

Annual Governance Statement

Member Self-Assessment Questionnaire 2023/24

1. Balancing Rules and Trust

Supporting the genuine motivation of people whilst continuing to ensure that those who do breach the rules are discouraged.

Do you consider that:-	Yes	No	N/A	Comments/Examples
	✓	✓	✓	
1. Members are aware of the Members Code of Conduct and have agreed to abide by it.				
2. The Council's Audit and Standards Committee has been in operation and used appropriately.				
3. Members/Officers have not used Council resources outside of restrictions.				
4. Members/Officers have performed their duties with integrity, honesty, impartiality and objectivity.				
5. Members have listened to the advice of Officers.				
6. Members have upheld the impartiality of Officers.				
7. Members and Officers have not breached each other's trust.				
8. Bullying or harassment has not occurred.				
9. Members have worked to achieve Strategic Objectives.				
10. Appropriate confidences have been maintained by officers and members				

2. Independent Overview

Monitoring, developing and promoting the Council's approach delivers improvement in this area.

Do you consider that:-	Yes	No	N/A	Comments
	✓	✓	✓	
1. Each Committee has been able to meet its terms of reference.				
2. Members have been provided with appropriate guidance on operation of: The Executive Scrutiny Committees Member Structures				
3. New Members are trained with specific guidance on the Council's standards and democratic processes.				
4. The Audit and Standards Committee is impartial.				

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3. Leadership

Encouraging good conduct in the Council is the responsibility of members and of officers.

Do you consider that:-	Yes	No	N/A	Comments
	✓	✓	✓	
1. The Council's values have been communicated to: Members Officers The Community Partnerships				
2. The Council seeks to meet the needs of its communities.				
3. The Councils approach has built confidence in the Community.				

4. Transparency

Ensuring transparency in the way the Council carries out its business is a key component of governance.

Do you consider that:-	Yes	No	N/A	Comments
	✓	✓	✓	
1. The public can access appropriate documents (for example, agendas, minutes, background papers)				
2. Communication between members and or officers is open and constructive				
3. There is an open declaration of member interests and records made of any gift and hospitality received.				
4. Members can challenge Council decisions.				
5. The Council (members and officers) respond positively to constructive external criticism about the Council				
6. The public can access the Council's complaints policy				
7. The Council's complaints system is clear.				
8. The Council take complaints from the public seriously.				
9. There is a clear process to report inappropriate officer or member behaviour.				
10. Inappropriate behaviour is dealt with.				

5. Partnerships

1. To the best of your knowledge are the Councils Partnerships (Liberata, Urbaser & Burnley Leisure and Culture) are working well?				
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Officer Governance Self-Assessment Questionnaire 2023/24

In support of the Certificate of Assurance

Officer	
Position	

	Yes	No	N/A	Comment / Detail
	✓	✓	✓	

General

<p>Have you had to consider making improvements to controls or governance? (please give details)</p> <p>(This could be following a specific incident or following advice from Internal Audit or any other external body reviewing your service)</p>				
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Business Planning

1. Does your service have plans that are based on the authority's vision and strategic objectives?				
2. Have plans, priorities and targets been developed in consultation with key stakeholders (including the local community, employees and members)? Are these plans, priorities and targets clearly communicated?				
3. Are these plans incorporated into the service and Council budget / Medium Term Financial Strategy?				
4. Is risk management incorporated into the business planning process?				
5. When decisions are made, do decision makers receive sufficient information and analysis of a variety of options (where applicable) including risks associated with these options?				
6. Is there flexibility in the delivery of the service to adapt to changing circumstances?				
7. Do you have a Business Continuity Plan in place? And how often is it reviewed?				
8. Has your Business Continuity Plan been tested, when was it last tested?				

Performance Management

1. Are there effective procedures in place to periodically monitor the performance of:				
a. The authority as a whole				
b. Your service unit				
c. Individual officers				
2. Are performance information about outcomes, achievements and service satisfaction published and is this conveniently available to access?				

	Yes	No	N/A	Comment / Detail
	✓	✓	✓	
3. Is best value and value for money measured and is this applied to all services and partnerships?				
4. Do you benchmark your service costs and quality against other local authorities or similar organisations?				
5. Is the impact of policies and decisions measured? (Environmental, Community, Equality, etc)				
Project Management				
1. Do officers that manage projects receive formal project management training?				
2. Where monies are received from an external body, (e.g., Government funding or any other grant etc) are Project Managers aware of the additional regulations that must be observed?				
3. Do you assess value for money once major projects have been delivered?				
Budgeting				
1. Are there systems and procedures in place to monitor capital and revenue budgets and is there an appropriate reporting mechanism?				
2. Are responsibilities for budget management and control clear?				
3. Are the finances available to the service structured and sufficient to deliver service objectives?				
4. Does the financial strategy appropriately set out the internal and external challenges to service delivery?				
Expenditure				
1. Are your officers aware of Financial Procedure Rules and Standing Orders?				
2. Is procurement activity undertaken in accordance with Standing Orders / Financial Procedure Rules and completed by officers with the necessary delegated authority?				
3. Are all invoices and claims for reimbursement e.g., travel claims, subsistence, P-Cards, etc. examined to confirm that expenditure is correct, necessary and has been incurred?				
4. Is there sufficient separation of duties? (i.e., a system that would not allow an officer to order & receive goods and also authorise the payment of an invoice.)				
5. Where necessary are all contracts and service level agreements with external suppliers in place?				

	Yes	No	N/A	Comment / Detail
	✓	✓	✓	
6. Does your service unit have a petty cash fund? If yes, are there appropriate controls in place for the use of petty cash?				
7. Does your unit have a P-Card? If yes, is P-Card use compliant with the P-Card Regulations? (E.g., PIN numbers are not divulged to other officers, Cards held securely. P-card regulations are available from Payments)				
Income				
1. Does your unit receive cash or other fee income (including sundry debts)?				
2. Do you issue a till receipt or a pre-numbered receipt each time income is received?				
3. Is income paid to the cashiers' office/bank as a matter of urgency?				
4. Is income kept in a secure location prior to being paid in?				
5. Does your service undertake a reconciliation of income recorded and income banked?				
Human Resources				
1. Do you comply with the Recruitment and Selection Policy?				
2. Do induction programmes meet individual and organisational needs? (Including agency personnel)				
3. Do you ensure that all officers attend the staff conferences and are kept up to date with Council strategic plans and activities?				
4. Are effective communication procedures in place to keep officers informed of new and existing corporate and departmental policies / procedures / issues?				
5. Do officers have the knowledge, skills and tools to complete their tasks and support achievement of your service objectives?				
6. Is training available to develop these skills?				
7. Are PDR's and Job Chat's up to date?				
8. Are the procedures in place for sickness / absence monitoring complied with? Are absence reviews carried out to the required timescales?				

	Yes	No	N/A	Comment / Detail
	✓	✓	✓	
9. Do any of your officers get paid on the basis of recording hours worked on a time sheet? If yes <ul style="list-style-type: none"> Are all time sheets authorised by a supervisor / manager? Does the person approving timesheets have first-hand knowledge that the hours shown have been worked? 				
10. Are payroll reconciliations/sign offs up to date?				
11. Is leave i.e., annual / flexi / special / other leave recorded and monitored? Is this done in the HR21 / TA21 application?				
12. Are amendments to the Time & Attendance system verified before updating employee records?				
Information Technology				
1. Do your officers comply with the council's IT Security Policies?				
2. Have all officers completed the IT Security and Data Protection e-learning package?				
3. Has there been any breach of IT security during the past year?				
4. Are your officers aware of the risk of cybercrime, such as ransomware and viruses?				
5. Do you have effective arrangements in place to ensure compliance with Data Protection requirements for both electronic and paper information?				
Health & Safety				
1. Is health and safety assessed for each of your service units? If yes, how frequently do you complete these?				
2. Does your service have processes in place to ensure compliance with Health & Safety Policy?				
Risk Management				
1. Do you have a process in operation to identify, manage and update risk for your service unit?				
2. Are risk management procedures embedded into the service?				
3. How often do you review service risks and when did you last update your risk register?				
4. What are the top 3 risks in your service and how do you manage these risks?				
5. Do all partnerships and major projects have their own risk registers/logs, which are kept up to date?				

	Yes	No	N/A	Comment / Detail
	✓	✓	✓	
6. Before entering any new major partnership do all parties agree a partnership risk register?				
Code of Conduct				
1. Are your officers aware of the Employee Code of Conduct and how do you ensure that they observe the Code?				
2. Are there appropriate governance arrangements for members conduct, such as codes of conduct and procedures to deal with member complaints?				
3. Are there appropriate procedures in place for members and officers to manage outside interests so that they do not conflict with the Councils interests (such as a second job or directorships etc.)?				
4. Is there a gift and hospitality register and is there a specific person identified for its administration?				
5. Have you had to take any action in respect of any declarations of interest or gifts and hospitality?				
6. Has the Head of Service reviewed the gifts and hospitality register (please ensure you evidence this with a signature or comment on the register)?				
7. (Question for Director of Resources only) Has an Officer reviewed the Directors gifts and hospitality register?				
8. Are there appropriate ethical standards in place and are these monitored?				
Anti-Fraud, Bribery and Corruption				
1. Are officers aware of and understand the Councils Anti-Fraud, Bribery and Corruption Policy?				
2. Are whistleblowing procedures embedded into the service?				
3. Have you received any referrals under the Whistle Blowing Policy?				
4. What are the top 3 fraud risks your service is exposed to and how do you manage these?				
Legislation				
1. Are officers aware of legal and regulatory requirements that must be observed?				
2. Do officers observe all specific legal and regulatory requirements?				
3. How do you ensure that you and your officers are aware of any new or amended legislation / regulations and that appropriate action is taken to implement these?				
4. Do you complete checks to ensure your officers comply with those regulations?				

	Yes	No	N/A	Comment / Detail
	✓	✓	✓	
Complaints / Community Consultation				
1. Is there an effective complaints procedure in place to deal with problems in service delivery?				
2. Have you received any complaints about service delivery?				
3. Have you received any compliments / awards regarding your service delivery?				
4. Is there commitment to openness (e.g., meetings held in public) and transparency in all dealings including leadership and partnerships (confidentiality only subject to specific needs where proper and appropriate)?				
5. Do you have a policy that identifies the issues that require consultation and engagement including a feedback mechanism?				
Assets				
1. Do you maintain an inventory of assets and stock records (if applicable)? If yes, is this information held in a secure location?				
2. Are these regularly reviewed? If yes, when did you last review?				
3. Are there arrangements in place to ensure that all assets are properly safeguarded against unauthorised use or disposal?				
Partnerships				
1. Do you have partnerships?				
2. What are these?				
3. Do they share a common aim; do all parties understand this aim?				
4. Do partnerships have:				
4.1. A clear statement of principles and objectives?				
4.2. Values that support those of the Council and are these demonstrated by the partners' behaviour?				
4.3. Clarity regarding each partner's role within the partnership?				
4.4. Line management responsibilities for Council officers supporting the partnership?				
4.5. A statement of funding sources in place for joint projects and clear accountability for proper financial administration?				
4.6. A protocol in place for dispute resolution within the partnership?				

	Yes	No	N/A	Comment / Detail
	✓	✓	✓	
5. Is the legal status of the partnership clear?				
6. Do all representatives of the partnership have the necessary authority to bind their respective organisations to the activities and decisions of the partnership?				
7. Has accountability to, and the effectiveness of, relationship with institutional stakeholders been assessed? (The other organisations/bodies with which a public sector organisation needs to work to improve services and outcomes, or organisations to which it is accountable)				
8. What are the key ways in which your service interacts with the Council's strategic partner?				
9. Has your service experienced any issues with the strategic partner's service delivery?				
9.1. Are these being resolved appropriately?				
General Corporate Governance				
1. Are the roles and responsibilities of senior management (i.e., Heads of Service, Chief Operating Officer and Chief Executive.) clear?				
2. Is there a clear scheme of delegation both to and within the service unit?				
3. Are there effective protocols between members and officers?				
4. Is there appropriate training and guidance available for members to undertake their responsibilities?				
5. Is internal and external (e.g., consultants) professional advice (technical, legal or financial) available and used appropriately?				
6. Is the Scrutiny function effective, with constructive challenges to decisions taken and adds value to the Council's decision-making process?				
Climate Change				
1. Is your service taking steps to reduce your Carbon Footprint?				
2. Are employees within your service aware of the Climate Change Strategy and Action Plan?				
3. Has your service been delivering elements of the Climate Change Strategy?				
4. Are sustainability initiatives actively implemented within your service unit and during decision making e.g., through carbon champions/ management?				

	Yes	No	N/A	Comment / Detail
	✓	✓	✓	
Cost of Living				
1. Has there been a change in the service as a result of the Cost-of-Living Crisis.				
2. Have inflation costs had an impact on the service unit budget?				
3. Have members of the public had to rely on the service unit's services / resources more than usual?				