and delivered	●		
5.	Officers consider and monitor risks facing each partner when working collaboratively, including shared risks			●
6.	Officers ensure arrangements are flexible and agile so that the mechanisms for delivering goods and services can be adapted to changing circumstances	●		
7.	Officers establish appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured			●
8.	Officers ensure capacity exists to generate the information required to review service quality regularly			●
9.	Officers prepare budgets in accordance with objectives, strategies and the medium term financial plan			●
10.	Officers inform medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy	●		
11.	Officers ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints	●		
12.	Officers ensure the medium term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage	●		
13.	Officers ensure the achievement of 'social value' through service planning and commissioning. The Public Services (Social Value) Act 2012 states that this is "the additional benefit to the community...over and above the direct purchasing of goods, services and outcomes"		●	

## APPENDIX 3 – CIPFA/SOLACE - ANALYSIS

Principle	E. Developing Leadership & Capacity	Yes	No	Partly
1.	Officers review operations, performance and use of assets on a regular basis to ensure their continuing effectiveness		●	
2.	Officers improve 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		●	
3.	Officers recognise the benefits of partnerships and collaborative working where added value can be achieved			●
4.	Officers develop and maintain an effective workforce plan to enhance the strategic allocation of resources		●	
5.	Officers develop 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			●
6.	Officers publish a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body			●
7.	Officers ensure the leader and the chief executive have clearly defined and distinctive leadership roles within a structure whereby the 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			●
8.	Officers develop the capabilities of members and senior management to enable the organisation to respond successfully to changing circumstances 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			●

## APPENDIX 3 – CIPFA/SOLACE - ANALYSIS

Principle	E. Developing Leadership & Capacity	Yes	No	Partly
9.	Officers ensure that there are structures in place to encourage public participation	●		
10.	Officers take steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections		●	
11.	Officers hold staff to account through regular performance reviews which take account of training or development needs		●	
12	Officers ensure arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing			●

## APPENDIX 3 – CIPFA/SOLACE - ANALYSIS

Principle	F. Managing Risk & Performance	Yes	No	Partly
1.	Officers recognise that risk management is an integral part of all activities and must be considered in all aspects of decision making			●
2.	Officers implement robust and integrated risk management arrangements and ensuring that they are working effectively			●
3.	Officers ensure that responsibilities for managing individual risks are clearly allocated			●
4.	Officers monitor service delivery effectively including planning, specification, execution and independent post implementation review		●	
5.	Officers make decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook	●		
6.	Officers ensure 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 (Or, for a committee system) encourage effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making	●		
7.	Officers provide members and senior management with regular reports on service delivery plans and on progress towards outcome achievement		●	
8.	Officers ensure there is consistency between specification stages (such as budgets) and post implementation reporting (eg financial statements)	●		
9.	Officers aligning the risk management strategy and policies on internal control with achieving objectives			●
10.	Officers evaluate and monitor risk management and internal control on a regular basis		●	
11.	Officers ensure effective counter fraud and anti-corruption arrangements are in place			●
12.	Officers ensure additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor			●
13.	Officers ensure an audit committee or equivalent group/ function, which is independent of the executive and accountable to the governing body: *provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment *that its recommendations are listened to and acted upon	●		
14.	Officers ensure effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data			●

## APPENDIX 3 – CIPFA/SOLACE - ANALYSIS

Principle	F. Managing Risk & Performance	Yes	No	Partly
15.	Officers ensure effective arrangements are in place and operating effectively when sharing data with other bodies			●
16.	Officers review and audit regularly the quality and accuracy of data used in decision making and performance monitoring			●
17.	Officers ensure financial management supports both long term achievement of outcomes and short-term financial and operational performance			●
18.	Officers ensure well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls			●

## APPENDIX 3 – CIPFA/SOLACE - ANALYSIS

Principle	G. Transparency & Accountability	Yes	No	Partly
1.	Officers write and communicate 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	●		
2.	Officers strike 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	●		
3.	Officers report at least annually on performance, value for money and stewardship of resources to stakeholders in a timely and understandable way	●		
4.	Officers ensure members and senior management own the results reported			●
5.	Officers ensure robust arrangements for assessing the extent to which the principles contained in this Framework have been applied and publishing the results on this assessment, including an action plan for improvement and evidence to demonstrate good governance (the annual governance statement)			●
6.	Officers ensure that this framework is applied to jointly managed or shared service organisations as appropriate			●
7.	Officers ensure 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	●		
8.	Officers ensure that recommendations for corrective action made by external audit are acted upon			●
9.	Officers ensure an effective internal audit service with direct access to members is in place, providing assurance with regard to governance arrangements and that recommendations are acted upon			●
10.	Officers welcome peer challenge, reviews and inspections from regulatory bodies and implementing recommendations	●		
11.	Officers gain assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement	●		
12.	Officers ensure that when working in partnership, arrangements for accountability are clear and the need for wider public accountability has been recognised and met			●